**Document Review Worksheet**

**Staff Completing Worksheet:**

**Facility Name:**

**Employee/Contractor/Volunteer Records**

PREA Audit – Lockups

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

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

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