

NATIONAL  
**PREA**  
RESOURCE  
CENTER



**BJA**  
Bureau of Justice Assistance  
U.S. Department of Justice

**PREA COMPLIANCE AUDIT INSTRUMENT  
CHECKLIST OF POLICIES/PROCEDURES AND OTHER DOCUMENTS**

**Prisons and Jails**

April 18, 2014

Policies/Procedures/Other Documents

		Pre-Audit	During Audit
BACKGROUND INFORMATION		<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency mission.</li> <li><input type="checkbox"/> Any relevant reports related to internal or external audits of and/or accreditations for the facility.</li> <li><input type="checkbox"/> Daily population report for the 1ST, 10TH, and 20th day of the month for the past 12 months.</li> <li><input type="checkbox"/> Schematic (layout) of facility.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> List of staff (who have contact with inmates) in the facility (by shift, housing unit, assignment/role) for selection of staff for interviews.</li> <li><input type="checkbox"/> List of inmates by housing unit for selection of inmates for interviews.</li> </ul>

Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
<b>PREVENTION PLANNING</b>	<b>§115.11 - Zero tolerance of sexual abuse and sexual harassment; PREA coordinator</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency policy mandating zero tolerance of all forms of sexual abuse and sexual harassment in facilities operated directly or under contract.</li> <li><input type="checkbox"/> Implementation plan: Facility policy outlining how the facility will implement the agency's zero-tolerance approach to preventing, detecting, and responding to sexual abuse and sexual harassment.</li> <li><input type="checkbox"/> Agency organizational chart.</li> </ul>	NA
	<b>§115.12 - Contracting with other entities for the confinement of inmates</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Contracts for the confinement of inmates entered into (or renewed) after August 20, 2012, or since the last PREA audit.</li> </ul>	NA
	<b>§115.13 – Supervision and Monitoring</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Staffing plan.</li> <li><input type="checkbox"/> Documentation of deviations from the staffing plan and written justifications for all such deviations.</li> <li><input type="checkbox"/> Documentation of annual reviews (after first year audit).</li> <li><input type="checkbox"/> Policy requiring that intermediate-level and higher-level staff conduct unannounced rounds to identify and deter staff sexual abuse and sexual harassment.</li> <li><input type="checkbox"/> Documentation of staffing plan development process.</li> <li><input type="checkbox"/> Documentation that unannounced rounds were conducted and that rounds covered all shifts (e.g., housing unit logs, etc.).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Additional annual reviews.</li> <li><input type="checkbox"/> Additional documentation of unannounced rounds and evidence that such rounds cover all shifts.</li> <li><input type="checkbox"/> Video demonstrating unannounced rounds when available (to spot-check).</li> </ul>
	<b>§115.14 – Youthful Inmates</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy(ies) governing the housing of youthful inmates, specifically those: 1) prohibiting sight, sound, and physical contact with any adult inmate and the use of isolation to comply with sight and sound separation and 2) governing sight and sound separation or direct staff supervision of youthful inmates in areas outside of housing units.</li> <li><input type="checkbox"/> Daily population reports for the last 12 months.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Daily population report on the day of the audit.</li> <li><input type="checkbox"/> Facility housing assignments (including housing assignments of youthful inmates).</li> <li><input type="checkbox"/> Documentation of agency's best efforts to avoid placing youthful inmates in isolation, if available.</li> <li><input type="checkbox"/> Sample of documentation (logs or other) for service delivery to youthful inmates pursuant to this standard.</li> <li><input type="checkbox"/> Sample of documentation of exigent circumstances in instances where access to exercise, education, other programs and work opportunities was denied.</li> <li><input type="checkbox"/> Video demonstrating direct staff supervision when available (to spot-check).</li> </ul>

