

PREA Facility Audit Report: Final

Name of Facility: Danville Correctional Center

Facility Type: Prison / Jail

Date Interim Report Submitted: 06/30/2023

Date Final Report Submitted: 01/19/2024

Auditor Certification	
The contents of this report are accurate to the best of my knowledge.	<input type="checkbox"/>
No conflict of interest exists with respect to my ability to conduct an audit of the agency under review.	<input type="checkbox"/>
I have not included in the final report any personally identifiable information (PII) about any inmate/resident/detainee or staff member, except where the names of administrative personnel are specifically requested in the report template.	<input type="checkbox"/>
Auditor Full Name as Signed: Kendra Prisk	Date of Signature: 01/19/ 2024

AUDITOR INFORMATION	
Auditor name:	Prisk, Kendra
Email:	2kconsultingllc@gmail.com
Start Date of On-Site Audit:	05/18/2023
End Date of On-Site Audit:	05/19/2023

FACILITY INFORMATION	
Facility name:	Danville Correctional Center
Facility physical address:	3820 East Main Street, Danville, Illinois - 61834
Facility mailing address:	

Primary Contact	
Name:	Ryan Nottingham
Email Address:	ryan.nottingham@illinois.gov
Telephone Number:	217-558-2200

Warden/Jail Administrator/Sheriff/Director	
Name:	Felicia Adkins
Email Address:	felicia.adkins@illinois.gov
Telephone Number:	217-446-0441

Facility PREA Compliance Manager

Facility Health Service Administrator On-site	
Name:	Jennifer Chacon
Email Address:	jennifer.chacon@illinois.gov
Telephone Number:	217-446-0441

Facility Characteristics	
Designed facility capacity:	1854
Current population of facility:	1509
Average daily population for the past 12 months:	1465
Has the facility been over capacity at any point in the past 12 months?	No
Which population(s) does the facility hold?	Males
Age range of population:	19-80
Facility security levels/inmate custody levels:	Medium

Does the facility hold youthful inmates?	No
Number of staff currently employed at the facility who may have contact with inmates:	361
Number of individual contractors who have contact with inmates, currently authorized to enter the facility:	9
Number of volunteers who have contact with inmates, currently authorized to enter the facility:	98

AGENCY INFORMATION

Name of agency:	Illinois Department of Corrections
Governing authority or parent agency (if applicable):	
Physical Address:	1301 Concordia Court, Springfield, Illinois - 62794
Mailing Address:	
Telephone number:	

Agency Chief Executive Officer Information:

Name:	
Email Address:	
Telephone Number:	

Agency-Wide PREA Coordinator Information

Name:	Ryan Nottingham	Email Address:	ryan.nottingham@illinois.gov
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Facility AUDIT FINDINGS

Summary of Audit Findings

The OAS automatically populates the number and list of Standards exceeded, the number of Standards met, and the number and list of Standards not met.

Auditor Note: In general, no standards should be found to be "Not Applicable" or "NA." A compliance determination must be made for each standard. In rare instances where an auditor determines that a standard is not applicable, the auditor should select "Meets Standard" and include a comprehensive discussion as to why the standard is not applicable to the facility being audited.

Number of standards exceeded:

1

- 115.12 - Contracting with other entities for the confinement of inmates

Number of standards met:

44

Number of standards not met:

0

POST-AUDIT REPORTING INFORMATION

GENERAL AUDIT INFORMATION

On-site Audit Dates

1. Start date of the onsite portion of the audit:	2023-05-18
2. End date of the onsite portion of the audit:	2023-05-19

Outreach

10. Did you attempt to communicate with community-based organization(s) or victim advocates who provide services to this facility and/or who may have insight into relevant conditions in the facility?	<input checked="" type="radio"/> Yes <input type="radio"/> No
a. Identify the community-based organization(s) or victim advocates with whom you communicated:	JDI and Survivor Resource Center

AUDITED FACILITY INFORMATION

14. Designated facility capacity:	1854
15. Average daily population for the past 12 months:	1465
16. Number of inmate/resident/detainee housing units:	19
17. Does the facility ever hold youthful inmates or youthful/juvenile detainees?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Applicable for the facility type audited (i.e., Community Confinement Facility or Juvenile Facility)

