**Document Review Worksheet**

**Staff Completing Worksheet:**

**Facility Name:**

**Employee/Contractor/Volunteer Records**

PREA Audit – Lockups

Standards 115.117, 115.131, 115.132, 115.134, 115.167 115.176, 115.177

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| --- | --- | --- | --- |
| **Employee Name/Initials** | **Position/Title** | | **Date of Hire** |
| **Check all that apply: ☐ New Hire (use new sheet if re-hired) ☐ Current Employee ☐ Promotion (Date of Promotion \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) ☐ Part-time**  **☐ Contractor ☐ Volunteer Program or Work Area or Service Provided: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **☐ Alleged abuser in SA/SH allegation ☐ Reported, cooperated w/investigation or witness to SA/SH allegation (if so, review retaliation monitoring §115.167\*)**  **☐ Disciplined/sanctioned for violating agency sexual abuse or sexual harassment policies §115.176(a), §115.177(a)\***  **☐ Terminated for engaging in sexual abuse §115.176(b), §115.177(b)\* \*Obtain and review documentation (if applicable)** | | | |
| **Record/File** | **Requirements** | **Comments** | |
| **Hiring and Promotion Decisions §115.117** (employees and contractors)  **For Hiring:**  Proof of required questions **§115.117(a), §115.117(f)**:  ☐ On employment application  ☐ At interview for hire  ☐ On interview or self-evaluation form  **For Promotion (if applicable):**  Proof of required questions **§115.117(a), §115.117(f)**:  ☐ On application for promotion  ☐ At interview for promotion | ☐ Initial criminal history check **§115.117(c)(1)**  Date: | Source (e.g., FBI, other Nat’l, State, Local): | |
| ☐ Contact with prior institutional employers **§115.117(a)(3) & §115.117(c)(2)** Date(s): | Facility(ies) contacted: | |
| ☐ 5-year criminal history check **§115.117(e)** Date(s):  ☐ Alternative alert system **(if applicable, explain in “comments” column)** |  | |
| ☐ Elder abuse registry check Date:  ☐ Child abuse registry check Date:    **Note**: Recommended, not required by Standard | Registry source and state(s): | |
| **Note: Auditor must ensure the employee, volunteer, and contractor training is compliant with the Standard and received prior to contact with detainees (see FAQ 10/22/2014).** | | | |
| **Employee Training §115.131:**  ☐ Proof of initial PREA training  ☐ Proof of annual PREA refresher information | ☐ Documented employee’s understanding of initial PREA training received **§115.131(c)**  Date:  ☐ Documented employee’s understanding of annual PREA refresher information **§115.131(b)**  Date: | | **Specialized PREA Training (if applicable):**  ☐ Proof of investigative training **§115.134**  Date: |
| **Volunteer Training §115.131:**  ☐ Proof of initial PREA training  ☐ Proof of annual PREA refresher training | **Notes:** | | |
| **Contractor, Zero-Tolerance Notification §115.132(b):**  ☐ Proof of notification received  **Inmate Worker, Zero-Tolerance Notification §115.132(b):**  ☐ Proof of notification received |

Note: SA = Sexual abuse, SH = Sexual harassment, Nat’l = National, FAQ = Frequently asked question