Note: 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			Staff Completing Worksheet:
	Investigation & Response Records			
		REA Audit – Prisons & Jails		
Standards 115.21, 115.22,		4, 115.65, 115.67, 115.68, 115.7	1, 115.72, 115.73, 1	.15.77, 115.78, 115.82,115.83
Use a separate worksheet for each Note: Criminal and administrative inv	allegation. restigations could occur simultaneously. I	indicate both when applicable.	☐ Sexual Abuse ☐ Sexual Harassment	Date of Incident: Date Reported:
☐ Criminal Case ID#:	☐ Ongoing ☐ Concluded:		☐ Sexual Harassment	Date Reported.
		nsubstantiated 🗆 Unfounded	☐ Staff-on-inmate	Date Investigation Started:
☐ Administrative Case ID#:	☐ Ongoing ☐ Concluded: ☐ Substantiated ☐ U	☐ Ongoing ☐ Concluded: ☐ Inmate-on-inmate ☐ Substantiated ☐ Unsubstantiated ☐ Unfounded		Date Investigation Concluded:
Source of Allegation: ☐ Website/onli Inspector General) ☐ Other: Made by (e.g., victim, witness, third p		Grievance □ Third-party □ External source Made to (e.g., security, me	•	
		e is pending prosecutorial review 🗆 Case is p		
☐ Case was referred back to agency,	facility for investigation			
Investigator Name and Title:		☐ Documentat	ion of Specialized Training	g §115.34
Name/Initials of alleged victim:	□ Currently housed □ Released	Victim required to submit to a polygraph condition for proceeding with the investion of Yes □ No		□ Referred for Criminal Investigation §115.22 to: □ Police □ Sheriff
		Victim forensic medical exam offered § □ Onsite □ Offsite □ Refuse Date:	115.21(c) d □ Received	☐ External ☐ Internal investigator ☐ Other:
Name/Initials of alleged abuser(s):	□ Currently housed □ Released	Compelled staff interviews? §115.71 ☐ ☐ ☐ Indicted ☐ Not indicted	Yes □ No	Date referred for investigation §115.22:
		If yes, consulted with the prosecutor(s) b interviews? ☐ Yes ☐ No	efore compelling staff	Date referred for prosecution §115.22:
Investigations §115.71 Documented in a written report (check both if applicable): Administrative (internal) investigation report	Criminal Investigation §115.71 ☐ Copies of documentary evidence included ☐ Described physical evidence ☐ Described testimonial evidence	Adm. Crim. §115.71 Described investigative facts at Grant G	cumstantial idence, video, etc.)	Adm. Investigation (cont.) §115.71 □ Preponderance of evidence standard applied □ Determined if staff actions/ failures contributed to abuse

☐ Interviewed victim(s), abuser(s), and witness(es)

☐ Reviewed prior reports involving the perpetrator

☐ Departure of alleged abuser/victim was not the

for victim, abuser, staff, and witnesses)

basis for terminating investigation

☐ Described reasoning behind credibility assessment

contributed to abuse

☐ Described physical evidence

☐ Described testimonial evidence

☐ Described testimonial evidence

☐ Documentation of the agency

investigators (i.e., status checks/

☐ Described documentary evidence

remaining informed of the pending

investigation conducted by outside

communication with external entity)

 \square Criminal investigation report

Investigation was:

☐ Prompt

□ Thorough

□ Objective

Coordinated Response				
Emergency & Ongoing Medical and Mental Health Services	Official Response	Reporting & Notifications to Inmate Victim		
☐ Medical practitioner(s) notified §115.82 Date: ☐ Mental Health practitioner(s) notified §115.82 Date: ☐ Victim received emergency medical treatment §115.82 ☐ Onsite ☐ Offsite Date:	□ Notification to licensing body(ies) [if applicable] §115.76(d) & 115.77 Date: Reporting to other confinement facilities §115.63 □ Other facility head notified if applicable (within 72 hrs.) Date:	Notified inmate of outcome §115.73 (i.e., substantiated, unsubstantiated, unfounded) □Yes □ No		
Agency attempted to make available victim advocate from a rape crisis center §115.21(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 §115.21(e): Medical forensic exam Investigative interviews Emotional support	Staff first responder duties §115.64 Separation of victim and abuser (e.g., incident reports documenting response to allegation, documented housing transfer, etc.) Agency Protection Duties §115.62 Immediate protection from a substantial risk of imminent sexual abuse (e.g., incident reports documenting response to allegation, documented housing transfer, etc.)	Notification to inmate when allegation is substantiated or unsubstantiated §115.73(c)(b)(d) Staff abuser is no longer posted on the inmate's unit Staff abuser is no longer employed at the facility Abuser indicted; Staff Inmate Abuser convicted; Staff Inmate		
□ Crisis intervention □ Information □ Referrals or □ Refused accompaniment. If checked, explain which services were refused: For prisons only: □ Mental health eval for known inmate-on-inmate abuser attempted within 60 days of learning of abuse history §115.83(h) Date: □ Treatment deemed appropriate by mental health for inmate-on-inmate abuser §115.83(h) Date: □ Treatment offered to inmate-on-inmate abuser §115.83(h) Date: All victims §115.82(c) and 115.83(d),(e): □ Offered timely info about STI prophylaxis □ Offered timely access to STI prophylaxis □ Offered test for STI as medically appropriate Inmate victims of sexually abusive vaginal penetration Check if applicable §115.82(c) and 115.83(d),(e): □ Offered timely information about emergency contraception □ Offered timely access to emergency contraception □ Offered pregnancy tests □ Received pregnancy-related medical services	Protective Custody §115.43 Voluntary Segregated Housing Start Date: Access to extent possible (check all that apply and explain in notes section): Programs Privileges Edu Work Restricted access documented: (1) What opportunities are limited? (2) Duration of limitation? (3) Reason for limitation? Review(s) for continuing need for separation. Date(s): Involuntary Segregated Housing Start Date: Assessment of all alternatives made No available alternative means of separation Held in involuntary segregation for <24 hours while completing the assessment Access to extent possible (check all that apply and explain in notes section): Programs Privileges Edu Work Restricted access documented: (1) What opportunities are limited? (2) Duration of limitation? (3) Reason for limitation? Basis for the facility's concern for the inmate's safety Reason no alternative of separation can be arranged Review(s) for continuing need for separation. Date(s):	If notice was not provided: Inmate released from custody Agency requested relevant info. from the investigative agency in order to inform the inmate Were inmate notifications or attempts documented? §115.73 Yes		
Retaliation Monitoring §115.67 (Evidence the agency acted promptly to remedy retaliation) Date initiated: Date concluded:	Items monitored for retaliation: §115.67 Victim Abuser Witness Discipline Housing changes Program changes Staff reassignment	Protection measures employed: §115.67 Victim Abuser Witness		
Notes:	□ □ Staff negative performance review			