Audited Facility Population Characteristics on Day One of the Onsite Portion of the Audit

Inmates/Residents/Detainees Population Characteristics on Day One of the Onsite Portion of the Audit

36. Enter the total number of inmates/residents/detainees in the facility as of the first day of onsite portion of the audit:	1578
38. Enter the total number of inmates/residents/detainees with a physical disability in the facility as of the first day of the onsite portion of the audit:	34
39. Enter the total number of inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) in the facility as of the first day of the onsite portion of the audit:	1
40. Enter the total number of inmates/residents/detainees who are Blind or have low vision (visually impaired) in the facility as of the first day of the onsite portion of the audit:	6
41. Enter the total number of inmates/residents/detainees who are Deaf or hard-of-hearing in the facility as of the first day of the onsite portion of the audit:	72
42. Enter the total number of inmates/residents/detainees who are Limited English Proficient (LEP) in the facility as of the first day of the onsite portion of the audit:	138
43. Enter the total number of inmates/residents/detainees who identify as lesbian, gay, or bisexual in the facility as of the first day of the onsite portion of the audit:	2

<p>44. Enter the total number of inmates/residents/detainees who identify as transgender or intersex in the facility as of the first day of the onsite portion of the audit:</p>	<p>4</p>
<p>45. Enter the total number of inmates/residents/detainees who reported sexual abuse in the facility as of the first day of the onsite portion of the audit:</p>	<p>6</p>
<p>46. Enter the total number of inmates/residents/detainees who disclosed prior sexual victimization during risk screening in the facility as of the first day of the onsite portion of the audit:</p>	<p>36</p>
<p>47. Enter the total number of inmates/residents/detainees who were ever placed in segregated housing/isolation for risk of sexual victimization in the facility as of the first day of the onsite portion of the audit:</p>	<p>0</p>
<p>48. Provide any additional comments regarding the population characteristics of inmates/residents/detainees in the facility as of the first day of the onsite portion of the audit (e.g., groups not tracked, issues with identifying certain populations):</p>	<p>No text provided.</p>
<p>Staff, Volunteers, and Contractors Population Characteristics on Day One of the Onsite Portion of the Audit</p>	
<p>49. Enter the total number of STAFF, including both full- and part-time staff, employed by the facility as of the first day of the onsite portion of the audit:</p>	<p>361</p>
<p>50. Enter the total number of VOLUNTEERS assigned to the facility as of the first day of the onsite portion of the audit who have contact with inmates/residents/detainees:</p>	<p>94</p>

51. Enter the total number of CONTRACTORS assigned to the facility as of the first day of the onsite portion of the audit who have contact with inmates/residents/detainees:	<p>47</p>
52. Provide any additional comments regarding the population characteristics of staff, volunteers, and contractors who were in the facility as of the first day of the onsite portion of the audit:	<p>No text provided.</p>
INTERVIEWS	
Inmate/Resident/Detainee Interviews	
Random Inmate/Resident/Detainee Interviews	
53. Enter the total number of RANDOM INMATES/RESIDENTS/DETAINEES who were interviewed:	<p>20</p>
54. Select which characteristics you considered when you selected RANDOM INMATE/RESIDENT/DETAINEE interviewees: (select all that apply)	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Ethnicity (e.g., Hispanic, Non-Hispanic) <input checked="" type="checkbox"/> Length of time in the facility <input checked="" type="checkbox"/> Housing assignment <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Other <input type="checkbox"/> None

<p>55. How did you ensure your sample of RANDOM INMATE/RESIDENT/DETAINEE interviewees was geographically diverse?</p>	<p>The following inmates were selected from the housing units: three from 1A, three from 1B, four from 1C, two from 1D, three from 2A, two from 2B, one from 2C, two from 2D, five from 3A, two from 3B, two from 3C, one from 3D, one from 4B, two from 4C, one from 4D, one from receiving, one from healthcare and two from segregated housing.</p> <p>**Inmate, offender and individual in custody are used interchangeably within this document.</p>
<p>56. Were you able to conduct the minimum number of random inmate/resident/detainee interviews?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>57. Provide any additional comments regarding selecting or interviewing random inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews, barriers to ensuring representation):</p>	<p>36 of the inmates interviewed were male and four were transgender female. Eighteen of the inmates interviewed were black, twelve were white, seven were Hispanic, and three were another race/ethnicity. With regard to age: twelve were between eighteen and 25; six were 26-35; twelve were 36-45; six were 46-55 and four were 56 or older. 21 of the inmates interviewed were at the facility less than a year, eighteen were there between a year and five years, and one was there six to ten years.</p>
<p>Targeted Inmate/Resident/Detainee Interviews</p>	
<p>58. Enter the total number of TARGETED INMATES/RESIDENTS/DETAINEES who were interviewed:</p>	<p>20</p>