<p><b>§115.15 – Limits to Cross-Gender Viewing and Searches</b></p>	<ul style="list-style-type: none"> <li>□ Policies and procedures governing the: 1) pat-down searches of female inmates and 2) strip search and visual body cavity searches.</li> <li>□ Policy governing cross-gender viewing.</li> <li>□ Policy prohibiting staff from searching or physically examining a transgender or intersex inmate for the sole purpose of determining the inmate’s genital status.</li> <li>□ Logs of exigent circumstances, if any, that might require deviance from §115.15(d) (i.e., cross-gender viewing).</li> <li>□ Training curricula regarding cross-gender pat-down searches and searches of transgender and intersex inmates.</li> <li>□ Staff training logs.</li> </ul>	<ul style="list-style-type: none"> <li>□ Logs of cross-gender strip searches and cross-gender visual body cavity searches in the last 12 months.</li> <li>□ Logs of cross-gender strip and/or cross-gender body cavity searches conducted in the last 12 months that were not conducted by medical staff or were not conducted during exigent circumstances, documented in the log.</li> <li>□ Documentation of instances where medical practitioner conducted the search.</li> <li>□ Logs of cross-gender pat-down searches of female inmates to identify documentation of exigent circumstances.</li> <li>□ Documentation (logs) of cross-gender strip searches and cross-gender visual body cavity searches of all inmates, and documentation of all cross-gender pat-down searches of female inmates.</li> <li>□ Video documenting pat-down searches of female inmates conducted by male staff when available (spot check).</li> </ul>
<p><b>§115.16 – Inmates with Disabilities and Inmates who are Limited English Proficient</b></p>	<ul style="list-style-type: none"> <li>□ Policies/procedures regarding equal opportunity of disabled inmates to participate in or benefit from all aspects of the agency’s efforts to prevent, detect, and respond to sexual abuse and sexual harassment.</li> <li>□ Policies/procedures regarding equal opportunity of inmates with limited English proficiency to participate in or benefit from all aspects of the agency’s efforts to prevent, detect, and respond to sexual abuse and sexual harassment.</li> <li>□ Policy prohibiting the use of inmate interpreters, inmate readers, or other types of inmate assistants except in limited circumstances.</li> <li>□ Contracts with interpreters or other professionals hired to ensure effective communication with inmates.</li> <li>□ Written materials used for effective communication about PREA with inmates with disabilities or limited reading skills.</li> <li>□ Documentation of staff training on PREA compliant practices for inmates with disabilities.</li> </ul>	<ul style="list-style-type: none"> <li>□ Documentation of circumstances where inmate interpreters, readers, and other inmate assistants were used.</li> <li>□ Documentation demonstrating that taking alternative action would have resulted in a fundamental alteration in the nature of a service, program, or activity, or in undue financial and administrative burdens.</li> </ul>

	<p><b>§115.17 – Hiring and Promotion Decisions</b></p>	<ul style="list-style-type: none"> <li>□ Policy on the promotion and hiring of employees and contractors, including policies governing criminal background checks.</li> <li>□ Policy governing criminal background records checks of current employees and contractors who may have contact with inmates.</li> </ul>	<ul style="list-style-type: none"> <li>□ Files of persons hired or promoted in the last 12 months to determine whether proper criminal record background checks have been conducted and questions regarding past conduct were asked and answered.</li> <li>□ Files of personnel hired in the past 12 months to determine that the agency has completed checks consistent with 115.17(c).</li> <li>□ Records of background checks of contractors who might have contact with inmates.</li> <li>□ Documentation of background records checks of current employees at five-year intervals when applicable.</li> </ul>
	<p><b>§115.18 – Upgrades to Facilities and Technology</b></p>	<p>NA</p>	<ul style="list-style-type: none"> <li>□ Documentation of the facility’s design, renovation, modification or expansion.</li> <li>□ Minutes form meetings referencing the installation or update of monitoring technology.</li> </ul>

Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
<b>RESPONSIVE PLANNING</b>	<p><b>§115.21 – Evidence Protocol and Forensic Medical Examinations</b></p>	<ul style="list-style-type: none"> <li>❑ Uniform evidence protocol governing obtaining usable physical evidence in allegations of sexual abuse.</li> <li>❑ If alternative source (from DOJ’s “A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents) was used to develop protocol, provide alternative source.</li> <li>❑ Documentation that forensic medical exams are offered for free.</li> <li>❑ Documentation of efforts to provide SAFEs or SANEs.</li> <li>❑ Documentation of agreement(s) with rape crisis center(s) for services or documentation of efforts to secure services from rape crisis centers.</li> <li>❑ Documentation of staff member’s qualifications, if agency staff member is used to provide victim advocate services.</li> <li>❑ Any relevant documentation that a qualified agency staff member or qualified community-based organization staff member accompanied and supported the victim pursuant to standard 115.21(e), if requested by the victim.</li> <li>❑ If the agency is not responsible for investigating allegations of sexual abuse and relies on another agency to conduct these investigations, the MOUs/agreements with the responsible agency.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation to corroborate that all victims of sexual abuse have access to forensic medical examinations.</li> <li>❑ Any available documentation that delineates the responsibilities of outside medical and mental health practitioners.</li> <li>❑ Documentation of the request regarding the requirements of 115.21(a) through (e) with outside investigating agency.</li> </ul>
	<p><b>§115.22 – Policies to Ensure Referrals of Allegations for Investigations</b></p>	<ul style="list-style-type: none"> <li>❑ Policies and/or procedures governing investigations of allegations of sexual abuse and sexual harassment.</li> <li>❑ Investigative policy.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation of reports of sexual abuse and harassment and documentation of investigations, including full investigative report(s) with findings.</li> <li>❑ Documentation of referrals of allegations of sexual abuse and sexual harassment.</li> <li>❑ Publication (website or paper) that describes the investigative responsibilities of both the agency and the separate entity that conducts criminal investigations on its behalf, if applicable.</li> </ul>

<p><b>§115.31 – Employee Training</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training policy and/or procedures.</li> <li><input type="checkbox"/> Staff training curriculum.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Sample of training records for compliance with standard.</li> <li><input type="checkbox"/> Documentation of employee signatures or electronic verification signifying comprehension of the training.</li> </ul>
<p><b>§115.32– Volunteer and Contractor Training</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training curriculum for volunteers and contractors who have contact with inmates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Sample of training records for volunteers and contractors who have contact with inmates.</li> <li><input type="checkbox"/> Relevant documentation (e.g., signed acknowledgement or understanding by volunteers/contractors).</li> </ul>
<p><b>§115.33 – Inmate Education</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency policy governing PREA education of inmates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Intake records of inmates entering facility in past 12 months (spot check).</li> <li><input type="checkbox"/> Log or other recordkeeping corroborating that those inmates received information required by the standard at intake (e.g., inmate signatures).</li> <li><input type="checkbox"/> Log or other record corroborating that those inmates received comprehensive PREA education within 30 days of intake (e.g., inmate signatures).</li> <li><input type="checkbox"/> Log or other record corroborating that current inmates received comprehensive PREA education within one year of the effective date of the PREA standards (e.g., inmate signatures).</li> <li><input type="checkbox"/> Any relevant education materials (e.g. inmate handbook) to ensure that relevant information is covered.</li> <li><input type="checkbox"/> Inmate education materials in formats accessible to inmates who are limited English proficient, deaf, visually impaired, otherwise disabled, as well as to inmates who have limited reading skills.</li> <li><input type="checkbox"/> Sample of documentation of inmate participation in education sessions.</li> <li><input type="checkbox"/> Education and informational materials (posters, inmate handbook, etc.) in compliance with the standard.</li> </ul>
<p><b>§115.34 – Specialized Training: Investigations</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency training policy for investigative staff.</li> <li><input type="checkbox"/> Investigator training curriculum.</li> <li><input type="checkbox"/> Documentation that agency investigators have completed required training.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training records/logs of investigative staff.</li> </ul>
<p><b>§115.35 – Specialized training: Medical and mental health care</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy governing training of medical and mental health care practitioners.</li> <li><input type="checkbox"/> Documentation showing that medical and mental</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training records and personnel records to verify that regular practitioners have been trained (“regular” does not include practitioners who are engaged infrequently).</li> </ul>

