

PREA Audit: Auditor Compliance Tool

Lockups

NATIONAL
PREA
RESOURCE
CENTER



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

Facility audited:
Date completed:
Dates revised:
Completed by:
Title:
Dates of PREA audit:

PREVENTION PLANNING

§115.111 - Zero tolerance of sexual abuse and sexual harassment; PREA coordinator.

Auditor Findings

115.111 (a) The agency shall have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment and outlining the agency's approach to preventing, detecting, and responding to such conduct.

- ☐ Yes
☐ No

Verification Documents/Data for Auditor Review

Pre-Audit:

QUESTIONNAIRE:

The agency has a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment in facilities it operates directly or under contract. *YES or NO (FROM 115.111(a)-1)*

The facility has a policy outlining how it will implement the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment. *YES or NO (FROM 115.111(a)-2)*

The policy includes definitions of prohibited behaviors regarding sexual abuse and sexual harassment. *YES or NO (FROM 115.111(a)-3)*

The policy includes sanctions for those found to have participated in prohibited behaviors. *YES or NO (FROM 115.111(a)-4)*

The policy includes a description of agency strategies and responses to reduce and prevent sexual abuse and sexual harassment of detainees. *YES or NO (FROM 115.111(a)-5)*

POLICY:

ZERO TOLERANCE (FROM 115.111(a)-1)

Refer to page/section: *(FROM 115.111(a)-1)*

POLICY OUTLINING IMPLEMENTATION PLAN (FROM 115.111(a)-2)

Refer to page/section: *(FROM 115.111(a)-2)*

AUDITOR NOTES:

Audit:

AUDITOR NOTES:

115.111 (b) The agency shall employ or designate an upper-level, agency-wide PREA coordinator with sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The agency employs or designates an upper-level, agency-wide PREA coordinator. <i>YES or NO (FROM 115.111(b)-1)</i> The PREA coordinator has sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities. <i>YES or NO (FROM 115.111(b)-2)</i> The position of the PREA coordinator in the agency's organizational structure. <i>(FROM 115.111(b)-3)</i>
		OTHER DOCUMENTATION: <i>AGENCY ORGANIZATIONAL CHART (FROM 115.111(b)-1)</i>
		AUDITOR NOTES:
		Audit:
		INTERVIEW GUIDE(S): PREA Coordinator – Q: 1, 2
		AUDITOR NOTES:
	Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)	
	Auditor Comments (including corrective actions needed if does not meet standard):	

§115.112 - Contracting with other entities for the confinement of detainees.

Auditor Findings		Verification Documents/Data for Auditor Review
115.112 (a) A law enforcement agency that contracts for the confinement of its detainees with private agencies or other entities, including other government agencies, shall include in any new contract or contract renewal the entity's obligation to adopt and comply with the PREA standards. <i>(N/A if the law enforcement agency does not contract with private agencies or other entities for the confinement of detainees.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: QUESTIONNAIRE: The law enforcement agency has entered into or renewed a contract for the confinement of detainees on or after August 20, 2012, or since the last PREA audit, whichever is later. <i>YES or NO (FROM 115.112(a)-1)</i> All of the above contracts require contractors to adopt and comply with PREA standards. <i>YES or NO (FROM 115.112(a)-2)</i> On or after August 20, 2012, or since the last PREA audit, whichever is later: <ul style="list-style-type: none"> The number of contracts for the confinement of detainees that the agency entered into or renewed with private entities or other government agencies; and <i>(FROM 115.112(a)-3)</i> The number of above contracts that DID NOT require contractors to adopt and comply with PREA standards: <i>(FROM 115.112(a)-4)</i> OTHER DOCUMENTATION: <i>CONTRACTS FOR THE CONFINEMENT OF DETAINEES ENTERED INTO (OR RENEWED) AFTER AUGUST 20, 2012, OR SINCE THE LAST PREA AUDIT (FROM 115.112(a)-1)</i> AUDITOR NOTES: Audit: AUDITOR NOTES:
115.112 (b) Any new contract or contract renewal shall provide for agency contract monitoring to ensure that the contractor is complying with the PREA standards. <i>(N/A if the law enforcement agency does not contract with private agencies or other entities for the confinement of detainees OR the response to 115.112(a)-1 is "NO".)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: QUESTIONNAIRE: All of the above contracts require the agency to monitor the contractor's compliance with PREA standards. <i>YES or NO (FROM 115.112(b)-1)</i> On or after August 20, 2012, or since the last PREA audit, whichever is later, the number of contracts referenced in 115.112 (a)-3 that DO NOT require the agency to monitor contractor's compliance with PREA standards. <i>(FROM 115.112(b)-2)</i> OTHER DOCUMENTATION: <i>CONTRACTS FOR THE CONFINEMENT OF DETAINEES ENTERED INTO (OR RENEWED) AFTER AUGUST 20, 2012, OR SINCE THE LAST PREA AUDIT (FROM 115.112(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Agency Contract Administrator – Q: 1, 2, 3 AUDITOR NOTES:
Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)		
Auditor Comments (including corrective actions needed if does not meet standard):		

§115.113 - Supervision and monitoring.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>115.113 (a) For each lockup, the agency shall develop and document a staffing plan that provides for adequate levels of staffing, and, where applicable, video monitoring, to protect detainees against sexual abuse. In calculating adequate staffing levels and determining the need for video monitoring, agencies shall take into consideration; (1) The physical layout of each lockup; (2) The composition of the detainee population; (3) The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and (4) Any other relevant factors.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: For each lockup, the agency develops and documents a staffing plan that provides for adequate levels of staffing, and, where applicable, video monitoring to protect detainees against abuse. <i>YES or NO (FROM 115.113(a)-1)</i></p> <p>Since August 20, 2012, or last PREA audit, whichever is later:</p> <ul style="list-style-type: none"> The average daily number of detainees, and <i>(FROM 115.113(a)-2)</i> The average daily number of detainees on which the staffing plan was predicated. <i>(FROM 115.113(a)-3)</i> <p>OTHER DOCUMENTATION: <i>DOCUMENTATION OF STAFFING PLAN DEVELOPMENT PROCESS (FROM 115.113(a)-1)</i></p> <p><i>STAFFING PLAN (FROM 115.113(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 1, 2, 3 PREA Coordinator – Q: 4, 5</p> <p>AUDITOR NOTES:</p>
<p>115.113 (b) In circumstances where the staffing plan is not complied with, the lockup shall document and justify all deviations from the plan.</p> <p><i>(N/A if no deviations from staffing plan.)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Each time the staffing plan is not complied with, the facility documents and justifies all deviations from the staffing plan. <i>YES, NO, or N/A if no deviations from staffing plan (FROM 115.113(b)-1)</i></p> <p>If documented, the six most common reasons for deviating from the staffing plan in the last 12 months. <i>(FROM 115.113(b)-2)</i></p> <p>OTHER DOCUMENTATION: <i>DOCUMENTATION OF DEVIATIONS FROM STAFFING PLANS AND WRITTEN JUSTIFICATIONS FOR ALL SUCH DEVIATIONS (FROM 115.113(b)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 4</p> <p>AUDITOR NOTES:</p>
<p>115.113 (c) Whenever necessary, but no less frequently than once each year, the lockup shall assess, determine, and document whether adjustments are needed to:</p> <p>(1) The staffing plan established pursuant to paragraph (a) of this section; (2) Prevailing staffing patterns;</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: At least once every year the facility reviews the staffing plan to see whether adjustments are needed in (a) the staffing plan, (b) the prevailing staffing patterns, (c) the deployment of monitoring technology, or (d) the allocation of the lockup's resources to commit to the staffing plan to ensure compliance with the staffing plan. <i>YES or NO (FROM 115.113(c)-1)</i></p> <p>OTHER DOCUMENTATION: <i>DOCUMENTATION OF ANNUAL REVIEWS (AFTER FIRST YEAR OF AUDIT) (FROM 115.113(c)-1)</i></p> <p>AUDITOR NOTES:</p>

<p>(3) The lockup's deployment of video monitoring systems and other monitoring technologies; and (4) The resources the lockup has available to commit to ensure adequate staffing levels.</p>		<p>Audit:</p> <p>INTERVIEW GUIDE(S): PREA Coordinator – Q: 6</p> <p>REVIEW: Additional annual reviews. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>
<p>115.113 (d) If vulnerable detainees are identified pursuant to the screening required by § 115.141, security staff shall provide such detainees with heightened protection, to include continuous direct sight and sound supervision, single-cell housing, or placement in a cell actively monitored on video by a staff member sufficiently proximate to intervene, unless no such option is determined to be feasible.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The facility utilizes a screening process required by § 115.141 to identify vulnerable detainees. <i>YES or NO (FROM 115.113(d)-1)</i></p> <p>Vulnerable detainees are provided with heightened protection. <i>YES or NO (FROM 115.113(d)-2)</i></p> <p><i>UPLOAD POLICY OR OTHER DOCUMENTATION OF REQUIREMENT</i> Refer to page/section: <i>(FROM 115.113(d)-2)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Security Staff – Q: 1</p> <p>PREA AUDIT TOUR: Make observations and ask questions per the tour instructions. Note observations, etc.</p> <p>REVIEW: Additional documentation of supervision procedures. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

§115.114 – Juveniles and youthful detainees.

Auditor Findings		Verification Documents/Data for Auditor Review
115.114 (a) Juveniles and youthful detainees shall be held separately from adult detainees. <i>(N/A if the facility does not hold juveniles or youthful detainees (detainees <18 years old).)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A (skip to 115.15)	Pre-Audit: QUESTIONNAIRE: The facility holds juveniles and youthful detainees separately from adult detainees. <i>YES or NO (FROM 115.114(a)-1)</i> In the past 12 months: • The number of juveniles/youthful detainees held in the facility: <i>(FROM FACILITY CHARACTERISTICS)</i> • The number of juveniles/youthful detainees held in the same cell as adults in this facility: <i>(FROM 115.114 (a)-2)</i> POLICY: <i>JUVENILES AND YOUTHFUL DETAINEES (FROM 115.114(a)-1)</i> Refer to page/section: <i>(FROM 115.114(a)-1)</i> OTHER DOCUMENTATION: <i>DAILY POPULATION REPORT FOR THE LAST 12 MONTHS (FROM 115.114(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 8 Random Sample of Staff – Q: 14 Juvenile/Youthful Detainees – Q: 1 REVIEW: Daily population report for day of audit. <i>(UPLOAD IF NECESSARY)</i> TOUR: View facility cell assignments to determine if juveniles and youthful detainees are held separately. AUDITOR NOTES:
Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)		
Auditor Comments (including corrective actions needed if does not meet standard): 		

§115.115 – Limits to cross-gender viewing and searches.

Auditor Findings		Verification Documents/Data for Auditor Review
115.115 (a) The lockup shall not conduct cross-gender strip searches or cross-gender visual body cavity searches (meaning a search of the anal or genital opening) except in exigent circumstances or when performed by medical practitioners.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div>Pre-Audit:</div> <div>QUESTIONNAIRE:</div> <p>The lockup conducts cross-gender strip or cross-gender visual body cavity searches of detainees. <i>YES or NO (FROM 115.115(a)-1)</i></p> <p>In the past 12 months:</p> <ul style="list-style-type: none"> The number of cross-gender strip or cross-gender visual body cavity searches of detainees: <i>(FROM 115.115(a)-2)</i> The number of cross-gender strip or cross-gender visual body cavity searches of detainees that did not involve exigent circumstances or were performed by non-medical staff: <i>(FROM 115.115(a)-3)</i> <div>POLICY:</div> <p><i>SEARCHES (FROM 115.115(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.115(a)-1)</i></p> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>INTERVIEW GUIDE(S):</div> <p>Non-medical staff (involved in cross-gender strip or visual searches) – Q: 1</p> <div>REVIEW:</div> <p>Logs of cross-gender strip searches and cross-gender visual body cavity searches in the past 12 months. <i>(UPLOAD IF NECESSARY)</i></p> <p>Logs of cross-gender strip and/or cross-gender body cavity searches conducted in the past 12 months that were not conducted by medical staff or were not conducted during exigent circumstances documented in the log. <i>(UPLOAD IF NECESSARY)</i></p> <p>Documentation of instances where medical staff conducted such searches. <i>(UPLOAD IF NECESSARY)</i></p> <div>AUDITOR NOTES:</div>
115.115 (b) The lockup shall document all cross-gender strip searches and cross-gender visual body cavity searches.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div>Pre-Audit:</div> <div>QUESTIONNAIRE:</div> <p>Facility policy requires that all cross-gender strip searches and cross-gender visual body cavity searches be documented. <i>YES or NO (FROM 115.115(b)-1)</i></p> <div>POLICY:</div> <p><i>SEARCHES (FROM 115.115(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.115(a)-1)</i></p> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>REVIEW:</div> <p>Documentation of cross-gender strip searches and cross-gender visual body cavity searches of all detainees. <i>(UPLOAD IF NECESSARY)</i></p> <div>AUDITOR NOTES:</div>