As stated in the PREA Auditor Handbook, the breakdown of targeted interviews is intended to guide auditors in interviewing the appropriate cross-section of inmates/residents/detainees who are the most vulnerable to sexual abuse and sexual harassment. When completing questions regarding targeted inmate/resident/detainee interviews below, remember that an interview with one inmate/resident/detainee may satisfy multiple targeted interview requirements. These questions are asking about the number of interviews conducted using the targeted inmate/resident/detainee protocols. For example, if an auditor interviews an inmate who has a physical disability, is being held in segregated housing due to risk of sexual victimization, and disclosed prior sexual victimization, that interview would be included in the totals for each of those questions. Therefore, in most cases, the sum of all the following responses to the targeted inmate/resident/detainee interview categories will exceed the total number of targeted inmates/residents/detainees who were interviewed. If a particular targeted population is not applicable in the audited facility, enter "0".

<p>60. Enter the total number of interviews conducted with inmates/residents/detainees with a physical disability using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>61. Enter the total number of interviews conducted with inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>62. Enter the total number of interviews conducted with inmates/residents/detainees who are Blind or have low vision (i.e., visually impaired) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>63. Enter the total number of interviews conducted with inmates/residents/detainees who are Deaf or hard-of-hearing using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>64. Enter the total number of interviews conducted with inmates/residents/detainees who are Limited English Proficient (LEP) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>3</p>

<p>65. Enter the total number of interviews conducted with inmates/residents/detainees who identify as lesbian, gay, or bisexual using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:</p>	<p>2</p>
<p>66. Enter the total number of interviews conducted with inmates/residents/detainees who identify as transgender or intersex using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:</p>	<p>4</p>
<p>67. Enter the total number of interviews conducted with inmates/residents/detainees who reported sexual abuse in this facility using the "Inmates who Reported a Sexual Abuse" protocol:</p>	<p>4</p>
<p>68. Enter the total number of interviews conducted with inmates/residents/detainees who disclosed prior sexual victimization during risk screening using the "Inmates who Disclosed Sexual Victimization during Risk Screening" protocol:</p>	<p>3</p>
<p>69. Enter the total number of interviews conducted with inmates/residents/detainees who are or were ever placed in segregated housing/isolation for risk of sexual victimization using the "Inmates Placed in Segregated Housing (for Risk of Sexual Victimization/Who Allege to have Suffered Sexual Abuse)" protocol:</p>	<p>0</p>
<p>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</p>	<p><input checked="" type="checkbox"/> Facility said there were "none here" during the onsite portion of the audit and/or the facility was unable to provide a list of these inmates/residents/detainees.</p> <p><input type="checkbox"/> The inmates/residents/detainees in this targeted category declined to be interviewed.</p>

<p>b. Discuss your corroboration strategies to determine if this population exists in the audited facility (e.g., based on information obtained from the PAQ; documentation reviewed onsite; and discussions with staff and other inmates/residents/detainees).</p>	<p>The auditor reviewed the housing assignments for high risk inmates and those who reported sexual abuse.</p>
<p>70. Provide any additional comments regarding selecting or interviewing targeted inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews):</p>	<p>No text provided.</p>
<p>Staff, Volunteer, and Contractor Interviews</p>	
<p>Random Staff Interviews</p>	
<p>71. Enter the total number of RANDOM STAFF who were interviewed:</p>	<p>13</p>
<p>72. Select which characteristics you considered when you selected RANDOM STAFF interviewees: (select all that apply)</p>	<p> <input type="checkbox"/> Length of tenure in the facility <input checked="" type="checkbox"/> Shift assignment <input checked="" type="checkbox"/> Work assignment <input checked="" type="checkbox"/> Rank (or equivalent) <input checked="" type="checkbox"/> Other (e.g., gender, race, ethnicity, languages spoken) <input type="checkbox"/> None </p>
<p>If "Other," describe:</p>	<p>Gender and Race</p>
<p>73. Were you able to conduct the minimum number of RANDOM STAFF interviews?</p>	<p> <input checked="" type="radio"/> Yes <input type="radio"/> No </p>