		health practitioners have completed the required training.	<ul style="list-style-type: none"><li>□ Exam logs.</li><li>□ List of all medical staff at facility and a sample of training logs and forensic exam training curriculum.</li><li>□ If applicable, list of all contract medical staff at facility and documentation of training.</li><li>□ Training logs of medical and mental health care practitioners to ensure they received the training for employees and contractors/volunteers (depending on their status) in the referenced standards.</li></ul>
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Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
SCREENING FOR RISK OF SEXUAL VICTIMIZATION & ABUSIVENESS	<p><b>§115.41 – Screening for Risk of Victimization and Abusiveness</b></p>	<ul style="list-style-type: none"> <li>□ Agency policy governing screening of inmates (upon admission to a facility or transfer to another facility and reassessments).</li> <li>□ Screening instrument used to determine risk of victimization or abusiveness.</li> </ul>	<ul style="list-style-type: none"> <li>□ Records for inmates admitted to the facility within the past 12 months for evidence of appropriate screening within 72 hours.</li> <li>□ Records of initial assessment and reassessment for risk of sexual victimization or abusiveness.</li> <li>□ Records of inmates who were reassessed for risk of sexual victimization or abusiveness.</li> <li>□ Sample of records of inmates who have been victims or perpetrators of sexual abuse for confirmation of reassessment.</li> </ul>
	<p><b>§115.42 – Use of Screening Information</b></p>	<ul style="list-style-type: none"> <li>□ Any relevant policy(ies) governing the use of screening information to: (1) make individualized determinations to ensure the safety of inmates and (2) make housing and program assignments for transgender or intersex inmates in a facility on a case-by-case basis.</li> <li>□ Documentation of use of screening information to inform housing, bed, work, education, and program assignments with the goal of keeping separate those inmates with a high risk of being sexually victimized from those at high risk of being sexually abusive.</li> <li>□ Documentation of how decisions are made.</li> <li>□ Any relevant policy(ies) governing: (1) the reassessment of placement and programming assignments for transgender or intersex inmates; (2) the consideration of a transgender or intersex inmates' own views when making placement or programming decisions; (3) whether transgender and intersex inmates are given the opportunity to shower separately from other inmates; and (4) the placement of lesbian, gay, bisexual, transgender, or intersex inmates.</li> </ul>	<ul style="list-style-type: none"> <li>□ Documentation of risk-based housing decisions.</li> <li>□ Documentation of reassessment of programming assignments for each transgender or intersex inmates for compliance with the standard.</li> <li>□ Documentation of housing assignments of inmates identified to be lesbian, gay, bisexual, transgender, or intersex for compliance with the standard.</li> <li>□ If a consent decree, legal settlement, or legal judgment requires the facility to establish a dedicated facility, unit, or wing for lesbian, gay, bisexual, transgender, or intersex inmates, provide the title, status, and finds of each decree, settlement, or judgment.</li> </ul>

	<p><b>§115.43 – Protective Custody</b></p>	<ul style="list-style-type: none"> <li>□ Policy governing involuntary segregated housing for inmates at high risk for sexual victimization.</li> <li>□ Documentation of 30 day reviews for compliance with the standard.</li> </ul>	<ul style="list-style-type: none"> <li>□ Records and documentation of housing assignments of inmates at high risk of sexual victimization.</li> <li>□ Documentation of in-cell AND out of cell programs, privileges, education and work opportunities for inmates in segregated housing for protective custody.</li> <li>□ Documentation of restricted access to programs, privileges, education, or work opportunities that includes what opportunities have been limited, the duration of such limitations, and the reasons for the limitations.</li> <li>□ Records for length of placement in segregated housing for those at risk of sexual victimization.</li> <li>□ Case files of inmates at risk of sexual victimization held in involuntary segregated housing in the past 12 months.</li> </ul>
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Standard	Policies/Procedures/Other Documents	
	Pre-Audit	During Audit
<p><b>§115.51 – Inmate Reporting</b></p>	<ul style="list-style-type: none"> <li>□ Inmate reporting policy(ies), procedures, documents, such as:               <ul style="list-style-type: none"> <li>□ Policies, procedures, documents to identify different established procedures allowing for multiple internal ways for inmates to report per the standard.</li> <li>□ Policy providing at least one way for inmates to report abuse or harassment to a public or private entity or office that is not part of the agency.</li> <li>□ Policy requiring that inmates detained solely for civil immigration purposes be provided information on how to contact relevant consular officials and relevant officials of the Department of Homeland Security.</li> <li>□ Policy or procedures for staff to privately report sexual abuse and sexual harassment of inmates.</li> <li>□ Policy mandating that staff accept reports of sexual assault and sexual harassment made verbally, in writing, anonymously and from third parties.</li> <li>□ Other relevant documentation (e.g. inmate handbooks) on inmate reporting.</li> </ul> </li> <li>□ Documentation of agreement with outside public or private entity responsible for taking reports.</li> <li>□ Documentation of verbal reports of sexual assault and sexual harassment.</li> <li>□ Policy and documentation (e.g., staff handbooks) outlining procedures for staff to privately report sexual abuse and sexual harassment of inmates.</li> </ul>	<ul style="list-style-type: none"> <li>□ Information provided to inmates detained solely for civil immigration purposes.</li> </ul>