<p>115.115 (c) The lockup shall implement policies and procedures that enable detainees to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks. Such policies and procedures shall require staff of the opposite gender to announce their presence when entering an area where detainees are likely to be showering, performing bodily functions, or changing clothing.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The facility has implemented policies and procedures that enable detainees to shower, perform bodily functions, and change clothing without non-medical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks (this includes viewing via video camera). <i>YES or NO (FROM 115.115(c)-1)</i></p> <p>Policies and procedures require staff of the opposite gender to announce their presence when entering an area where detainees are likely to be showering, performing bodily functions, or changing clothing. <i>YES or NO (FROM 115.115(c)-2)</i></p> <p>POLICY: <i>CROSS-GENDER VIEWING (FROM 115.115(c)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.115(c)-1)</i></p> <p>OTHER DOCUMENTATION: <i>LOGS OF EXIGENT CIRCUMSTANCES THAT MIGHT REQUIRE DEVIANCE FROM THE STANDARD (FROM 115.115(c)-1)</i></p> <p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Random Sample of Detainees – Q: 1, 2 Random Sample of Staff – Q: 13</p> <p>PREA Audit Tour: Make observations and ask questions per the tour instructions. Note observations, etc.</p> <p>AUDITOR NOTES:</p>
<p>115.115 (d) The lockup shall not search or physically examine a transgender or intersex detainee for the sole purpose of determining the detainee's genital status. If the detainee's genital status is unknown, it may be determined during conversations with the detainee, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The facility has a policy prohibiting staff from searching or physically examining a transgender or intersex detainee for the sole purpose of determining the detainee's genital status. <i>YES or NO (FROM 115.115(d)-1)</i></p> <p>Such searches (described in 115.115(d)-1) occurred in the past 12 months. <i>YES or NO (FROM 115.115(d)-1)</i></p> <p>POLICY: <i>TRANSGENDER OR INTERSEX DETAINEES (FROM 115.115(d)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.115(d)-1)</i></p> <p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Random Sample of Staff – Q: 3 Transgender/Intersex Detainees – Q: 1</p> <p>AUDITOR NOTES:</p>
<p>115.115 (e) The agency shall train law enforcement staff in how to conduct cross-gender pat-down searches, and searches of transgender and intersex detainees, in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The percent of all law enforcement staff who received training on conducting cross-gender pat-down searches and searches of transgender and intersex detainees in a professional and respectful manner, consistent with security needs (<i>The percentage given does not necessarily indicate compliance or non-compliance with the standard</i>): <i>(FROM 115.115(e)-1)</i></p>

OTHER DOCUMENTATION:

TRAINING CURRICULA (FROM 115.115(e)-1)

TRAINING LOGS (FROM 115.115(e)-1)

AUDITOR NOTES:

Audit:

INTERVIEW GUIDE(S):

Random Sample of Staff – Q: 2

AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
- ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

§115.116 – Detainees with disabilities and detainees who are limited English proficient.

Auditor Findings		Verification Documents/Data for Auditor Review
115.116 (a)	<p>The agency shall take appropriate steps to ensure that detainees with disabilities (including, for example, detainees who are deaf or hard of hearing, those who are blind or have low vision, or those who have intellectual, psychiatric, or speech disabilities) have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. Such steps shall include, when necessary to ensure effective communication with detainees who are deaf or hard of hearing, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary. In addition, the agency shall ensure that written materials are provided in formats or through methods that ensure effective communication with detainees with disabilities, including detainees who have intellectual disabilities, limited reading skills, or who are blind or have low vision. An agency is not required to take actions that it can demonstrate would result in a fundamental alteration in the nature of a service, program, or activity, or in undue financial and administrative burdens, as those terms are used in regulations promulgated under title II of the Americans With Disabilities Act, 28 CFR 35.164.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has established procedures to provide disabled detainees equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. <i>YES or NO (FROM 115.116(a)-1)</i></p> <p>POLICY: <i>EQUAL OPPORTUNITY: DISABLED OR LEP DETAINEES (FROM 115.116(a)-1)</i> Refer to page/section: <i>(FROM 115.116(a)-1)</i></p> <p>OTHER DOCUMENTATION: <i>CONTRACTS WITH INTERPRETERS OR OTHER PROFESSIONALS HIRED TO ENSURE EFFECTIVE COMMUNICATION WITH DETAINEES WHO HAVE DISABILITIES (FROM 115.116(a)-1)</i> <i>WRITTEN MATERIALS USED FOR EFFECTIVE COMMUNICATION ABOUT PREA WITH DETAINEES WITH DISABILITIES OR LIMITED READING SKILLS (FROM 115.116(a)-1)</i> <i>DOCUMENTATION OF STAFF TRAINING ON PREA-COMPLIANT PRACTICES FOR DETAINEES WITH DISABILITIES (FROM 115.116(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 11 Detainees (with disabilities or who are limited English proficient) – Q: 1, 2, 3</p> <p>PREA AUDIT TOUR: Make observations and ask questions per the tour instructions. Note observations, etc.</p> <p>REVIEW: If applicable, documentation that taking actions would result in a fundamental alteration in the nature of a service, program, or activity, or in undue financial and administrative burdens. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
115.116 (b)	<p>The agency shall take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to detainees who are limited English proficient, including steps to provide interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has established procedures to provide detainees with limited English proficiency equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. <i>YES or NO (FROM 115.116(b)-1)</i></p> <p>POLICY: <i>EQUAL OPPORTUNITY: DISABLED OR LEP DETAINEES (FROM 115.116(a)-1)</i> Refer to page/section: <i>(FROM 115.116(a)-1)</i></p> <p>OTHER DOCUMENTATION: <i>CONTRACTS WITH INTERPRETERS OR OTHER PROFESSIONALS HIRED TO ENSURE EFFECTIVE COMMUNICATION WITH DETAINEES WHO ARE LIMITED ENGLISH PROFICIENT (FROM 115.116(b)-1)</i></p>

		<p><i>WRITTEN MATERIALS USED FOR EFFECTIVE COMMUNICATION ABOUT PREA WITH DETAINEES WITH DISABILITIES OR LIMITED READING SKILLS (FROM 115.116(a)-1)</i></p> <p><i>DOCUMENTATION OF STAFF TRAINING ON PREA-COMPLIANT PRACTICES FOR DETAINEES WITH DISABILITIES (FROM 115.116(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Detainees (with disabilities or who are limited English proficient) – Q: 1, 2, 3</p> <p>AUDITOR NOTES:</p>
<p>115.116 (c) The agency shall not rely on detainee interpreters, detainee readers, or other types of detainee assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the detainee's safety, the performance of first-response duties under § 115.164, or the investigation of the detainee's allegations.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy prohibits use of detainee interpreters, detainee readers, or other types of detainee assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the detainee's safety, the performance of first-response duties under § 115.164, or the investigation of the detainee's allegations. <i>YES or NO (FROM 115.116(c)-1)</i></p> <p>If YES, the agency or facility documents the limited circumstances in individual cases where detainee interpreters, readers, or other types of detainee assistants are used. <i>(Absence of such documentation does not result in noncompliance with the standard.) YES or NO (FROM 115.116(c)-2)</i></p> <p>In the past 12 months, the number of instances where detainee interpreters, readers, or other types of detainee assistants have been used and it was not the case that an extended delay in obtaining another interpreter could compromise the detainee's safety, the performance of first-responder duties under § 115.164, or the investigation of the detainee's allegations. <i>(FROM 115.116(c)-3)</i></p> <p>POLICY: <i>DETAINEE INTERPRETERS, READERS, OR ASSISTANTS (FROM 115.116(c)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.116(c)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Random Sample of Staff – Q: 8 Detainees (with disabilities or who are limited English proficient) – Q: 1, 2, 3</p> <p>REVIEW: Documentation of circumstances when detainee interpreters, readers, other detainee assistants were used. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>Overall Determination:</p> <p><input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

§115.117 – Hiring and promotion decisions.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>§115.117 (a) The agency shall not hire or promote anyone who may have contact with detainees, and shall not enlist the services of any contractor who may have contact with detainees, who—</p> <p>(1) Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997);</p> <p>(2) Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or</p> <p>(3) Has been civilly or administratively adjudicated to have engaged in the activity described in paragraph (a)(2) of this section.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy prohibits hiring or promoting anyone who may have contact with detainees and prohibits enlisting the services of any contractor who may have contact with detainees who:</p> <ul style="list-style-type: none"> Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997); Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or Has been civilly or administratively adjudicated to have engaged in the activity described in the paragraph above. <i>YES OR NO (FROM 115.117(a)-1)</i> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>REVIEW: Files of persons hired or promoted in the past 12 months to determine whether proper criminal record background checks have been conducted and questions regarding past conduct were asked and answered. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>§115.117 (b) The agency shall consider any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor, who may have contact with detainees.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires the consideration of any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor, who may have contact with detainees. <i>YES OR NO (FROM 115.117(b)-1)</i></p> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 2</p> <p>AUDITOR NOTES:</p>

<p>§115.117 (c) Before hiring new employees who may have contact with detainees, the agency shall: (1) Perform a criminal background records check; and (2) Consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires that before it hires any new employees who may have contact with detainees, it (a) conducts criminal background record checks, and (b) consistent with federal, state, and local law, makes its <i>best efforts</i> to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse. <i>YES OR NO (FROM 115.117(c)-1)</i></p> <p>In the past 12 months:</p> <ul style="list-style-type: none"> The number of persons hired who may have contact with detainees who have had criminal background record checks; and <i>(FROM 115.117(c)-2)</i> The percent of persons hired who may have contact with detainees who have had criminal background record checks. <i>(CALCULATED FROM 115.117(c)-2 AND # OF STAFF WHO HAVE CONTACT WITH DETAINEES FROM FACILITY CHARACTERISTICS)</i> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 1</p> <p>REVIEW: Files of personnel hired in the past 12 months to determine that agency has completed checks consistent with 115.117(c). <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>§115.117 (d) The agency shall also perform a criminal background records check before enlisting the services of any contractor who may have contact with detainees.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires that a criminal background record check be completed before enlisting the services of any contractor who may have contact with detainees. <i>YES OR NO (FROM 115.117(d)-1)</i></p> <p>In the past 12 months:</p> <ul style="list-style-type: none"> The number of contracts for services where criminal background record checks were conducted on all staff covered in the contract who might have contact with detainees; and <i>(FROM 115.117(d)-2)</i> The percent of contracts for services where criminal background record checks were conducted on all staff covered in the contract who might have contact with detainees. <i>(CALCULATED FROM 115.117(d)-2 AND # OF CONTRACTS FOR SERVICES WITH CONTRACTORS FROM FACILITY CHARACTERISTICS)</i> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(a)-1)</i></p> <p>AUDITOR NOTES:</p>

		<p>Audit:</p> <p>INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 1</p> <p>REVIEW: Records of background checks of contractors who might have contact with detainees. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>
<p>§115.117 (e) The agency shall either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with detainees or have in place a system for otherwise capturing such information for current employees.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires that either criminal background record checks be conducted at least every five years for current employees and contractors who may have contact with detainees or that a system is in place for otherwise capturing such information for current employees. <i>YES OR NO (FROM 115.117(e)-1)</i></p> <p>POLICY: <i>POLICY ON BACKGROUND CHECKS OF CURRENT EMPLOYEES/CONTRACTORS (FROM 115.117(e)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(e)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 3</p> <p>REVIEW: Documentation of background records checks of current employees and contractors at five year intervals when applicable. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>
<p>§115.117 (f) The agency shall ask all applicants and employees who may have contact with detainees directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions and in any interviews or written self-evaluations conducted as part of reviews of current employees. The agency shall also impose upon employees a continuing affirmative duty to disclose any such misconduct.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(a)-1)</i></p> <p><i>POLICY ON BACKGROUND CHECKS OF CURRENT EMPLOYEES/CONTRACTORS (FROM 115.117(e)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.117(e)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 4, 5</p> <p>AUDITOR NOTES:</p>
<p>§115.117 (g) Material omissions regarding such misconduct, or the provision of materially false information, are grounds for termination.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy states that material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination. <i>YES OR NO (FROM 115.117(g)-1)</i></p> <p>POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i></p>

		Refer to page/section: <i>(FROM 115.117(a)-1)</i> <i>POLICY ON BACKGROUND CHECKS OF CURRENT EMPLOYEES/CONTRACTORS (FROM 115.117(e)-1)</i> Refer to page/section: <i>(FROM 115.117(e)-1)</i> AUDITOR NOTES: Audit: AUDITOR NOTES:
§115.117 (h) Unless prohibited by law, the agency shall provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work. <i>(N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law. Please provide a copy of the law.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: POLICY: <i>POLICY ON HIRING AND PROMOTIONS (FROM 115.117(a)-1)</i> Refer to page/section: <i>(FROM 115.117(a)-1)</i> <i>POLICY ON BACKGROUND CHECKS OF CURRENT EMPLOYEES/CONTRACTORS (FROM 115.117(d)-1)</i> Refer to page/section: <i>(FROM 115.117(d)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Administrative (Human Resources) Staff – Q: 6 AUDITOR NOTES:

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

§115.118 – Upgrades to facilities and technology.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>§115.118 (a) When designing or acquiring any new lockup and in planning any substantial expansion or modification of existing lockups, the agency shall consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect detainees from sexual abuse.</p> <p><i>(N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency/facility has acquired a new facility or made a substantial expansion or modification to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later. YES OR NO (FROM 115.118(a)-1)</p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 1 Sheriff, Chief, or Director – Q: 5</p> <p>PREA AUDIT TOUR: Tour areas of the facility that were renovated, modified, or expanded.</p> <p>REVIEW: Documentation on facility design, renovation, modification, or expansion.</p> <p>AUDITOR NOTES:</p>
<p>§115.118 (b) When installing or updating a video monitoring system, electronic surveillance system, or other monitoring technology, the agency shall consider how such technology may enhance the agency's ability to protect detainees from sexual abuse.</p> <p><i>(N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency/facility has installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later. YES OR NO (FROM 115.118(b)-1)</p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 2 Sheriff, Chief, or Director – Q: 6</p> <p>PREA AUDIT TOUR: Check video monitoring system, electronic surveillance system, or other monitoring technology installed or updated since August 20, 2012 or the last PREA audit, whichever is later.</p> <p>REVIEW: Minutes from meetings referencing installing or updating monitoring technology. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

RESPONSIVE PLANNING

§115.121 – Evidence protocol and forensic medical examinations.