<p>74. Provide any additional comments regarding selecting or interviewing random staff (e.g., any populations you oversampled, barriers to completing interviews, barriers to ensuring representation):</p>	<p>Security staff mainly make up three shifts, first shift works from 7am-3pm, second shift works from 3pm-11pm and third shift works from 11pm-7am. Five staff were interviewed from first shift, five were from second shift and three were from third shift. With regard to the demographics of the random staff interviewed; seven were male and six were female. Eleven were white and two were black. Six were Correctional Officers, four were Sergeants, one was a Lieutenant and two were Majors.</p>
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Specialized Staff, Volunteers, and Contractor Interviews

Staff in some facilities may be responsible for more than one of the specialized staff duties. Therefore, more than one interview protocol may apply to an interview with a single staff member and that information would satisfy multiple specialized staff interview requirements.

<p>75. Enter the total number of staff in a SPECIALIZED STAFF role who were interviewed (excluding volunteers and contractors):</p>	<p>25</p>
<p>76. Were you able to interview the Agency Head?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>
<p>77. Were you able to interview the Warden/Facility Director/Superintendent or their designee?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>
<p>78. Were you able to interview the PREA Coordinator?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>
<p>79. Were you able to interview the PREA Compliance Manager?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if the agency is a single facility agency or is otherwise not required to have a PREA Compliance Manager per the Standards)</p>

80. Select which SPECIALIZED STAFF roles were interviewed as part of this audit from the list below: (select all that apply)

- Agency contract administrator
- Intermediate or higher-level facility staff responsible for conducting and documenting unannounced rounds to identify and deter staff sexual abuse and sexual harassment
- Line staff who supervise youthful inmates (if applicable)
- Education and program staff who work with youthful inmates (if applicable)
- Medical staff
- Mental health staff
- Non-medical staff involved in cross-gender strip or visual searches
- Administrative (human resources) staff
- Sexual Assault Forensic Examiner (SAFE) or Sexual Assault Nurse Examiner (SANE) staff
- Investigative staff responsible for conducting administrative investigations
- Investigative staff responsible for conducting criminal investigations
- Staff who perform screening for risk of victimization and abusiveness
- Staff who supervise inmates in segregated housing/residents in isolation
- Staff on the sexual abuse incident review team
- Designated staff member charged with monitoring retaliation
- First responders, both security and non-security staff
- Intake staff

	<input checked="" type="checkbox"/> Other
If "Other," provide additional specialized staff roles interviewed:	Mailroom
81. Did you interview VOLUNTEERS who may have contact with inmates/residents/detainees in this facility?	<input checked="" type="radio"/> Yes <input type="radio"/> No
a. Enter the total number of VOLUNTEERS who were interviewed:	1
b. Select which specialized VOLUNTEER role(s) were interviewed as part of this audit from the list below: (select all that apply)	<input type="checkbox"/> Education/programming <input type="checkbox"/> Medical/dental <input type="checkbox"/> Mental health/counseling <input checked="" type="checkbox"/> Religious <input type="checkbox"/> Other
82. Did you interview CONTRACTORS who may have contact with inmates/residents/detainees in this facility?	<input checked="" type="radio"/> Yes <input type="radio"/> No
a. Enter the total number of CONTRACTORS who were interviewed:	2
b. Select which specialized CONTRACTOR role(s) were interviewed as part of this audit from the list below: (select all that apply)	<input type="checkbox"/> Security/detention <input checked="" type="checkbox"/> Education/programming <input checked="" type="checkbox"/> Medical/dental <input type="checkbox"/> Food service <input type="checkbox"/> Maintenance/construction <input type="checkbox"/> Other

83. Provide any additional comments regarding selecting or interviewing specialized staff.	No text provided.
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SITE REVIEW AND DOCUMENTATION SAMPLING