<p><b>§115.52 – Exhaustion of Administrative Remedies</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy or procedure in regards to inmate grievances of sexual abuse.</li> <li><input type="checkbox"/> Policy and procedures for filing an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse.</li> <li><input type="checkbox"/> Policy limiting the agency’s ability to discipline an inmate for filing a grievance related to alleged sexual abuse to occasions where the agency demonstrates that the inmate filed the grievance in bad faith.</li> <li><input type="checkbox"/> Supporting logs/records of cases, in the past 12 months, alleging sexual abuse that involved an extension because final decision was not reached within 90 days.</li> <li><input type="checkbox"/> Documentation of written notifications of extensions.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inmate handbook to determine that relevant information is provided.</li> <li><input type="checkbox"/> Documentation of any grievance that alleged sexual abuse and their final decision.</li> <li><input type="checkbox"/> Documentation of third-party reports and declination of third-party assistance.</li> <li><input type="checkbox"/> Documentation of emergency grievances filed pursuant to this standard.</li> <li><input type="checkbox"/> Documentation of disciplinary actions by the agency against inmates for having filed the grievance in bad faith in the past 12 months.</li> </ul>
<p><b>§115.53 – Inmate Access to Outside Confidential Support Services</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policies and/or procedures governing inmate access to outside victim advocates for emotional support services related to sexual abuse.</li> <li><input type="checkbox"/> Inmate handbooks or written materials prepared for inmates pertinent to reporting sexual abuse and access to support services.</li> <li><input type="checkbox"/> MOUs or other agreements with community service providers that are able to provide inmates with emotional support services related to sexual abuse.</li> <li><input type="checkbox"/> Documentation of attempts to enter into agreements.</li> </ul>	<p>NA</p>
<p><b>§115.54 – Third-Party Reporting</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Publicly distributed information on how to report inmate sexual abuse or sexual harassment on behalf of inmates.</li> </ul>	<p>NA</p>

Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
OFFICIAL RESPONSE FOLLOWING AN INMATE REPORT	<b>§115.61 – Staff and Agency Reporting Duties</b>	<ul style="list-style-type: none"> <li>❑ Relevant policy(ies) governing: (1) the reporting by staff regarding incidents of sexual abuse or sexual harassment and (2) the reporting by the facility regarding all allegations of sexual abuse and sexual harassment to the facility’s designated investigators.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation of any sexual abuse reports from medical and mental health practitioners.</li> <li>❑ Documentation of any reports to the designated State or local services agency under applicable mandatory reporting laws when the alleged victim was under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute.</li> <li>❑ Sample of reports to investigators.</li> </ul>
	<b>§115.62 – Agency Protection Duties</b>	<ul style="list-style-type: none"> <li>❑ Relevant policy(ies) governing the agency’s protection duties when inmates are subject to a substantial risk of imminent sexual abuse.</li> <li>❑ Relevant documentation related to the determination of inmates’ substantial risk of imminent sexual abuse and agency response.</li> </ul>	NA
	<b>§115.63 – Reporting to Other Confinement Facilities</b>	<ul style="list-style-type: none"> <li>❑ Agency policy regarding reporting of allegations of sexual abuse of inmates while confined at another facility.</li> <li>❑ Agency policy requiring that allegations of sexual abuse of inmates received from other agencies or facilities are investigated in accordance with PREA standards.</li> <li>❑ Documentation of notifications (to facility where abuse occurred and to the appropriate investigative agency) of abuse while confined at another facility within 72 hours of receiving the allegation.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation of allegations that an inmate was abused while confined at another facility.</li> <li>❑ Additional documentation of notifications of abuse while confined at another facility to verify they occurred within 72 hours of receiving allegation.</li> <li>❑ Documentation of allegations from other facilities and documentation of response.</li> </ul>
	<b>§115.64 – Staff First Responder Duties</b>	<ul style="list-style-type: none"> <li>❑ Agency policy governing staff first responder duties.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation of response to allegations.</li> </ul>
	<b>§115.65 – Coordinated Response</b>	<ul style="list-style-type: none"> <li>❑ Facility’s institutional plan to coordinate actions taken in response to an incident of sexual abuse, among staff first responders, medical and mental health practitioners, investigators, and facility leadership.</li> </ul>	NA
	<b>§115.66 – Preservation of ability to protect inmates from contact with abusers</b>	<ul style="list-style-type: none"> <li>❑ All collective bargaining agreements or other agreements entered into or renewed since August 20, 2012, or since the last PREA audit, whichever is later.</li> </ul>	NA

<p><b>§115.67 – Agency protection against retaliation</b></p>	<ul style="list-style-type: none"> <li>□ Agency policy protecting all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff, including policies on the monitoring of inmates/staff following a report and agency response to suspected retaliation.</li> </ul>	<ul style="list-style-type: none"> <li>□ Documentation of any protective measures taken for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.</li> <li>□ Documentation of any protective measures taken for any other individual who cooperates with an investigation and expresses a fear of retaliation.</li> <li>□ Documentation of any monitoring efforts for inmates or staff.</li> <li>□ Documentation of reports of retaliation and agency response.</li> </ul>
<p><b>§115.68 – Post-Allegation Protective Custody</b></p>	<ul style="list-style-type: none"> <li>□ Agency policy governing use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse.</li> <li>□ Documentation of instances when segregated housing was used to protect an inmate who is alleged to have suffered sexual abuse.</li> <li>□ Documentation of 30 day reviews</li> </ul>	<ul style="list-style-type: none"> <li>□ Records and documentation of housing assignments of inmates who alleged to have suffered sexual abuse.</li> <li>□ Documentation of in-cell AND out-of-cell programs, privileges, education, and work opportunities for inmates in segregated housing for this purpose.</li> <li>□ Documentation of restricted access to programs, privileges, education, or work opportunities that includes what opportunities have been limited, the duration of such limitations, and the reasons for the limitations.</li> <li>□ Records for length of placement in segregated housing for those who alleged to have suffered sexual abuse.</li> <li>□ Case files of inmates who alleged to have suffered sexual abuse held in involuntary segregated housing in the past 12 months.</li> </ul>

Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
<b>INVESTIGATIONS</b>	<b>§115.71 – Criminal and Administrative Agency Investigations</b>	<ul style="list-style-type: none"> <li>❑ Agency/facility policies related to the handling of criminal and administrative agency investigations in cases where sexual abuse is alleged.</li> <li>❑ Training records for investigators (from 115.34(d)-1).</li> </ul>	<ul style="list-style-type: none"> <li>❑ Investigative reports, record retention schedule, and case records detailing allegations of sexual abuse.</li> <li>❑ Sample of investigative records/reports for allegations of sexual abuse or sexual harassment.</li> <li>❑ Sample of administrative investigation reports.</li> <li>❑ Sample of criminal investigation reports.</li> <li>❑ Sample of cases involving substantiated allegations to ensure that they were referred for prosecution.</li> <li>❑ Sample of retained investigation reports including older reports, if applicable.</li> </ul>
	<b>§115.72 – Evidentiary Standard for Administrative Investigations</b>	<ul style="list-style-type: none"> <li>❑ Any policy(ies) imposing a standard of preponderance of the evidence or a lower standard of proof for determining whether allegations of sexual abuse or sexual harassment are substantiated.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation of administrative findings for proper standard of proof.</li> </ul>
	<b>§115.73 – Reporting to Inmates</b>	<ul style="list-style-type: none"> <li>❑ Agency policy requiring that any inmate who makes an allegation that he or she suffered sexual abuse in an agency facility is informed, verbally or in writing, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation by the agency.</li> <li>❑ Agency policy requiring notifications be documented.</li> <li>❑ Sample of investigations of alleged sexual abuse complaints completed by agency.</li> <li>❑ Sample of investigations of alleged sexual abuse complaints completed by outside agency.</li> <li>❑ Sample documentation of any substantiated or unsubstantiated complaints.</li> <li>❑ Sample documentation of notifications pursuant to the requirements of this standard (see 115.73 (c) and (d)).</li> </ul>	<ul style="list-style-type: none"> <li>❑ Additional sample of investigations of alleged sexual abuse complaints completed by agency.</li> <li>❑ Additional sample of investigations of alleged sexual abuse complaints completed by outside agency.</li> <li>❑ Additional documentation of any founded complaints.</li> <li>❑ Additional documentation of notifications pursuant to the requirements of this standard.</li> <li>❑ Logs or other documentation of notifications to confirm number provided.</li> </ul>

<b>DISCIPLINE</b>	<b>§115.76 – Disciplinary sanctions for staff</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Staff disciplinary policy(ies) regarding violations of agency sexual abuse or sexual harassment policies.</li> <li><input type="checkbox"/> Sample records of terminations, resignations, or other sanctions against staff for violating agency sexual abuse or sexual harassment policies from the past twelve months.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Additional sample of records of terminations, resignations, or other sanctions against staff for violating agency sexual abuse or sexual harassment policies from the past twelve months.</li> <li><input type="checkbox"/> Records of disciplinary sanctions taken against staff for violations of the agency sexual abuse or sexual harassment policies from the past twelve months.</li> <li><input type="checkbox"/> Reports to law enforcement for violations of agency sexual abuse or sexual harassment policies.</li> </ul>
	<b>§115.77 – Corrective action for contractors and volunteers</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency policy requiring that any contractor or volunteer who engages in sexual abuse be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies.</li> <li><input type="checkbox"/> Reports of sexual abuse of inmates by contractors or volunteers</li> <li><input type="checkbox"/> Documentation of remedial measures taken to prohibit further contact with inmates in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Documentation of referrals to law enforcement and/or relevant licensing bodies.</li> <li><input type="checkbox"/> Investigative reports if relevant.</li> </ul>
	<b>§115.78 – Disciplinary sanctions for inmates</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy(ies) which state that inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following an administrative or criminal finding that the inmate engaged in inmate-on-inmate sexual abuse.</li> <li><input type="checkbox"/> Sample of records of disciplinary actions against inmates for sexual conduct with staff.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Additional records of disciplinary actions against inmates for sexual conduct with staff.</li> <li><input type="checkbox"/> Investigative reports and documentation of sanctions imposed.</li> </ul>



Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
<b>MEDICAL AND MENTAL CARE</b>	<b>§115.81 – Medical and mental health screenings; history of sexual abuse</b>	<ul style="list-style-type: none"> <li>❑ Policy(ies) governing the facility response (including follow-up meetings and other services with a medical or mental health practitioner) for inmates who indicate a prior history of sexual victimization or sexual abusiveness towards others.</li> <li>❑ Secondary materials documenting compliance with required services. (The term secondary materials refers to materials maintained by health staff in a secure area but separate from the inmate’s medical record that document compliance with the provisions of this standard.)</li> <li>❑ Sample of mental health secondary materials.</li> <li>❑ Sample of inmate confinement records/other records available to custody staff or non-health personnel.</li> <li>❑ Consent documentation/logs obtained from inmates over age 18 by medical/mental health practitioners before reporting information about prior sexual victimization that did not occur in an institutional setting.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Additional medical/mental health secondary materials.</li> <li>❑ Additional sample of inmate confinement records/other records available to custody staff or non-health personnel.</li> </ul>
	<b>§115.82 – Access to emergency medical and mental health services</b>	<ul style="list-style-type: none"> <li>❑ Policy(ies) regarding access to treatment services by inmate victims of sexual abuse.</li> <li>❑ Sample of secondary materials (e.g., form, log) documenting access to required services per the standard.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Documentation demonstrating immediate notification of the appropriate medical and mental health practitioners.</li> <li>❑ Additional medical/mental health secondary forms/logs describing access to services.</li> </ul>
	<b>§115.83 – Ongoing medical and mental health care for sexual abuse victims and abusers</b>	<ul style="list-style-type: none"> <li>❑ Policy(ies) governing ongoing medical and mental health care for sexual abuse victims and abusers.</li> </ul>	<ul style="list-style-type: none"> <li>❑ Medical records or secondary documentation that demonstrates victims receive, as appropriate, follow-up services, treatment plans, and , when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody.</li> <li>❑ Medical records or secondary documentation that demonstrate victims receive medical and mental health services consistent with community level of care.</li> <li>❑ Medical records or secondary documentation that demonstrates that female victims were offered pregnancy test.</li> <li>❑ Medical records or secondary documentation that</li> </ul>

			<p>demonstrate victims are offered tests for sexually transmitted infections as medically appropriate.</p> <ul style="list-style-type: none"><li>□ Mental health records or secondary documentation that demonstrate evaluation of inmate-on-inmate abusers.</li></ul>
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Standard		Policies/Procedures/Other Documents	
		Pre-Audit	During Audit
DATA COLLECTION AND REVIEW	<b>§115.86 – Sexual abuse incident reviews</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy(ies) on conducting sexual abuse incident reviews.</li> <li><input type="checkbox"/> Documentation of sexual abuse incident reviews.</li> <li><input type="checkbox"/> Sample documentation of completed criminal or administrative investigations of alleged sexual abuse incidents, if incident review documents are contained therein.</li> <li><input type="checkbox"/> Reports of findings from sexual assault incident reviews.</li> <li><input type="checkbox"/> Documentation supporting implementation of recommendations <b>OR</b> documentation of reasons for not implementing recommendations.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Additional documentation of completed criminal or administrative investigations of sexual abuse.</li> <li><input type="checkbox"/> Documentation of review team minutes or reports.</li> <li><input type="checkbox"/> Additional reports of findings from sexual abuse incident reviews.</li> </ul>
	<b>§115.87 – Data Collection</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy(ies) for collecting data on sexual abuse allegations at facilities.</li> <li><input type="checkbox"/> Data collection instrument used for collecting data on sexual abuse allegations at facilities.</li> <li><input type="checkbox"/> Set of definitions used for collecting data on sexual abuse allegations at facilities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Sample of aggregated data.</li> <li><input type="checkbox"/> Sample of incident-based and all aggregate data from every private facility with which the agency contracts for the confinement of its inmates (if applicable).</li> </ul>
	<b>§115.88 – Data Review for Corrective Action</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Documentation of corrective action plans.</li> <li><input type="checkbox"/> Annual report of findings from data reviews/corrective actions.</li> <li><input type="checkbox"/> Link to website where annual report is available.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Additional documentation of corrective action plans.</li> </ul>
	<b>§115.89 – Data Storage, Publication, and Destruction</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Policy requiring that incident-based and aggregate data are securely retained.</li> <li><input type="checkbox"/> Policy requiring that aggregated sexual abuse data from facilities under its direct control and private facilities with which it contracts be made readily available to the public at least annually through its website.</li> <li><input type="checkbox"/> Federal, State or local law requiring the agency maintain sexual abuse data collected for a time period that is different than required by the standard (which requires it be maintained for at least 10 years).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Website or other means for publicly available aggregated sexual abuse data.</li> <li><input type="checkbox"/> Sample of publicly available sexual abuse data.</li> <li><input type="checkbox"/> Historical data since August 20, 2012.</li> </ul>