Auditor Findings

Verification Documents/Data for Auditor Review

§115.121 (a) To the extent the agency is responsible for investigating allegations of sexual abuse in its lockups, the agency shall follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions.

(N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)

Note. Review uniform evidence protocol for evidence that there is sufficient technical detail to aid responders in obtaining usable physical evidence.

- ☐ Yes
☐ No
☐ N/A

Pre-Audit:

QUESTIONNAIRE:

The agency/facility is responsible for conducting administrative or criminal sexual abuse investigations (including detainee-on-detainee sexual abuse or staff sexual misconduct). *YES, Administrative ONLY; YES, Criminal ONLY; YES, BOTH; OR NO, Neither (FROM 115.121(a)-1)*

If another agency has responsibility for conducting either administrative or criminal investigations, the name of the agency that has responsibility. *(FROM 115.121(a)-2).*

When conducting a sexual abuse investigation, the agency investigators follow a uniform evidence protocol. *YES OR NO (FROM 115.121(a)-3)*

OTHER DOCUMENTATION:

UNIFORM EVIDENCE PROTOCOL (FROM 115.121(a)-3)

AUDITOR NOTES:

Audit:

INTERVIEW GUIDE(S):

Random Sample of Staff – Q: 9, 11

AUDITOR NOTES:

§115.121 (b) The protocol shall be developmentally appropriate for youth where applicable, and, as appropriate, shall be adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011. As part of the training required in § 115.131, employees and volunteers who may have contact with lockup detainees shall receive basic training regarding how to detect and respond to victims of sexual abuse.

- ☐ Yes
☐ No
☐ N/A

Pre-Audit:

QUESTIONNAIRE:

The protocol is developmentally appropriate for youth. *YES, NO, OR N/A (FROM 115.121(b)-1)*

The protocol was adapted from or otherwise based on the most recent edition of the DOJ's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011. *YES OR NO (FROM 115.121(b)-2)*

If NO, the source that was used to develop the protocol. *(FROM 115.121(b)-3)*

Employees and volunteers who may have contact with detainees receive basic training regarding how to detect and respond to victims of sexual abuse. *YES OR NO (FROM 115.121(b)-4)*

OTHER DOCUMENTATION:

UNIFORM EVIDENCE PROTOCOL (FROM 115.121(a)-3)

ALTERNATIVE SOURCE USED TO DEVELOP PROTOCOL (IF APPLICABLE) TO DETERMINE APPROPRIATENESS FOR YOUTHS (FROM 115.121(b)-1)

AUDITOR NOTES:

(N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)

Note. Review uniform evidence protocol for evidence that there is sufficient technical detail to aid responders in obtaining usable physical evidence.

<p>§115.121 (c) The agency shall offer all victims of sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate. Such examinations shall be performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible. If SAFEs or SANEs cannot be made available, the examination can be performed by other qualified medical practitioners. The agency shall document its efforts to provide SAFEs or SANEs.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The facility offers to all detainees who experience sexual abuse access to forensic medical examinations. <i>YES, ONSITE; YES, OUTSIDE FACILITY; OR NO (FROM 115.121(c)-1)</i></p> <p>Forensic medical examinations are offered without financial cost to the victim: <i>YES OR NO (FROM 115.121(c)-2)</i></p> <p>Where possible, examinations are conducted by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs). <i>YES, NO, OR SOMETIMES (FROM 115.121(C)-3)</i> If sometimes, description provided: <i>(FROM 115.121(C)-3)</i></p> <p>When SANEs or SAFEs are not available, a qualified medical practitioner performs forensic medical examinations. <i>YES OR NO (FROM 115.121(c)-4)</i></p> <p>The facility documents efforts to provide SANEs or SAFEs. <i>YES OR NO (FROM 115.121(c)-5)</i></p> <p>During the past 12 months:</p> <ul style="list-style-type: none"> • The number of forensic medical exams conducted; <i>(FROM 115.121(c)-6)</i> • The number of exams performed by SANEs/SAFEs; and <i>(FROM 115.121(c)-7)</i> • The number of exams performed by a qualified medical practitioner. <i>(FROM 115.121(c)-8)</i> <p>OTHER DOCUMENTATION: <i>DOCUMENTATION OF EFFORTS TO PROVIDE SANEs/SAFEs (FROM 115.121(c)-3)</i></p> <p><i>DOCUMENTATION THAT FORENSIC MEDICAL EXAMS ARE OFFERED FOR FREE (FROM 115.121(c)-2)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S):</p> <p>REVIEW: Documentation to corroborate that all detainee victims of sexual abuse have access to forensic medical examinations. <i>(UPLOAD IF NECESSARY)</i></p> <p>Any available documentation that delineates responsibilities of outside medical and mental health practitioners. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>§115.121 (d) If the detainee is transported for a forensic examination to an outside hospital that offers victim advocacy services, the detainee shall be permitted to use such services to the extent available, consistent with security needs.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Victims of sexual abuse are transported for forensic examination to an outside hospital. <i>YES OR NO (FROM 115.121(d)-1)</i></p> <p>If YES, victims are permitted to use any existing victim advocacy services said hospital may offer, consistent with security needs. <i>YES OR NO (FROM 115.121(d)-2)</i></p> <p>In the past 12 months, the number of detainees transported to outside hospital for forensic examination: <i>(FROM 115.121(d)-3)</i></p> <p>In the past 12 months, the number of detainees transported to outside hospital for forensic examination who were offered victim advocacy services: <i>(FROM 115.121(d)-4)</i></p> <p>OTHER DOCUMENTATION: <i>RELEVANT DOCUMENTATION (FROM 115.121(d)-2)</i></p>

		AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): PREA Coordinator – Q: 9 AUDITOR NOTES:
§115.121 (e) To the extent the agency itself is not responsible for investigating allegations of sexual abuse, the agency shall request that the investigating agency follow the requirements of paragraphs (a) through (e) of this section. <i>(N/A if the agency/facility is responsible for administrative and criminal investigations.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: QUESTIONNAIRE: If the agency is not responsible for investigating allegations of sexual abuse and relies on another agency to conduct these investigations, the agency has requested that the responsible agency follow the requirements of paragraphs §115.121 (a) through (e) of the standards. <i>YES, NO OR N/A if the agency is responsible for investigating all allegations of sexual abuse. (FROM 115.121(e)-1)</i> OTHER DOCUMENTATION: <i>AGREEMENTS/MOUs (FROM 115.121(e)-1)</i> AUDITOR NOTES: Audit: REVIEW: Documentation of the request regarding the requirements of 115.121(a) through (e) with outside investigating agency. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:
115.121 (f) The requirements of paragraphs (a) through (e) of this section shall also apply to: (1) Any State entity outside of the agency that is responsible for investigating allegations of sexual abuse in lockups; and (2) Any Department of Justice component that is responsible for investigating allegations of sexual abuse in lockups.	N/A	
Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action) Auditor Comments (including corrective actions needed if does not meet standard):		

§115.122 – Policies to ensure referrals of allegations for investigations.

Auditor Findings	Verification Documents/Data for Auditor Review
<p>§115.122 (a) The agency shall ensure that an administrative or criminal investigation is completed for all allegations of sexual abuse and sexual harassment.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency ensures that an administrative or criminal investigation is completed for all allegations of sexual abuse and sexual harassment (including detainee-on-detainee sexual abuse and staff sexual misconduct). <i>YES OR NO (FROM 115.122(a)-1)</i> During the past 12 months: <ul style="list-style-type: none"> The number of allegations of sexual abuse and sexual harassment that were received; <i>(FROM 115.122(a)-2)</i> The number of allegations resulting in an administrative investigation; and <i>(FROM 115.122(a)-3)</i> The number of allegations referred for criminal investigation. <i>(FROM 115.122(a)-4)</i> Referring to allegations received during the past 12 months, all administrative and/or criminal investigations were completed: <i>YES OR NO (FROM 115.122(a)-5)</i> If NO, the explanation provided. <i>(FROM 115.122(a)-5)</i> <i>POLICIES AND/OR PROCEDURES GOVERNING INVESTIGATIONS OF ALLEGATIONS OF SEXUAL ABUSE AND SEXUAL HARRASSMENT (FROM 115.122(a)-1)</i> Refer to page/section: <i>(FROM 115.222(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Agency Head – Q: 3, 4 REVIEW: Documentation of reports of sexual abuse and harassment and documentation of investigations, including full investigative report with findings. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES: </p>
<p>§115.122 (b) If another law enforcement agency is responsible for conducting investigations of allegations of sexual abuse or sexual harassment in its lockups, the agency shall have in place a policy to ensure that such allegations are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior. The agency shall publish such policy, including a description of responsibilities of both the agency and the investigating entity, on its website, or, if it does not have one, make available the policy through other means. The agency shall document all such referrals.</p> <p><i>(N/A if agency is responsible for conducting administrative and criminal investigations of sexual abuse or sexual harassment. See 115.121(a))</i></p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: If another law enforcement agency is responsible for conducting investigations of allegations of sexual abuse or sexual harassment in its facilities, the agency has a policy that requires that allegations of sexual abuse or sexual harassment be referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior. <i>YES, NO OR N/A if agency is responsible for conducting its own administrative and criminal investigations. (FROM 115.122(b)-1)</i> Agency policy regarding the referral of allegations of sexual abuse or sexual harassment for criminal investigation is published on the agency website or made publicly available via other means. <i>YES OR NO (FROM 115.122(b)-2)</i> The agency documents all referrals of allegations of sexual abuse or sexual harassment for criminal investigation. <i>YES OR NO (FROM 115.122(b)-3)</i> POLICY: <i>INVESTIGATIVE POLICY (FROM 115.122(b)-1)</i> Refer to page/section: <i>(FROM 115.122(b)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 4 </p>

		<div>REVIEW:</div> <div>Verify that policy is on website or other means made publicly available. (UPLOAD IF NECESSARY)</div> <div>Documentation of referrals of allegations of sexual abuse/harassment. (UPLOAD IF NECESSARY)</div> <div>AUDITOR NOTES:</div>
§115.122 (c) Any State entity responsible for conducting administrative or criminal investigations of sexual abuse or sexual harassment in lockups shall have in place a policy governing the conduct of such investigations.	N/A	
§115.122 (d) Any Department of Justice component responsible for conducting administrative or criminal investigations of sexual abuse or sexual harassment in lockups shall have in place a policy governing the conduct of such investigations.	N/A	

Overall Determination:
☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

TRAINING AND EDUCATION

§115.131 – Employee training.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>§115.131 (a) The agency shall train all employees and volunteers who may have contact with lockup detainees to be able to fulfill their responsibilities under agency sexual abuse prevention, detection, and response policies and procedures, including training on:</p> <p>(1) The agency's zero-tolerance policy and detainees' right to be free from sexual abuse and sexual harassment;</p> <p>(2) The dynamics of sexual abuse and harassment in confinement settings, including which detainees are most vulnerable in lockup settings;</p> <p>(3) The right of detainees and employees to be free from retaliation for reporting sexual abuse or harassment;</p> <p>(4) How to detect and respond to signs of threatened and actual abuse;</p> <p>(5) How to communicate effectively and professionally with all detainees; and</p> <p>(6) How to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #92D050; padding: 2px;">Pre-Audit:</div> <div style="background-color: #E6F2E6; padding: 2px;"> QUESTIONNAIRE: The agency trains all employees and volunteers who may have contact with detainees to be able to fulfill their responsibilities under agency sexual abuse prevention, detection, and response policies and procedures, including training on the following matters. <i>LIST OF ALL CHECKED ELEMENTS (FROM 115.131(a)-1)</i> The agency <i>DOES NOT</i> train all employees and volunteers who may have contact with detainees to be able to fulfill their responsibilities under agency sexual abuse prevention, detection, and response policies and procedures, including training on the following matters. <i>LIST OF ALL UNCHECKED ELEMENTS (FROM 115.131(a)-1)</i> </div> <div style="background-color: #E6F2E6; padding: 2px;"> POLICY: <i>TRAINING POLICY AND/OR PROCEDURES (FROM 115.131(a)-1)</i> Refer to page/section: <i>(FROM 115.131(a)-1)</i> </div> <div style="background-color: #E6F2E6; padding: 2px;"> OTHER DOCUMENTATION: <i>TRAINING CURRICULUM (FROM 115.131(a)-1)</i> Refer to pages/sections: <i>(LIST OF REFERENCES FROM 115.131(a)-1)</i> </div> <div style="background-color: #E6F2E6; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #92D050; padding: 2px;">Audit:</div> <div style="background-color: #E6F2E6; padding: 2px;"> INTERVIEW GUIDE(S): Random Sample of Staff – Q: 1 Volunteers (who may have contact with detainees) – Q: 1 </div> <div style="background-color: #E6F2E6; padding: 2px;"> REVIEW: Sample of training records. <i>(UPLOAD IF NECESSARY)</i> </div> <div style="background-color: #E6F2E6; padding: 2px;"> AUDITOR NOTES: </div>
<p>§115.131 (b) All current employees and volunteers who may have contact with lockup detainees shall be trained within one year of the effective date of the PREA standards, and the agency shall provide annual refresher information to all such employees and volunteers to ensure that they know the agency's current sexual abuse and sexual harassment policies and procedures.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #92D050; padding: 2px;">Pre-Audit:</div> <div style="background-color: #E6F2E6; padding: 2px;"> QUESTIONNAIRE: <ul style="list-style-type: none"> The number of staff currently employed by the facility, who may have contact with detainees, who were trained or retrained in PREA requirements enumerated in the standard; and <i>(FROM 115.131(b)-1)</i> The percent of staff currently employed by the facility, who may have contact with detainees, who were trained or retrained in PREA requirements enumerated in the standard. <i>(CALCULATED FROM 115.131(b)-1 AND # OF STAFF EMPLOYED FROM FACILITY CHARACTERISTICS.)</i> The number of volunteers at the facility, who may have contact with detainees, who were trained or retrained on the PREA requirements enumerated in the standard. <i>(FROM 115.131(b)-2)</i> The percent of volunteers at the facility who may have contact with detainees who were trained or retrained in PREA requirements enumerated in the standard. <i>(CALCULATED FROM 115.131(b)-2 AND # OF VOLUNTEERS FROM FACILITY CHARACTERISTICS.)</i> <p>Between trainings the agency provides employees and volunteers who may have contact with detainees with refresher information about current policies regarding sexual abuse and sexual harassment. <i>YES OR NO (FROM 115.131(b)-3)</i></p> <p>If YES, the description provided. <i>(FROM 115.131(b)-3)</i></p> </div>

