This document was created for use by the PRC Field Training Program (FTP). Certified auditors are not required to utilize this resource for compliance audits but may choose to as a best practice. This is intended to be an aid in capturing elements and practice of PREA investigations but may not be all-inclusive. Auditors are encouraged to reference applicable standards for specific requirements.

Facility Name:	Document Review Worksheet		
	Investigation & Response Records		

Staff Completing Worksheet:

PREA Audit – Community Confinement Facilities

Standards 115.221, 115	5.222, 115.234, 115.263, 115.	264, 115.267, 115.271, 115.2	273, 115.277, 115.27	8, 115.282, 115.283		
, , , , , , , , , , , , , , , , , , , ,			☐ Sexual Abuse	Date of Incident: Date Reported:		
☐ Criminal Case ID#:	☐ Ongoing ☐ Concluded: ☐ Substantiated ☐ Unsubstantiated ☐ Unfounded ☐ Staff		☐ Sexual Harassment ☐ Staff-on-resident	Date Investigation Started:		
☐ Administrative Case ID#:	☐ Ongoing☐ Concluded:☐ Substantiated☐ Unsubstantiated☐ Unfounded		☐ Resident-on-Resident	Date Investigation Concluded:		
Source of Allegation: Website/online Anonymous Verbal Hotline Grievance Third-party External source (i.e., Department of Homeland Security, consular office, Office of Inspector General) Other: Made by (e.g., victim, witness, third party, parent, or attorney): Made to (e.g., security, medical, mental health, or other):						
Check all that apply: Criminal charges were filed by the prosecutor Case is pending prosecutorial review Case is pending trial Case was refused by the prosecutor Case was referred back to agency/facility for investigation						
Investigator Name and Title:		☐ Documentat	ion of Specialized Training §	115.234		
Name/Initials of alleged victim:	□ Currently housed □ Released	Victim required to submit to a polygraph condition for proceeding with the investigation of t	stigation §115.271(e)	☐ Referred for Criminal Investigation §115.222 to: ☐ Police ☐ Sheriff ☐ External ☐ Internal investigator ☐ Other:		
Name/Initials of alleged abuser(s):	□ Currently housed □ Released	Compelled staff interviews? §115.271 ☐ Indicted ☐ Not indicted If yes, consulted with the prosecutor(s) interviews? ☐ Yes ☐ No		Date referred for investigation§115.222: Date referred for prosecution§115.222:		
Investigations §115.271 Documented in a written report (check both if applicable): ☐ Administrative (internal) investigation report ☐ Criminal investigation report Investigation was: ☐ Prompt ☐ Thorough ☐ Objective	Criminal Investigation §115.271 ☐ Copies of documentary evidence included ☐ Described physical evidence ☐ Described testimonial evidence ☐ Described documentary evidence ☐ Documentation of the agency remaining informed of the pending investigation conducted by outside investigators (i.e., status checks/ communication with external entity)	Adm. Crim. Described investigative facts Gathered & preserved direct/evidence (i.e., DNA, physical of lineary) Described reasoning behind of (for victim, abuser, staff, and Reviewed prior reports involving Departure of alleged abuser/basis for terminating investignals.	circumstantial evidence, video, etc.) (s), and witness(es) credibility assessment witnesses) ng the perpetrator victim was not the	Adm. Investigation (cont.) §115.271 Preponderance of evidence standard applied Determined if staff actions/ failures contributed to abuse Described physical evidence Described testimonial evidence		

	Coordinated Response	
Emergency & Ongoing Medical and Mental Health Services	Official Response	Reporting & Notifications to Resident Victim
□ Medical practitioner(s) notified §115.282 Date: □ Wictim received emergency medical treatment §115.282 □ Onsite □ Offsite □ Date: □ Agency attempted to make available victim advocate from a rape crisis center §115.221(d) If a victim advocate from a rape crisis center was not available: □ Qualified agency staff member utilized; □ Qualified community-based organization staff member utilized; or □ Agency made no attempt(s) As requested by the victim, they were accompanied by an advocate for §115.221(e): □ Medical forensic exam □ Investigative interviews □ Emotional support □ Crisis intervention □ Information □ Referrals or □ Refused accompaniment. If checked, explain which services were refused: All victims §115.282(c) and 115.283(d),(e): □ Offered timely info about STI prophylaxis □ Offered timely access to STI prophylaxis □ Offered test for STI as medically appropriate Resident victims of sexually abusive vaginal penetration Check if applicable §115.282(c) and 115.283(d),(e): □ Offered timely information about emergency contraception □ Offered timely information about emergency contraception □ Offered pregnancy tests □ Received pregnancy-related medical services	□ Notification to licensing body(ies) [if applicable] §115.276(d) & §115.277 □ Date: Reporting to other confinement facilities §115.263 □ Other facility head notified if applicable (within 72 hrs.) □ Date: Staff first responder duties §115.264 □ Separation of victim and abuser (e.g., incident reports documenting response to allegation, documented housing transfer, etc.) Agency Protection Duties §115.262 □ Immediate protection from a substantial risk of imminent sexual abuse (e.g., incident reports documenting response to allegation, documented housing transfer, etc.) Retaliation Monitoring §115.267 (Evidence the agency acted promptly to remedy retaliation) □ Date initiated: □ Date concluded: Periodic status checks for residents §115.267(d) □ Yes □ No □ Details: Protection measures employed: §115.267 Victim Abuser Witness □ □ □ No contact ordered □ □ □ Emotional Support Items monitored for retaliation: §115.267 Victim Abuser Witness □ □ □ Discipline; □ □ Housing changes	
	☐ ☐ Program changes ☐ ☐ ☐ Staff reassignment	
Madaire	□ □ Staff negative performance review	
Notes:		