

Document Review Worksheets

The National PREA Resource Center (PRC) has developed worksheets for each facility type to guide document review of the following records:

- (1) employee/contractor/volunteer records,
- (2) inmate/resident/detainee records,
- (3) investigations and response records, and
- (4) sexual abuse incident review (SAIR) records.

These document review worksheets are designed to assist an auditor as they request and analyze supporting evidence and other proof of practice documentation used to make compliance determinations. The worksheets are also available to agencies/facilities to aid in preparing for a PREA audit and monitoring compliance with the PREA standards during non-audit years. Auditors and agencies/facilities are not required to utilize these worksheets but may choose to as a best practice.

Based on specific requirements in the PREA Standards, the document review worksheets identify proof documentation that is needed, proof documentation that was reviewed, and ask if the proof documentation contains the information needed to assess compliance.

The worksheets are not intended to account for all evidence needed to make compliance determinations, but are to be used in conjunction with information obtained from interviews, the site review, and any other relevant evidence. They are constructed with relevant standards listed at the top, and standard citations referenced throughout, to guide the user's review of the record together with specific standard requirements. Auditors and agencies/facilities must still reference the PREA Standards, Department of Justice (DOJ) interpretive guidance in the Frequently Asked Questions (FAQs), audit tools and instrument, and the PREA Auditor Handbook for specific requirements.

There are some notes in the worksheets that identify a recommended but not required proof document an auditor could review to support a finding of compliance. The absence of a recommended proof document in a record should not be used to support a finding of non-compliance. Rather, an auditor can review recommended proof documentation and use it to support a finding where the agency/facility exceeds a standard.

An agency/facility may need to provide the auditor with proof documentation from several different sources depending on the agency's/facility's record-keeping practices. For example, proof documentation relevant to inmate records might be found among several sources, including in files kept by different agency/facility departments: inmate records, security files, and medical or mental health files. Keep in mind, the only public aspect of a PREA audit is the final report. Auditors are to maintain the confidentiality of the information they collect during the course of a PREA audit including any confidential information in these worksheets (PREA Auditor Handbook pgs. 11-12).

For more context and insight into how to use the document review worksheets most effectively, watch the "Evidence Collection Resources for PREA Auditors and Facilities" webinar posted on the National PREA Resource Center (PRC) Website (available October 28, 2021).

Notice of Federal Funding and Federal Disclaimer

This project was supported by Grant No. 2019-RP-BX-K001 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking. The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the Department of Justice or grant-making component.