		<p>The frequency with which employees and volunteers who may have contact with detainees receive refresher training on PREA requirements. <i>(FROM 115.131(b)-4)</i></p> <p>OTHER DOCUMENTATION: <i>TRAINING CURRICULUM (FROM 115.131(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>REVIEW: Sample of training records. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>115.131 (c) The agency shall document, through employee signature or electronic verification, that employees understand the training they have received.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency documents that employees who may have contact with detainees understand the training they have received through employee signature or electronic verification. <i>YES OR NO (FROM 115.131(c)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>REVIEW: Documentation of employee signatures or electronic verification signifying comprehension of the training. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>Overall Determination:</p> <p><input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

§115.132 – Detainee, contractor, and inmate worker notification of the agency's zero-tolerance policy.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>§115.132 (a) During the intake process, employees shall notify all detainees of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: During the intake process, employees notify all detainees of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment. <i>YES OR NO (FROM 115.132(a)-1)</i></p> <p>Of detainees admitted during the past 12 months:</p> <ul style="list-style-type: none"> The number who were given this information at intake (if available); and <i>(FROM 115.132(a)-2)</i> The percent who were given this information at intake (if available). <i>(CALCULATED FROM 115.132(a)-2 AND # OF DETAINEES ADMITTED FROM FACILITY CHARACTERISTICS)</i> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Intake Staff – Q: 1 Random Sample of Detainees – Q: 3</p> <p>REVIEW: Intake records of detainees entering the facility in the last 12 months (spot check). <i>(UPLOAD IF NECESSARY)</i></p> <p>Log or other record corroborating that those detainees received information at intake (e.g., detainee signatures). <i>(UPLOAD IF NECESSARY)</i></p> <p>Any relevant education materials (e.g. detainee handbook or handout) to ensure that relevant information is covered. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Contractors and any inmates who work in the facility are informed of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment upon entering the facility. <i>YES OR NO (FROM 115.132(b)-1)</i></p> <ul style="list-style-type: none"> The number of contractors and inmates currently working in the facility who were given this information upon entering the facility: <i>(FROM 115.32(b)-2)</i> The percent of contractors and inmates currently working in the facility who were given this information upon entering the facility: <i>(CALCULATED FROM 115.132(b)-2 AND # OF CONTRACTORS AND INMATES WORKING IN THE LOCKUP FROM FACILITY CHARACTERISTICS)</i> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Contractor(s) and Inmates who Work in the Lockup (who may have contact with detainees) – Q: 1</p>

	REVIEW: Log or other record corroborating that those contractors and any inmates who work in the lockup received information upon entering the lockup (e.g., contractor/inmate signatures). (UPLOAD IF NECESSARY)
	Any relevant education materials (e.g. handout) to ensure that relevant information is covered. (UPLOAD IF NECESSARY)
	AUDITOR NOTES:

- Overall Determination:**
- ☐ Exceeds Standard (substantially exceeds requirement of standard)
 - ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
 - ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

§115.134 – Specialized training: Investigations.		
Auditor Findings		Verification Documents/Data for Auditor Review
<p>§115.134 (a) In addition to the general training provided to all employees and volunteers pursuant to § 115.131, the agency shall ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators have received training in conducting such investigations in confinement settings.</p> <p><i>(N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.121(a).)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires that investigators are trained in conducting sexual abuse investigations in confinement settings. <i>YES , NO, or NA if agency does not conduct administrative or criminal sexual abuse investigations (FROM 115.134(a)-1)</i></p> <p>POLICY: <i>AGENCY TRAINING POLICY (FROM 115.134(a)-1)</i> Refer to page/section: <i>(FROM 115.134(a)-1)</i></p> <p>OTHER DOCUMENTATION: <i>TRAINING CURRICULUM (FROM 115.134(a)-2)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Investigative Staff – Q: 1, 2</p> <p>REVIEW: Training records/logs of investigative staff. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>§115.134 (b) Specialized training shall include techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral.</p> <p><i>(N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.121(a).)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>POLICY: <i>AGENCY TRAINING POLICY (FROM 115.134(a)-1)</i> Refer to page/section: <i>(FROM 115.134(a)-1)</i></p> <p>OTHER DOCUMENTATION: <i>TRAINING CURRICULUM (FROM 115.134(a)-2)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Investigative Staff – Q: 3</p> <p>REVIEW: Training records/logs of investigative staff. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>§115.134 (c) The agency shall maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations.</p> <p><i>(N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.121(a).)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency maintains documentation showing that investigators have completed the required training. <i>YES OR NO (FROM 115.134(c)-1)</i></p> <p>The number of investigators the agency currently employs. <i>(FROM # OF INVESTIGATORS FROM FACILITY INFORMATION)</i></p> <p>The number of investigators currently employed who have completed the required training. <i>(FROM 115.134(c)-2)</i></p>

		<div>OTHER DOCUMENTATION: <i>DOCUMENTATION THAT INVESTIGATORS HAVE COMPLETED TRAINING (FROM 115.134(b)-1)</i></div> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>AUDITOR NOTES:</div>
<p>§115.134 (d) Any State entity or Department of Justice component that investigates sexual abuse in lockups shall provide such training to their agents and investigators who conduct such investigations.</p> <p><i>Note to auditors: Agents and investigators must be trained in conducting investigations in confinement settings as per 115.134(b) above.</i></p>	N/A	
<p>Overall Determination:</p> <p> <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action) </p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

SCREENING FOR RISK OF SEXUAL VICTIMIZATION AND ABUSIVENESS

115.141 – Screening for risk of victimization and abusiveness.

Auditor Findings		Verification Documents/Data for Auditor Review
115.141 (a) In lockups that are not utilized to house detainees overnight, before placing any detainees together in a holding cell, staff shall consider whether, based on the information before them, a detainee may be at a high risk of being sexually abused and, when appropriate, shall take necessary steps to mitigate any such danger to the detainee. <i>(N/A if lockup is utilized to house detainees overnight.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> QUESTIONNAIRE: The facility is used to house detainees overnight. <i>If YES, skip to 115.141(b). If NO, complete 115.141(a)-2 and 3 AND skip to 115.151. YES or NO (FROM 115.141(a)-1).</i> </div> <p>Before placing any detainees together in a holding cell, staff considers whether a detainee may be at a high risk of being sexually abused. <i>YES or NO (FROM 115.141 (a)-2)</i></p> <p>When appropriate, staff takes necessary steps to mitigate any such danger to the detainee. <i>YES or NO (FROM 115.141 (a)-3)</i></p> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;"> POLICY: <i>SCREENING POLICY (FROM 115.141(a)-1)</i> Refer to page/section: <i>(FROM 115.141(a)-1)</i> </div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> INTERVIEW GUIDE(S): Random Sample of Staff – Q: 15, 16 </div> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;"> AUDITOR NOTES: </div>
115.141 (b) In lockups that are utilized to house detainees overnight, all detainees shall be screened to assess their risk of being sexually abused by other detainees or sexually abusive toward other detainees. <i>(N/A if lockup is NOT used to house detainees overnight.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> QUESTIONNAIRE: The agency has a policy that requires that detainees be screened to assess their risk of sexual victimization or risk of sexually abusing other detainees. <i>YES or NO (FROM 115.141(b)-1)</i> </div> <p>In the past 12 months:</p> <ul style="list-style-type: none"> The number of detainees who were screened for risk of sexual victimization or risk of sexually abusing other detainees; and <i>(FROM 115.141(b)-2)</i> The percent of detainees who were screened for risk of sexual victimization or risk of sexually abusing other detainees. <i>(CALCULATED FROM 115.141(b)-2 AND # OF DETAINEES ADMITTED FROM FACILITY CHARACTERISTICS)</i> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;"> POLICY: <i>SCREENING POLICY (FROM 115.141(b)-1)</i> Refer to page/section: <i>(FROM 115.141(b)-1)</i> </div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;"> OTHER DOCUMENTATION: <i>SCREENING INSTRUMENT (FROM 115.141(b)-1)</i> </div> <div style="background-color: #D9EAD3; border: 1px solid #000; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; border: 1px solid #000; padding: 2px;"> REVIEW: Records for detainees admitted to the facility for evidence of appropriate screening. <i>(UPLOAD IF NECESSARY)</i> </div>

		INTERVIEW GUIDE(S): Staff Who Perform Screening for Risk of Victimization and Abusiveness – Q: 1, 2 Random Sample of Staff – Q: 17 Random Sample of Detainees – Q: 4 AUDITOR NOTES:
115.141 (c) In lockups described in paragraph (b) of this section, staff shall ask the detainee about his or her own perception of vulnerability. <i>(N/A if lockup is NOT used to house detainees overnight.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: OTHER DOCUMENTATION: <i>SCREENING INSTRUMENT (FROM 115.141(b)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Staff Who Perform Screening for Risk of Victimization and Abusiveness– Q: 2 Random Sample of Staff – Q: 18 Random Sample of Detainees – Q: 4 AUDITOR NOTES:
115.141 (d) The screening process in the lockups described in paragraph (b) of this section shall also consider, to the extent that the information is available, the following criteria to screen detainees for risk of sexual victimization: (1) Whether the detainee has a mental, physical, or developmental disability; (2) The age of the detainee; (3) The physical build and appearance of the detainee; (4) Whether the detainee has previously been incarcerated; and (5) The nature of the detainee's alleged offense and criminal history. <i>(N/A if lockup is NOT used to house detainees overnight.)</i> <i>Note each item prescribed by the PREA standard that is missing from the facility's risk screening instrument; note each item not prescribed in the PREA standards that is included in the facility's instrument. (In order to meet the requirements of the standard, the screening should use all criteria (1–5), to the extent that the information is available, to assess risk.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Pre-Audit: OTHER DOCUMENTATION: <i>SCREENING INSTRUMENT (FROM 115.141(b)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Staff Who Perform Screening for Risk of Victimization and Abusiveness– Q: 2 Random Sample of Staff – Q: 17 AUDITOR NOTES:
Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)		
Auditor Comments (including corrective actions needed if does not meet standard):		

REPORTING

115.151 – Detainee reporting.

Auditor Findings		Verification Documents/Data for Auditor Review
115.151 (a) The agency shall provide multiple ways for detainees to privately report sexual abuse and sexual harassment, retaliation by other detainees or staff for reporting sexual abuse and sexual harassment, and staff neglect or violation of responsibilities that may have contributed to such incidents.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: The agency has established procedures allowing for multiple internal ways for detainees to report privately to agency officials about: <ul style="list-style-type: none"> Sexual abuse or sexual harassment; Retaliation by other detainees or staff for reporting sexual abuse and sexual harassment; AND Staff neglect or violation of responsibilities that may have contributed to such incidents. <i>YES or NO (FROM 115.151(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> POLICY: <i>RELEVANT POLICY (FROM 115.151(a)-1)</i> Refer to page/section: <i>(FROM 115.151(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> OTHER DOCUMENTATION: <i>OTHER RELEVANT DOCUMENTATION PROVIDED (FROM 115.151(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> INTERVIEW GUIDE(S): Random Sample of Staff – Q: 6 Random Sample of Detainees – Q: 5, 7 </div> <div style="background-color: #F2F2F2; padding: 2px;"> PREA Audit Tour: Make observations and ask questions per the tour instructions. Note observations, etc.: </div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div>
115.151 (b) The agency shall also inform detainees of at least one way to report abuse or harassment to a public or private entity or office that is not part of the agency, and that is able to receive and immediately forward detainee reports of sexual abuse and sexual harassment to agency officials, allowing the detainee to remain anonymous upon request.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: The agency informs detainees of at least one way to report abuse or harassment to a public or private entity or office that is not part of the agency. <i>YES or NO (FROM 115.151(b)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> POLICY: <i>DETAINEE REPORTING POLICY (FROM 115.151(b)-1)</i> Refer to page/section: <i>(FROM 115.151(b)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> OTHER DOCUMENTATION: <i>DOCUMENTATION OF AGREEMENT WITH OUTSIDE PUBLIC OR PRIVATE ENTITY RESPONSIBLE FOR TAKING REPORTS (FROM 115.151(b)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> INTERVIEW GUIDE(S): PREA Coordinator – Q: 7, 8 Random Sample of Detainees – Q: 5, 6 </div>

		<p>PREA Audit Tour: Make observations and ask questions per the tour instructions. Note observations, etc.</p> <p>AUDITOR NOTES:</p>
115.151 (c) Staff shall accept reports made verbally, in writing, anonymously, and from third parties and promptly document any verbal reports.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has a policy mandating that staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties. <i>YES or NO (FROM 115.151(c)-1)</i></p> <p>Staff are required to document verbal reports. <i>YES or NO (FROM 115.151(c)-2)</i></p> <ul style="list-style-type: none"> If YES, the timeframe within which staff are required to document verbal reports. <i>(FROM 115.151(c)-2)</i> If NO, the explanation provided. <i>(FROM 115.151(c)-2)</i> <p>POLICY: <i>RELEVANT POLICY (FROM 115.151(c)-1)</i> Refer to page/section: <i>(FROM 115.151(c)-1)</i></p> <p>OTHER DOCUMENTATION: <i>OTHER DOCUMENTATION, SUCH AS DETAINEE HANDBOOKS (FROM 115.151(c)-1)</i> <i>DOCUMENTATION MADE OF VERBAL REPORTS (FROM 115.151(c)-2)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Random Sample of Staff – Q: 7 Random Sample of Detainees – Q: 7</p> <p>AUDITOR NOTES:</p>
115.151 (d) The agency shall provide a method for staff to privately report sexual abuse and sexual harassment of detainees.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has established procedures for staff to privately report sexual abuse and sexual harassment of detainees. <i>YES or NO (FROM 115.151(d)-1)</i></p> <ul style="list-style-type: none"> If YES, the description provided. <i>(FROM 115.151(d)-1)</i> If NO, the explanation provided. <i>(FROM 115.151(d)-1)</i> <p>Staff are informed of these procedures in the following ways. <i>(FROM 115.151(d)-2)</i></p> <p>POLICY: <i>RELEVANT POLICY OR PROCEDURES (FROM 115.151(d)-1)</i> Refer to page/section: <i>(FROM 115.151(d)-1)</i></p> <p>OTHER DOCUMENTATION: <i>OTHER DOCUMENTATION, SUCH AS STAFF HANDBOOKS (FROM 115.151(d)-2)</i></p> <p>AUDITOR NOTES:</p>

Audit:
INTERVIEW GUIDE(S):
Random Sample of Staff – Q: 5
AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
- ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.154 – Third-party reporting.

Auditor Findings		Verification Documents/Data for Auditor Review
115.154 (a) The agency shall establish a method to receive third-party reports of sexual abuse and sexual harassment in its lockups and shall distribute publicly information on how to report sexual abuse and sexual harassment on behalf of a detainee.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit:
		QUESTIONNAIRE: The agency or facility provides a method to receive third-party reports of detainee sexual abuse or sexual harassment. <i>YES or NO (FROM 115.154(a)-1)</i> If yes, the description of the method. <i>(FROM 115.154(a)-1)</i> The agency or facility publicly distributes information on how to report detainee sexual abuse or sexual harassment on behalf of detainees. <i>YES or NO (FROM 115.154(a)-2)</i> If yes, the description provided. <i>(FROM 115.154(a)-2)</i>
		OTHER DOCUMENTATION: <i>PUBLICLY DISTRIBUTED INFORMATION (FROM 115.154(a)-2)</i>
		AUDITOR NOTES:
		Audit:
		AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

OFFICIAL RESPONSE FOLLOWING A DETAINEE REPORT

115.161 – Staff and agency reporting duties.

Auditor Findings		Verification Documents/Data for Auditor Review
115.161 (a) The agency shall require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in an agency lockup; retaliation against detainees or staff who reported such an incident; and any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: The agency requires all staff to report immediately and according to agency policy: <ul style="list-style-type: none"> Any knowledge, suspicion, or information they receive regarding an incident of sexual abuse or sexual harassment that that occurred in an agency lockup. <i>YES or NO (FROM 115.161(a)-1)</i> Any retaliation against detainees or staff who reported such an incident. <i>YES or NO (FROM 115.161(a)-2)</i> Any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation. <i>YES or NO (FROM 115.161(a)-3)</i> </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> POLICY: <i>AGENCY POLICY (FROM 115.161(a)-1)</i> Refer to page/section: <i>(FROM 115.161(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; padding: 2px; margin-top: 10px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> INTERVIEW GUIDE(S): Random Sample of Staff – Q: 4 </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> AUDITOR NOTES: </div>
115.161 (b) Apart from reporting to designated supervisors or officials, staff shall not reveal any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment and investigation decisions.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: Apart from reporting to designated supervisors or officials, agency policy prohibits staff from revealing any information related to a sexual abuse report to anyone other than to the extent necessary to make treatment and investigation decisions. <i>YES or NO (FROM 115.161(b)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> POLICY: <i>AGENCY POLICY (FROM 115.161(a)-1)</i> Refer to page/section: <i>(FROM 115.161(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; padding: 2px; margin-top: 10px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> INTERVIEW GUIDE(S): Random Sample of Staff – Q: 10 </div> <div style="background-color: #F2F2F2; padding: 2px; margin-top: 5px;"> AUDITOR NOTES: </div>

115.161 (c) If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, the agency shall report the allegation to the designated State or local services agency under applicable mandatory reporting laws.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div>Pre-Audit:</div> <div>POLICY: <i>AGENCY POLICY (FROM 115.161(a)-1)</i> Refer to page/section: <i>(FROM 115.161(a)-1)</i></div> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>INTERVIEW GUIDE(S): Sheriff, Chief, or Director– Q: 11 PREA Coordinator – Q:17</div> <div>REVIEW: Documentation of any such reports. <i>(UPLOAD IF NECESSARY)</i></div> <div>AUDITOR NOTES:</div>
115.161 (d) The agency shall report all allegations of sexual abuse, including third-party and anonymous reports, to the agency's designated investigators.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div>Pre-Audit:</div> <div>POLICY: <i>AGENCY POLICY (FROM 115.161(a)-1)</i> Refer to page/section: <i>(FROM 115.161(a)-1)</i></div> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>INTERVIEW GUIDE(S): Sheriff, Chief, or Director– Q: 9</div> <div>REVIEW: Sample of reports to investigators. <i>(UPLOAD IF NECESSARY)</i></div> <div>AUDITOR NOTES:</div>
<div>Overall Determination:</div> <div> <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action) </div> <div>Auditor Comments (including corrective actions needed if does not meet standard):</div>		

115.162 – Agency protection duties.

Auditor Findings

115.162 (a) When an agency learns that a detainee is subject to a substantial risk of imminent sexual abuse, it shall take immediate action to protect the detainee.

- ☐ Yes
☐ No

Verification Documents/Data for Auditor Review

Pre-Audit:

QUESTIONNAIRE:

When the agency or facility learns that a detainee is subject to a substantial risk of imminent sexual abuse, it takes immediate action to protect the detainee (i.e., it takes some action to assess and implement appropriate protective measures without unreasonable delay). *YES or NO (FROM 115.162(a)-1)*

In the past 12 months, the number of times the agency or facility determined that a detainee was subject to substantial risk of imminent sexual abuse. *(FROM 115.162(a)-2)*

If the agency or facility made such determinations in the past 12 months, the average amount of time (in hours) that passed before taking action. *(FROM 115.162(a)-3)*

The longest amount of time elapsed before taking action. *(FROM 115.162(a)-4)*

If not "immediate" (i.e., without unreasonable delay), the explanation provided. *(FROM 115.162(a)-4)*

POLICY:

POLICY (FROM 115.162(a)-1)

Refer to page/section: *(FROM 115.162(a)-1)*

OTHER DOCUMENTATION:

RELEVANT DOCUMENTATION (FROM 115.162(a)-2-4)

AUDITOR NOTES:

Audit:

INTERVIEW GUIDE(S):

Agency Head – Q: 12
Sheriff, Chief, or Director– Q: 7
Random Sample of Staff – Q: 12

AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.163 – Reporting to other confinement facilities.

Auditor Findings		Verification Documents/Data for Auditor Review
115.163 (a) Upon receiving an allegation that a detainee was sexually abused while confined at another facility, the head of the facility that received the allegation shall notify the head of the facility or appropriate office of the agency where the alleged abuse occurred.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The agency has a policy requiring that, upon receiving an allegation that a detainee was sexually abused while confined at another facility, the head of the facility must notify the head of the facility or appropriate office of the agency or facility where sexual abuse is alleged to have occurred. <i>YES or NO (FROM 115.163(a)-1)</i> In the past 12 months, the number of allegations the facility received that a detainee was abused while confined at another facility. <i>(FROM 115.163(a)-2)</i> The facility's description of its response to allegations. <i>(FROM 115.163(a)-2)</i> POLICY: <i>POLICY (FROM 115.163(a)-1)</i> Refer to page/section: <i>(FROM 115.163(a)-1)</i> AUDITOR NOTES: Audit: REVIEW: Documentation of allegations that a detainee was abused while confined at another facility. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:
115.163 (b) Such notification shall be provided as soon as possible, but no later than 72 hours after receiving the allegation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: Agency policy requires that the facility head provide such notification as soon as possible, but no later than 72 hours after receiving the allegation. <i>YES or NO (FROM 115.163(b)-1)</i> POLICY: <i>POLICY (FROM 115.163(a)-1)</i> Refer to page/section: <i>(FROM 115.163(a)-1)</i> AUDITOR NOTES: Audit: AUDITOR NOTES:
115.163 (c) The agency shall document that it has provided such notification.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The agency or facility documents that it has provided such notification within 72 hours of receiving the allegation. <i>YES or NO (FROM 115.163(c)-1)</i> OTHER DOCUMENTATION: <i>DOCUMENTATION OF NOTIFICATIONS (FROM 115.163(c)-1)</i>

		<p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>REVIEW: Additional documentation of notifications, to verify they occurred within 72 hours of receiving allegation. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p> <hr/>
<p>115.163 (d) The facility head or agency office that receives such notification shall ensure that the allegation is investigated in accordance with these standards.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency or facility policy requires that allegations received from other facilities/agencies are investigated in accordance with the PREA standards. YES or NO (FROM 115.163(d)-1)</p> <p>In the past 12 months, the number of allegations of sexual abuse the facility received from other facilities. (FROM 115.163(d)-2)</p> <p>POLICY: POLICY (FROM 115.163(d)-1) Refer to page/section: (FROM 115.163(d)-1)</p> <p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 5 Sheriff, Chief, or Director– Q: 12, 13</p> <p>REVIEW: Documentation of allegations from other facilities and documentation of responses (i.e., evidence that allegation has been investigated in accordance with the standard). (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p> <hr/>
<p>Overall Determination:</p> <p><input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

115.164 – Staff first responder duties.

Auditor Findings		Verification Documents/Data for Auditor Review
115.164 (a)	<p>Upon learning of an allegation that a detainee was sexually abused, the first law enforcement staff member to respond to the report shall be required to:</p> <p>(1) Separate the alleged victim and abuser;</p> <p>(2) Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence;</p> <p>(3) If the abuse occurred within a time period that still allows for the collection of physical evidence, request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating; and</p> <p>(4) If the abuse occurred within a time period that still allows for the collection of physical evidence, ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has a first responder policy for allegations of sexual abuse. <i>YES OR NO (FROM 115.164(a)-1)</i></p> <p>If YES, the agency policy requires that, upon learning of an allegation that a detainee was sexually abused, the first law enforcement staff member to respond to the report shall be required to: <i>LIST OF ALL CHECKED ELEMENTS (FROM 115.164(a)-2)</i></p> <p>In the past 12 months, the number of allegations that a detainee was sexually abused. <i>(FROM 115.164(a)-3)</i></p> <p>Of these allegations, the number of times the first law enforcement staff member to respond to the report separated the alleged victim and abuser. <i>(FROM 115.164(a)-4)</i></p> <p>In the past 12 months, the number of allegations where staff were notified within a time period that still allowed for the collection of physical evidence. <i>(FROM 115.164(a)-5)</i></p> <p>Of these allegations, where staff were notified within a time period that still allowed for the collection of physical evidence, the number of times the first law enforcement staff member to respond to the report:</p> <ul style="list-style-type: none"> Preserved and protected any crime scene until appropriate steps could be taken to collect any evidence; <i>(FROM 115.164(a)-6)</i> Requested that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating; and/or <i>FROM 115.164(a)-6)</i> Ensured that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating. <i>FROM 115.164(a)-6)</i> <p>POLICY: <i>POLICY ON FIRST RESPONDER DUITES (FROM 115.164(a)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.164(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Law Enforcement Staff and Non-Law Enforcement Staff First Responders – Q: 1</p> <p>REVIEW: Documentation of responses to allegations. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
115.164 (b)	<p>If the first staff responder is not a law enforcement staff member, the responder shall be required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify law enforcement staff.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: Agency policy requires that if the first staff responder is not a law enforcement staff member, that responder shall be required to: <i>LIST OF ALL CHECKED ELEMENTS (FROM 115.164(b)-1)</i></p> <p>Of the allegations that a detainee was sexually abused made in the past 12 months, the number of times a non-law enforcement staff member was the first responder. <i>(FROM 115.164(b)-2)</i></p>

Of those allegations responded to first by a non-law enforcement staff member, the number of times that the staff member:
<ul style="list-style-type: none"> Requested that the alleged victim not take any actions that could destroy physical evidence; and/or <i>(FROM 115.164(b)-3)</i> Notified law enforcement staff. <i>(FROM 115.64(b)-4)</i>
POLICY:
<i>POLICY ON FIRST RESPONDER DUITES (FROM 115.164(a)-1)</i>
Refer to page/section: <i>(FROM 115.164(a)-1)</i>
AUDITOR NOTES:
Audit:
INTERVIEW GUIDE(S):
Law Enforcement Staff and Non-Law Enforcement Staff First Responders – Q: 1
Random Sample of Staff – Q: 10
REVIEW:
Documentation of responses to allegations. <i>(UPLOAD IF NECESSARY)</i>
AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.165 – Coordinated response.

Auditor Findings		Verification Documents/Data for Auditor Review
<p>115.165 (a) The agency shall develop a written institutional plan to coordinate actions taken in response to a lockup incident of sexual abuse, among staff first responders, medical and mental health practitioners, investigators, and agency leadership.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has developed a written 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 agency leadership. YES or NO (FROM 115.165(a)-1)</p> <p>OTHER DOCUMENTATION: FACILITY'S WRITTEN INSTITUTIONAL PLAN (FROM 115.165(a)-1)</p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 14</p> <p>AUDITOR NOTES:</p>
<p>115.165 (b) If a victim is transferred from the lockup to a jail, prison, or medical facility, the agency shall, as permitted by law, inform the receiving facility of the incident and the victim's potential need for medical or social services, unless the victim requests otherwise.</p> <p><i>(N/A if the agency is not permitted by law to inform a receiving facility, where a victim is transferred from the lockup to a jail, prison, or medical facility as a result of an allegation of sexual abuse of the incident and the victim's potential need for medical or social services. Please provide a copy of the law.)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency is permitted by law to inform a receiving facility, where a victim is transferred from the lockup to a jail, prison, or medical facility as a result of an allegation of sexual abuse, of the incident and the victim's potential need for medical or social services. YES or NO (FROM 115.165(b)-1)</p> <p>If a victim is transferred from the lockup to a jail, prison, or medical facility, the agency informs the receiving facility of the incident and the victim's potential need for medical or social services, unless the victim requests otherwise. YES or NO (FROM 115.165(b)-2)</p> <p>In the past 12 months:</p> <ul style="list-style-type: none"> The number of victims transferred from the lockup to a jail, prison, or medical facility as a result of an allegation of sexual abuse. (FROM 115.165(b)-3) The number of those victims transferred as a result of an allegation of sexual abuse where the agency informed the receiving facility of the incident and the victim's potential need for medical or social services. (FROM 115.165(b)-4) The number of those victims transferred as a result of an allegation of sexual abuse who requested the agency not inform the receiving facility. (FROM 115.165(b)-5) <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Sheriff, Chief, or Director– Q: 15</p> <p>REVIEW: If the agency is not permitted by law to inform a receiving facility per the standard, review a copy of the law. (UPLOAD IF NECESSARY)</p> <p>Log or other documentation of victim transfers from the lockup to a jail, prison, or medical facility as a result of an allegation of sexual abuse (verify that receiving facility was informed per the standard or if not, that victim requested otherwise). (UPLOAD IF NECESSARY)</p>

AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
- ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.166 – Preservation of ability to protect detainees from contact with abusers.

Auditor Findings		Verification Documents/Data for Auditor Review
115.166 (a)	<p>Neither the agency nor any other governmental entity responsible for collective bargaining on the agency's behalf shall enter into or renew any collective bargaining agreement or other agreement that limits the agency's ability to remove alleged staff sexual abusers from contact with detainees pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency, facility, or any other governmental entity responsible for collective bargaining on the agency's behalf has entered into or renewed any collective bargaining agreement or other agreement since August 20, 2012, or since the last PREA audit, whichever is later. <i>YES or NO (FROM 115.166(a)-1)</i></p> <p>OTHER DOCUMENTATION: <i>ALL AGREEMENTS ENTERED INTO SINCE AUGUST 20, 2012/LAST PREA AUDIT (FROM 115.166(A)-1) (Verify that all agreements permit the agency to remove alleged staff sexual abusers from contact with any detainees pending an investigation or a determination of whether and to what extent discipline is warranted.)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 6</p> <p>AUDITOR NOTES:</p>
115.166 (b)	<p>Nothing in this standard shall restrict the entering into or renewal of agreements that govern: (1) The conduct of the disciplinary process, as long as such agreements are not inconsistent with the provisions of §§ 115.172 and 115.176; or (2) Whether a no-contact assignment that is imposed pending the outcome of an investigation shall be expunged from or retained in the staff member's personnel file following a determination that the allegation of sexual abuse is not substantiated.</p> <p>N/A</p>	
<p>Overall Determination:</p> <p><input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

115.167 – Agency protection against retaliation.

Auditor Findings		Verification Documents/Data for Auditor Review
115.167 (a)	<p>The agency shall establish a policy to protect all detainees and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other detainees or staff, and shall designate which staff members or departments are charged with monitoring retaliation.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency has a policy to protect all detainees and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other detainees or staff. <i>YES or NO (FROM 115.167(a)-1)</i></p> <p>The agency designates staff member(s) or charges department(s) with monitoring for possible retaliation. <i>YES or NO (FROM 115.167(a)-2)</i></p> <ul style="list-style-type: none"> • If yes, the name(s) of the staff member(s): <i>(FROM 115.167(a)-2)</i> • If yes, the title(s) of the staff member(s): <i>(FROM 115.167(a)-2)</i> • If yes, the department(s) of the staff member(s): <i>(FROM 115.167(a)-2)</i> <p>POLICY: <i>POLICY PROTECTING DETAINEES AND STAFF AGAINST RETALIATION (FROM 115.167(a)-1)</i> Refer to page/section: <i>(FROM 115.167(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>AUDITOR NOTES:</p>
115.167 (b)	<p>The agency shall employ multiple protection measures, such as housing changes or transfers for detainee victims or abusers, removal of alleged staff or detainee abusers from contact with victims, and emotional support services for staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>POLICY: <i>POLICY PROTECTING DETAINEES AND STAFF AGAINST RETALIATION (FROM 115.167(a)-1)</i> Refer to page/section: <i>(FROM 115.167(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 7 Sheriff, Chief, or Director– Q: 16 Designated Staff Member Charged with Monitoring Retaliation (or Sheriff/Chief/Director if none available) – Q: 1, 2, 3</p> <p>REVIEW: Documentation of any protective measures taken. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
115.167 (c)	<p>The agency shall monitor the conduct and treatment of detainees or staff who reported sexual abuse and of detainees who were reported to have suffered sexual abuse, and shall act promptly to remedy any such retaliation.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency/facility monitors the conduct and treatment of detainees or staff who reported sexual abuse and of detainees who were reported to have suffered sexual abuse. <i>YES or NO (FROM 115.167(c)-1)</i></p> <p>The agency/facility acts promptly to remedy any such retaliation. <i>YES or NO (FROM 115.167(c)-2)</i></p>

		<p>The number of times an incident of retaliation occurred in the past 12 months. <i>(FROM 115.167(c)-3)</i></p> <p>POLICY: <i>POLICY PROTECTING DETAINEES AND STAFF AGAINST RETALIATION (FROM 115.167(a)-1)</i> Refer to page/section: <i>(FROM 115.167(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit: INTERVIEW GUIDE(S): Sheriff, Chief, or Director– Q: 17 Designated Staff Member Charged with Monitoring Retaliation (or Sheriff/Chief/Director if none available) – Q: 4, 5 REVIEW: Documentation of monitoring efforts. <i>(UPLOAD IF NECESSARY)</i> Documentation of reports of retaliation and agency response. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:</p>
115.167 (d) If any other individual who cooperates with an investigation expresses a fear of retaliation, the agency shall take appropriate measures to protect that individual against retaliation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit: POLICY: <i>POLICY PROTECTING DETAINEES AND STAFF AGAINST RETALIATION (FROM 115.167(a)-1)</i> Refer to page/section: <i>(FROM 115.167(a)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit: INTERVIEW GUIDE(S): Agency Head – Q: 8 Sheriff, Chief, or Director– Q: 16, 17 REVIEW: Documentation of any such protective measures taken. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:</p>
115.167 (e) An agency's obligation to monitor shall terminate if the agency determines that the allegation is unfounded.	N/A	
<p>Overall Determination: <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

INVESTIGATIONS

115.171 – Criminal and administrative agency investigations.

Auditor Findings		Verification Documents/Data for Auditor Review
115.171 (a) When the agency conducts its own investigations into allegations of sexual abuse and sexual harassment, it shall do so promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports. <i>(N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.121(a).)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: The agency/facility has a policy related to criminal and administrative agency investigations. <i>YES or NO (FROM 115.171(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;">POLICY:</div> <div style="background-color: #F2F2F2; padding: 2px;"> <i>POLICY RELATED TO CRIMINAL AND ADMINSTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;">Refer to page/section: <i>(FROM 115.171(a)-1)</i></div> <div style="background-color: #F2F2F2; padding: 2px;">AUDITOR NOTES:</div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;">INTERVIEW GUIDE(S):</div> <div style="background-color: #F2F2F2; padding: 2px;">Investigative Staff – Q: 5, 8</div> <div style="background-color: #F2F2F2; padding: 2px;">REVIEW:</div> <div style="background-color: #F2F2F2; padding: 2px;">Sample of investigative records/reports for allegations of sexual abuse or sexual harassment. <i>(UPLOAD IF NECESSARY)</i></div> <div style="background-color: #F2F2F2; padding: 2px;">AUDITOR NOTES:</div>
115.171 (b) Where sexual abuse is alleged, the agency shall use investigators who have received special training in sexual abuse investigations pursuant to § 115.134.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;">OTHER DOCUMENTATION:</div> <div style="background-color: #F2F2F2; padding: 2px;"> <i>TRAINING RECORDS (FROM 115.134(c)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;">AUDITOR NOTES:</div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;">INTERVIEW GUIDE(S):</div> <div style="background-color: #F2F2F2; padding: 2px;">Investigative Staff – Q: 1, 2</div> <div style="background-color: #F2F2F2; padding: 2px;">AUDITOR NOTES:</div>
115.171 (c) Investigators shall gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data; shall interview alleged victims, suspected perpetrators, and witnesses; and shall review prior complaints and reports of sexual abuse involving the suspected perpetrator.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;">POLICY:</div> <div style="background-color: #F2F2F2; padding: 2px;"> <i>POLICY RELATED TO CRIMINAL AND ADMINSTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;">Refer to page/section: <i>(FROM 115.171(a)-1)</i></div> <div style="background-color: #F2F2F2; padding: 2px;">AUDITOR NOTES:</div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;">INTERVIEW GUIDE(S):</div> <div style="background-color: #F2F2F2; padding: 2px;">Investigative Staff – Q: 6, 7, 9</div> <div style="background-color: #F2F2F2; padding: 2px;">REVIEW:</div> <div style="background-color: #F2F2F2; padding: 2px;">Investigative reports, record retention schedule, and copies of case records detailing allegations of abuse. <i>(UPLOAD IF NECESSARY)</i></div>

		AUDITOR NOTES:
115.171 (d) When the quality of evidence appears to support criminal prosecution, the agency shall conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: POLICY: <i>POLICY RELATED TO CRIMINAL AND ADMINSTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> Refer to page/section: <i>(FROM 115.171(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 10 REVIEW: Sample of investigation reports. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:
115.171 (e) The credibility of an alleged victim, suspect, or witness shall be assessed on an individual basis and shall not be determined by the person's status as detainee or staff. No agency shall require a detainee who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding with the investigation of such an allegation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: POLICY: <i>POLICY RELATED TO CRIMINAL AND ADMINSTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> Refer to page/section: <i>(FROM 115.171(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 11, 12 AUDITOR NOTES:
115.171 (f) Administrative investigations: (1) Shall include an effort to determine whether staff actions or failures to act contributed to the abuse; and (2) Shall be documented in written reports that include a description of the physical and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: POLICY: <i>POLICY RELATED TO CRIMINAL AND ADMINSTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> Refer to page/section: <i>(FROM 115.171(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 16, 17 REVIEW: Sample of administrative investigation reports. <i>(UPLOAD IF NECESSARY)</i> Sample of cases involving substantiated allegations to ensure that they were referred for prosecution. <i>(UPLOAD IF NECESSARY)</i>

		AUDITOR NOTES:
115.171 (g) Criminal investigations shall be documented in a written report that contains a thorough description of physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 18 REVIEW: Sample of criminal investigation reports. (UPLOAD IF NECESSARY) AUDITOR NOTES:
115.171 (h) Substantiated allegations of conduct that appears to be criminal shall be referred for prosecution.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: Substantiated allegations of conduct that appear to be criminal are referred for prosecution. <i>YES or NO (FROM 115.171(h)-1)</i> The number of substantiated allegations of conduct that appear to be criminal that were referred for prosecution since August 20, 2012, or since the last PREA audit, whichever is later. <i>(FROM 115.171(h)-2)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Investigative Staff – Q: 13 REVIEW: Sample of cases referred for prosecution. (UPLOAD IF NECESSARY) AUDITOR NOTES:
115.171 (i) The agency shall retain all written reports referenced in paragraphs (f) and (g) of this section for as long as the alleged abuser is incarcerated or employed by the agency, plus five years.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The agency retains all written reports pertaining to the administrative or criminal investigation of alleged sexual abuse or sexual harassment for as long as the alleged abuser is incarcerated or employed by the agency, plus five years. <i>YES or NO (FROM 115.171(i)-1)</i> POLICY: <i>POLICY RELATED TO CRIMINAL AND ADMINISTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i> Refer to page/section: <i>(FROM 115.171(a)-1)</i> AUDITOR NOTES: Audit: REVIEW: Sample of investigation reports (including older reports, if applicable). (UPLOAD IF NECESSARY) AUDITOR NOTES:

115.171 (j) The departure of the alleged abuser or victim from the employment or control of the lockup or agency shall not provide a basis for terminating an investigation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div>Pre-Audit:</div> <div>POLICY:</div> <div><i>POLICY RELATED TO CRIMINAL AND ADMINISTRATIVE AGENCY INVESTIGATIONS (FROM 115.171(a)-1)</i></div> <div>Refer to page/section: <i>(FROM 115.171(a)-1)</i></div> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>INTERVIEW GUIDE(S):</div> <div>Investigative Staff – Q: 14</div> <div>AUDITOR NOTES:</div>
115.171 (k) Any State entity or Department of Justice component that conducts such investigations shall do so pursuant to the above requirements.	N/A	
115.171 (l) When outside agencies investigate sexual abuse, the facility shall cooperate with outside investigators and shall endeavor to remain informed about the progress of the investigation. <i>(N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.121(a).)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<div>Pre-Audit:</div> <div>AUDITOR NOTES:</div> <div>Audit:</div> <div>INTERVIEW GUIDE(S):</div> <div>Sheriff, Chief, or Director– Q: 10</div> <div>PREA Coordinator – Q: 16</div> <div>Investigative Staff– Q: 15</div> <div>AUDITOR NOTES:</div>
<div>Overall Determination:</div> <div> <input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action) </div> <div>Auditor Comments (including corrective actions needed if does not meet standard):</div>		

115.172 – Evidentiary standards for administrative investigations.

Auditor Findings

115.172 (a) The agency shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated.

- ☐ Yes
☐ No

Verification Documents/Data for Auditor Review

Pre-Audit:

QUESTIONNAIRE:

The agency imposes a standard of a preponderance of the evidence or a lower standard of proof when determining whether allegations of sexual abuse or sexual harassment are substantiated. *YES or NO (FROM 115.172(a)-1)*

POLICY:

POLICY (FROM 115.172(a)-1)

Refer to page/section: *(FROM 115.172(a)-1)*

AUDITOR NOTES:

Audit:

INTERVIEW GUIDE(S):

Investigative Staff – Q: 19

REVIEW:

Documentation of administrative findings for proper standard of proof. *(UPLOAD IF NECESSARY)*

AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

DISCIPLINE

115.176 – Disciplinary sanctions for staff.

Auditor Findings		Verification Documents/Data for Auditor Review
115.176 (a) Staff shall be subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: Staff is subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies. <i>YES or NO (FROM 115.176(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> POLICY: <i>STAFF DISCIPLINARY SANCTIONS (FROM 115.176(a)-1)</i> Refer to page/section: <i>(FROM 115.176(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div>
115.176 (b) Termination shall be the presumptive disciplinary sanction for staff who have engaged in sexual abuse.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: In the past 12 months: <ul style="list-style-type: none"> The number of staff from the facility who have violated agency sexual abuse or sexual harassment policies; and <i>(FROM 115.176(b)-1)</i> The number of those staff from the facility who have been terminated (or resigned prior to termination) for violating agency sexual abuse or sexual harassment policies. <i>(FROM 115.176(b)-2)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> POLICY: <i>STAFF DISCIPLINARY SANCTIONS (FROM 115.176(a)-1)</i> Refer to page/section: <i>(FROM 115.176(a)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> OTHER: <i>SAMPLE RECORDS OF TERMINATIONS, RESIGNATIONS, OR OTHER SANCTIONS FOR VIOLATION OF SEXUAL ABUSE OR HARASSMENT POLICY(FROM 115.176(b)-1)</i> </div> <div style="background-color: #D9EAD3; padding: 2px;">Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> REVIEW: Additional sample records of terminations, resignations, or other sanctions for violation of sexual abuse or harassment. <i>(UPLOAD IF NECESSARY)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> AUDITOR NOTES: </div>
115.176 (c) Disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) shall be commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<div style="background-color: #D9EAD3; padding: 2px;">Pre-Audit:</div> <div style="background-color: #F2F2F2; padding: 2px;"> QUESTIONNAIRE: The disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) are commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories. <i>YES or NO (FROM 115.176(c)-1)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> In the past 12 months, the number of staff from the facility who have been disciplined, short of termination, for violation of agency sexual abuse or sexual harassment policies (other than actually engaging in sexual abuse). <i>YES or NO (FROM 115.176(c)-2)</i> </div> <div style="background-color: #F2F2F2; padding: 2px;"> POLICY: <i>STAFF DISCIPLINARY SANCTIONS (FROM 115.176(a)-1)</i> </div>

		<p><i>Refer to page/section: (FROM 115.176(a)-1)</i></p> <p>Audit:</p> <p>REVIEW: Records of disciplinary sanctions taken against staff for violations of the agency sexual abuse or sexual harassment policies in the past 12 months. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>
<p>115.176 (d) All terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to any relevant licensing bodies.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: All terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, are reported to law enforcement agencies (unless the activity was clearly not criminal) and to any relevant licensing bodies. YES or NO (FROM 115.176(d)-1)</p> <p>In the past 12 months, the number of staff from the facility that have been reported to law enforcement or licensing boards following their termination (or resignation prior to termination) for violating agency sexual abuse or sexual harassment policies. YES or NO (FROM 115.176(d)-2)</p> <p>POLICY: STAFF DISCIPLINARY SANCTIONS (FROM 115.176(a)-1) <i>Refer to page/section: (FROM 115.176(a)-1)</i></p> <p>Audit:</p> <p>REVIEW: Reports to law enforcement for violations of agency sexual abuse or sexual harassment policies. (UPLOAD IF NECESSARY)</p> <p>AUDITOR NOTES:</p>

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)

☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.177 – Corrective action for contractors and volunteers.

Auditor Findings		Verification Documents/Data for Auditor Review
115.177 (a) Any contractor or volunteer who engages in sexual abuse is prohibited from contact with detainees and shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: Agency policy requires 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. YES or NO (FROM 115.177(a)-1) Agency policy requires that any contractor or volunteer who engages in sexual abuse be prohibited from contact with detainees. YES or NO (FROM 115.177(a)-2) In the past 12 months, contractors or volunteers have been reported to law enforcement agencies and relevant licensing bodies for engaging in sexual abuse of detainees. YES or NO (FROM 115.177(a)-3) In the past 12 months, the number of contractors or volunteers reported to law enforcement for engaging in sexual abuse of detainees. (FROM 115.177(a)-4) POLICY: POLICY REQUIRING NOTIFICATION (FROM 115.177(a)-1) Refer to page/section: (FROM 115.177(a)-1) OTHER DOCUMENTATION: REPORTS OF SEXUAL ABUSE OF DETAINEES BY CONTRACTORS OR VOLUNTEERS (FROM 115.177(a)-3) AUDITOR NOTES:
115.177 (b) The facility shall take appropriate remedial measures, and shall consider whether to prohibit further contact with detainees, in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The facility takes appropriate remedial measures and considers whether to prohibit further contact with detainees in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer. YES or NO (FROM 115.177(b)-1) OTHER DOCUMENTATION: DOCUMENTATION OF REMEDIAL MEASURES THAT HAVE BEEN ENFORCED (FROM 115.177(b)-2) Audit: INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 18 AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.178 – Referrals for prosecution for detainee-on-detainee sexual abuse.

Auditor Findings		Verification Documents/Data for Auditor Review
115.178 (a) When there is probable cause to believe that a detainee sexually abused another detainee in a lockup, the agency shall refer the matter to the appropriate prosecuting authority.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: When there is probable cause to believe that a detainee sexually abused another detainee in a lockup, agency policy requires that the matter be referred to the appropriate prosecuting authority. YES or NO (FROM 115.178(a)-1)</p> <p>In the past 12 months, the number of allegations where there was probable cause to believe that a detainee sexually abused another detainee in the facility. (FROM 115.178(a)-2)</p> <p>In the past 12 months, the number of the allegations above that were referred to the appropriate prosecuting authority. (FROM 115.178(a)-3)</p> <p>POLICY: POLICY ON PROSECUTION REFERRAL (FROM 115.178(a)) Refer to page/section: (FROM 115.178(a)-1)</p> <p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 19</p> <p>AUDITOR NOTES:</p> <hr/>
115.178 (b) To the extent the agency itself is not responsible for investigating allegations of sexual abuse, the agency shall inform the investigating entity of this policy. <i>(N/A if the agency/facility is responsible for administrative and criminal investigations. See 115.121(a).)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: If the agency is not responsible for administrative and criminal investigations of allegations of sexual abuse, the agency informs the investigating agency of this policy. YES, NO, or NA if the agency/facility is responsible for conducting administrative or criminal investigations (FROM 115.178(b)-1)</p> <p>POLICY: POLICY (FROM 115.178(a)) Refer to page/section: (FROM 115.178(a)-1)</p> <p>AUDITOR NOTES:</p> <hr/> <p>Audit:</p> <p>AUDITOR NOTES:</p> <hr/>
115.178 (c) Any State entity or Department of Justice component that is responsible for investigating allegations of sexual abuse in lockups shall be subject to this requirement.	N/A	

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
- ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

MEDICAL AND MENTAL HEALTH CARE

115.182 - Access to emergency medical services.

Auditor Findings

115.182 (a) Detainee victims of sexual abuse in lockups shall receive timely, unimpeded access to emergency medical treatment.

☐ Yes
☐ No

Verification Documents/Data for Auditor Review

Pre-Audit:

QUESTIONNAIRE:

Detainee victims of sexual abuse receive timely, unimpeded access to emergency medical treatment. *YES or NO (FROM 115.182(a)-1)*

OTHER DOCUMENTATION:

SAMPLE MEDICAL SECONDARY FORMS/LOGS RE: ACCESS TO SERVICES (FROM 115.182(a)-1)

AUDITOR NOTES:

Audit:

INTERVIEW GUIDE(S):

Sheriff, Chief, or Director – Q: 23, 24

REVIEW:

Additional medical secondary materials describing access to services. *(UPLOAD IF NECESSARY)*

AUDITOR NOTES:

115.182 (b) Treatment services shall be provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident.

☐ Yes
☐ No

Pre-Audit:

QUESTIONNAIRE:

Treatment services are provided to every victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident. *YES or NO (FROM 115.182(d)-1)*

POLICY:

MEDICAL TREATMENT: SEXUAL ABUSE (FROM 115.182(b)-1)

Refer to page/section: *(FROM 115.182(d)-1)*

AUDITOR NOTES:

Audit:

AUDITOR NOTES:

Overall Determination:

- ☐ Exceeds Standard (substantially exceeds requirement of standard)
- ☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- ☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

DATA COLLECTION AND REVIEW		
115.186 – Sexual abuse incident reviews.		
Auditor Findings	Verification Documents/Data for Auditor Review	
115.186 (a) The lockup shall conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The facility conducts a sexual abuse incident review at the conclusion of every criminal or administrative sexual abuse investigation, unless the allegation has been determined to be unfounded. <i>YES or NO (FROM 115.186(a)-1)</i> In the past 12 months, the number of criminal and/or administrative investigations of alleged sexual abuse completed at the facility, excluding only “unfounded” incidents. <i>(FROM 115.186(a)-2)</i> POLICY: <i>SEXUAL ABUSE INCIDENT REVIEWS (FROM 115.186(a)-1)</i> Refer to page/section: <i>(FROM 115.186(a)-1)</i> OTHER DOCUMENTATION: <i>DOCUMENTATION OF INCIDENT REVIEWS (FROM 115.186(a)-1) , if applicable.</i> <i>SAMPLE DOCUMENTATION OF COMPLETED CRIMINAL OR ADMINISTRATIVE INVESTIGATIONS OF SEXUAL ABUSE (FROM 115.186(a)-1), if incident review documents contained therein.</i> AUDITOR NOTES:
115.186 (b) Such review shall ordinarily occur within 30 days of the conclusion of the investigation.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The facility ordinarily conducts a sexual abuse incident review within 30 days of the conclusion of the criminal or administrative sexual abuse investigation. <i>YES or NO (FROM 115.186(b)-1)</i> In the past 12 months, the number of criminal and/or administrative investigations of alleged sexual abuse completed at the facility that were followed by a sexual abuse incident review within 30 days, excluding only “unfounded” incidents. <i>(FROM 115.186(b)-2)</i> OTHER DOCUMENTATION: <i>DOCUMENTATION OF INCIDENT REVIEWS (FROM 115.186(a)-1), if applicable.</i> <i>SAMPLE DOCUMENTATION OF COMPLETED CRIMINAL OR ADMINISTRATIVE INVESTIGATIONS OF SEXUAL ABUSE (FROM 115.86(a)-1), if incident reviews contained therein.</i> AUDITOR NOTES:

		AUDITOR NOTES:
115.186 (c)	The review team shall include upper-level management officials, with input from line supervisors and investigators.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div> Pre-Audit: QUESTIONNAIRE: The sexual abuse incident review team includes upper-level management officials and allows for input from line supervisors and investigators. <i>YES or NO (FROM 115.186(c)-1)</i> POLICY: <i>SEXUAL ABUSE INCIDENT REVIEWS (FROM 115.186(a)-1)</i> Refer to page/section: <i>(FROM 115.186(a)-1)</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 20 REVIEW Documentation of review team minutes or reports. AUDITOR NOTES: </div>
115.186 (d)	The review team shall: (1) Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse; (2) Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; or gang affiliation; or was motivated or otherwise caused by other group dynamics at the lockup; (3) Examine the area in the lockup where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse; (4) Assess the adequacy of staffing levels in that area during different shifts; (5) Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff; and (6) Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to paragraphs (d)(1)-(d)(5) of this section, and any recommendations for improvement and submit such report to the lockup head and PREA Coordinator.	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div> Pre-Audit: QUESTIONNAIRE: The facility prepares a report of its findings from sexual abuse incident reviews, including but not necessarily limited to determinations made pursuant to paragraphs (d)(1)-(d)(5) of this standard and any recommendations for improvement, and submits such report to the facility head and PREA Coordinator. <i>YES or NO (FROM 115.186(d)-3)</i> OTHER DOCUMENTATION: <i>DOCUMENTATION OF INCIDENT REVIEWS (FROM 115.186(a)-1) , if applicable.</i> <i>REPORTS OF FINDINGS FROM SEXUAL ABUSE INCIDENT REVIEWS (FROM 115.86(d)-3) , if applicable.</i> AUDITOR NOTES: Audit: INTERVIEW GUIDE(S): Sheriff, Chief, or Director – Q: 21, 22 PREA Coordinator – Q: 10, 11, 12 Incident Review Team – Q: 1, 2, 3, 4 REVIEW: Additional reports of findings from sexual abuse incident reviews. (UPLOAD IF NECESSARY) AUDITOR NOTES: </div>

115.186 (e) The lockup shall implement the recommendations for improvement, or shall document its reasons for not doing so.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit:
	QUESTIONNAIRE: The lockup implements the recommendations for improvement or documents its reasons for not doing so. <i>YES or NO (FROM 115.186(e)-1)</i>	
	OTHER DOCUMENTATION: <i>DOCUMENTATION SUPPORTING IMPLEMENTATION OF RECOMMENDATIONS (FROM 115.186(e)-1) OR DOCUMENTATION OF REASONS FOR NOT IMPLEMENTING RECOMMENDATIONS (FROM 115.186(e)-1)</i>	
	AUDITOR NOTES:	
	Audit:	
	AUDITOR NOTES:	

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.187 – Data collection.

Auditor Findings		Verification Documents/Data for Auditor Review
115.187 (a)/(c)	<p>The agency shall collect accurate, uniform data for every allegation of sexual abuse at lockups under its direct control using a standardized instrument and set of definitions.</p> <p>The incident-based data collected shall include, at a minimum, the data necessary to answer all questions from the most recent version of the Local Jail Jurisdictions Survey of Sexual Violence conducted by the Department of Justice, or any subsequent form developed by the Department of Justice and designated for lockups.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency collects accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions. <i>YES or NO (FROM 115.187(a)/(c)-1)</i></p> <p>The standardized instrument includes, at a minimum, the data necessary to answer all questions from the most recent version of the Local Jail Jurisdictions Survey of Sexual Violence (SSV) conducted by the Department of Justice, or any subsequent form developed by the Department of Justice and designated for lockups. <i>YES or NO (FROM 115.187 (a)/(c)-2)</i></p> <p>POLICY: <i>SEXUAL ABUSE DATA COLLECTION (FROM 115.187(a)/(c)-1)</i> Refer to page/section: <i>(FROM 115.187(a)/(c)-1)</i></p> <p>OTHER DOCUMENTATION: <i>SET OF DEFINITIONS (FROM 115.187(a)/(c)-1) , if applicable.</i> <i>DATA COLLECTION INSTRUMENT (FROM 115.187(a)/(c)-2) , if applicable</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>AUDITOR NOTES:</p>
115.187 (b)	<p>The agency shall aggregate the incident-based sexual abuse data at least annually.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency aggregates the incident-based sexual abuse data at least annually. <i>YES or NO (FROM 115.187(b)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>REVIEW: Sample of aggregated data. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
115.187 (d)	<p>The agency shall maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency maintains, reviews, and collects data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews. <i>YES or NO (FROM 115.187(d)-1)</i></p> <p>POLICY: <i>SEXUAL ABUSE DATA COLLECTION (FROM 115.187(a)/(c)-1)</i> Refer to page/section: <i>(FROM 115.187(a)/(c)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>AUDITOR NOTES:</p>

<p>115.187 (e) The agency also shall obtain incident-based and aggregated data from every private agency with which it contracts for the confinement of its detainees.</p> <p><i>(N/A if agency does not contract for the confinement of its detainees)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency obtains incident-based and aggregated data from every private facility with which it contracts for the confinement of its detainees. <i>YES, NO, or N/A if the agency does not contract for the confinement of its detainees (FROM 115.187(e)-1)</i></p> <p>The data from private facilities complies with SSV reporting regarding content. <i>YES or NO (FROM 115.187(e)-1)</i></p> <p>POLICY: <i>SEXUAL ABUSE DATA COLLECTION (FROM 115.187(a)/(c)-1)</i></p> <p>Refer to page/section: <i>(FROM 115.187(a)/(c)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>REVIEW: Sample of incident-based and aggregated data from private facility, if applicable. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
<p>115.187 (f) Upon request, the agency shall provide all such data from the previous calendar year to the Department of Justice no later than June 30.</p> <p><i>(N/A if DOJ has not requested agency data.)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency provided Department of Justice data from the previous calendar year upon request. <i>YES, NO, or N/A if DOJ has not requested agency data (FROM 115.187(f)-1)</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>AUDITOR NOTES:</p>

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

115.188 – Data review for corrective action.

Auditor Findings		Verification Documents/Data for Auditor Review
115.188 (a)	<p>The agency shall review data collected and aggregated pursuant to § 115.187 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by:</p> <p>(1) Identifying problem areas; (2) Taking corrective action on an ongoing basis; and (3) Preparing an annual report of its findings and corrective actions for each lockup, as well as the agency as a whole.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency reviews data collected and aggregated pursuant to §115.187 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, and training, including:</p> <ul style="list-style-type: none"> Identifying problem areas; Taking corrective action on an ongoing basis; and Preparing an annual report of its findings from its data review and any corrective actions for each lockup, as well as the agency as a whole. <i>YES or NO (FROM 115.188(a)-1)</i> <p>OTHER DOCUMENTATION: <i>DOCUMENTATION OF CORRECTIVE ACTION PLANS (FROM 115.188(a)-1), if applicable.</i> <i>ANNUAL REPORT OF FINDINGS FROM DATA REVIEWS/CORRECTIVE ACTIONS (FROM 115.188(a)-1), if applicable.</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 9 PREA Coordinator – Q: 13, 14</p> <p>REVIEW: Additional documentation of corrective action plans. <i>(UPLOAD IF NECESSARY)</i></p> <p>AUDITOR NOTES:</p>
115.188 (b)	<p>Such report shall include a comparison of the current year's data and corrective actions with those from prior years and shall provide an assessment of the agency's progress in addressing sexual abuse.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The annual report includes a comparison of the current year's data and corrective actions with those from prior years. <i>YES or NO (FROM 115.188(b)-1)</i></p> <p>The annual report provides an assessment of the agency's progress in addressing sexual abuse. <i>YES or NO (FROM 115.188(b)-2)</i></p> <p>OTHER DOCUMENTATION: <i>ANNUAL REPORT OF FINDINGS FROM DATA REVIEWS/CORRECTIVE ACTIONS (FROM 115.188(a)-1), if applicable.</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>AUDITOR NOTES:</p>
115.188 (c)	<p>The agency's report shall be approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means.</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>Pre-Audit:</p> <p>QUESTIONNAIRE: The agency makes its annual report readily available to the public at least annually through its website. <i>YES or NO (FROM 115.188(c)-1)</i></p> <p>If NO, the agency makes it available through other means. <i>YES or NO (FROM 115.188(c)-2)</i></p> <p>The annual reports are approved by the agency head. <i>YES or NO (FROM 115.188(c)-3)</i></p>

		<p>OTHER DOCUMENTATION: <i>WEBSITE WHERE ANNUAL REPORT IS AVAILABLE (FROM 115.188(c)-1), if applicable.</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): Agency Head – Q: 10</p> <p>AUDITOR NOTES:</p>
<p>115.188 (d) The agency may redact specific material from the reports when publication would present a clear and specific threat to the safety and security of a lockup, but must indicate the nature of the material redacted.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Pre-Audit:</p> <p>QUESTIONNAIRE: When the agency redacts material from an annual report for publication the redactions are limited to specific materials where publication would present a clear and specific threat to the safety and security of the facility. <i>YES or NO (FROM 115.188(d)-1)</i></p> <p>The agency indicates the nature of material redacted. <i>YES or NO (FROM 115.188(d)-2)</i></p> <p>OTHER DOCUMENTATION: <i>ANNUAL REPORT OF FINDINGS FROM DATA REVIEWS/CORRECTIVE ACTIONS (FROM 115.188(a)-1), if applicable.</i></p> <p>AUDITOR NOTES:</p> <p>Audit:</p> <p>INTERVIEW GUIDE(S): PREA Coordinator – Q: 15</p> <p>AUDITOR NOTES:</p>
<p>Overall Determination:</p> <p><input type="checkbox"/> Exceeds Standard (substantially exceeds requirement of standard) <input type="checkbox"/> Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period) <input type="checkbox"/> Does Not Meet Standard (requires corrective action)</p> <p>Auditor Comments (including corrective actions needed if does not meet standard):</p>		

115.189 – Data storage, publication, and destruction		
Auditor Findings		Verification Documents/Data for Auditor Review
115.189 (a) The agency shall ensure that data collected pursuant to § 115.187 are securely retained.	<input type="checkbox"/> Yes	Pre-Audit:
	<input type="checkbox"/> No	QUESTIONNAIRE: The agency ensures that incident-based and aggregate data are securely retained. <i>YES or NO (FROM 115.189(a)-1)</i>
		POLICY: <i>DATA STORAGE (FROM 115.189(a)-1)</i> Refer to page/section: <i>(FROM 115.189(a)-1)</i>
		AUDITOR NOTES:
		Audit:
		INTERVIEW GUIDE(S): PREA Coordinator – Q: 13 AUDITOR NOTES:
115.189 (b) The agency shall make all aggregated sexual abuse data, from lockups under its direct control and private agencies with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means.	<input type="checkbox"/> Yes	Pre-Audit:
	<input type="checkbox"/> No	QUESTIONNAIRE: Agency policy requires that aggregated sexual abuse data from lockups under its direct control and private facilities with which it contracts be made readily available to the public, at least annually, through its website. <i>YES or NO (FROM 115.189(b)-1)</i> If NO, the agency makes it available through other means. <i>YES or NO (FROM 115.188(b)-2)</i>
		POLICY: <i>DATA AVAILABILITY (FROM 115.189(b)-1)</i> Refer to page/section: <i>(FROM 115.189(b)-1)</i>
		AUDITOR NOTES:
		Audit:
		REVIEW: Website or other means for publicly available aggregated sexual abuse data. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:
115.189 (c) Before making aggregated sexual abuse data publicly available, the agency shall remove all personal identifiers.	<input type="checkbox"/> Yes	Pre-Audit:
	<input type="checkbox"/> No	QUESTIONNAIRE: Before making aggregated sexual abuse data publicly available, the agency removes all personal identifiers. <i>YES or NO (FROM 115.189(c)-1)</i>
		AUDITOR NOTES:
		Audit:
		REVIEW: Sample of publicly available sexual abuse data to check that personal identifiers have been removed. <i>(UPLOAD IF NECESSARY)</i> AUDITOR NOTES:

115.189 (d) The agency shall maintain sexual abuse data collected pursuant to § 115.187 for at least 10 years after the date of the initial collection unless Federal, State, or local law requires otherwise.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Pre-Audit: QUESTIONNAIRE: The agency maintains sexual abuse data collected pursuant to §115.187 for at least 10 years after the date of initial collection, unless federal, state, or local law requires otherwise. <i>YES or NO (FROM 115.189(d)-1)</i>
		OTHER DOCUMENTATION: If federal, state, or local law requires otherwise, please provide a copy of the law. <i>APPLICABLE LAW (FROM 115.189(d)-1)</i>
		AUDITOR NOTES:
		Audit:
		REVIEW: Historical data since August 20, 2012. <i>(UPLOAD IF NECESSARY)</i>
		AUDITOR NOTES:

Overall Determination:

☐ Exceeds Standard (substantially exceeds requirement of standard)
☐ Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
☐ Does Not Meet Standard (requires corrective action)

Auditor Comments (including corrective actions needed if does not meet standard):

AUDIT FINDINGS

NARRATIVE:

[The auditor should provide a summary of the audit process that includes the date of audit, who was in attendance, a description of sampling procedures and staff and residents interviewed, areas of facility toured as part of the audit, etc.]

DESCRIPTION OF FACILITY CHARACTERISTICS:

[The auditor should include a summary describing the facility.]

SUMMARY OF AUDIT FINDINGS:

[The auditor should include a summary statement of the overall audit findings. *E.g.: On March 1, 2013 X number of site visits were completed at facility XYZ in X County, Maryland. The results indicate....Facility X exceeded X of standards; met X of standards; X of standards were not met.*]

AUDITOR CERTIFICATION:

The auditor certifies the contents of the report are accurate to the best of his/her knowledge and that no conflict of interest exists with respect to his or her ability to conduct an audit of the agency under review.

Auditor Signature

Date