Site Review

PREA Standard 115.401 (h) states, "The auditor shall have access to, and shall observe, all areas of the audited facilities." In order to meet the requirements in this Standard, the site review portion of the onsite audit must include a thorough examination of the entire facility. The site review is not a casual tour of the facility. It is an active, inquiring process that includes talking with staff and inmates to determine whether, and the extent to which, the audited facility's practices demonstrate compliance with the Standards. Note: As you are conducting the site review, you must document your tests of critical functions, important information gathered through observations, and any issues identified with facility practices. The information you collect through the site review is a crucial part of the evidence you will analyze as part of your compliance determinations and will be needed to complete your audit report, including the Post-Audit Reporting Information.

84. Did you have access to all areas of the facility?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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Was the site review an active, inquiring process that included the following:

85. Observations of all facility practices in accordance with the site review component of the audit instrument (e.g., signage, supervision practices, cross-gender viewing and searches)?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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86. Tests of all critical functions in the facility in accordance with the site review component of the audit instrument (e.g., risk screening process, access to outside emotional support services, interpretation services)?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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87. Informal conversations with inmates/residents/detainees during the site review (encouraged, not required)?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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88. Informal conversations with staff during the site review (encouraged, not required)?

Yes

No

89. Provide any additional comments regarding the site review (e.g., access to areas in the facility, observations, tests of critical functions, or informal conversations).

The on-site portion of the audit was conducted on May 18-19, 2023. The auditor had an initial briefing with facility leadership and discussed the audit logistics. After the initial briefing, the auditor selected inmates and staff for interview as well as documentation to review. The auditor conducted a tour of the facility on May 18, 2023. The tour included all areas associated with the facility to include; housing units, laundry, warehouse, intake, visitation, education, religious services, vocation, maintenance, food service, health services, recreation, industries, clothing, front entrance and administration. During the tour the auditor was cognizant of staffing levels, video monitoring placement, blind spots, posted PREA information, privacy for inmates in housing units and other factors as indicated in the appropriate standard findings.

The auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on zero tolerance, reporting methods (including the outside reporting entity) and victim advocacy. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. The PREA Posters included information on the zero tolerance policy and reporting via the hotline or to staff. Further the auditor observed the PREA hotline number painted/stenciled near the phones in the general population housing units.

Informal conversation with staff and inmates confirmed that the PREA information has been posted for a while.

Third party reporting information was observed in visitation, administration and the front entrance via the PREA Poster and the PREA Reporting Poster. Both Posters were in

English and Spanish and in bright colors. The PREA Posters were larger (legal size paper) while the PREA Reporting Posters were on letter size paper. The PREA Posters provided information on reporting via the hotline and to any staff member while the PREA Reporting Posters included the same information as well as information on how to report to the PREA Coordinator and John Howard Association.

During the tour the auditor confirmed the facility follows the staffing plan. There were numerous security staff in each general population housing building and at least one security staff in the other housing buildings. Program, work and education areas included non-security staff and either a positioned or roving security staff member. In areas where security staff were not directly assigned, routine security checks were required. The auditor confirmed that the physical plant of the housing units provided an adequate line of sight. The facility did not appear to be overcrowded and staffing appeared to be adequate based on the population. During the tour the auditor observed numerous blind spots in laundry, vocation, maintenance, industries and clothing. The facility did not have any video monitoring technology and as such the blind spots were not covered by camera. Informal conversation with staff confirmed that the staffing during the audit was typical and housing units are not overcrowded. Staff stated they make rounds every 30 minutes and supervisors make rounds at least once per shift. Informal conversation with inmates indicated staff make rounds every hour at least and they see the supervisor daily. During the tour the auditor confirmed there were zero cameras throughout the facility.

During the tour the auditor observed that general population housing units provided privacy through cell doors with a small window and shower curtains. The auditor confirmed that the shower curtains provided

privacy for male individuals in custody from the officer's station, however it did not provide adequate privacy on the lower level showers for transgender females. The health care unit provided privacy when using the restroom through solid doors. The shower was a single person with lattice type material. The facility advised that they have an extra curtain for the shower, however the auditor did not view the curtain. The segregated housing unit provided privacy when using the toilet through cell doors with a small window. The shower was single person with a lattice door and extra barrier material near the center of the lattice. The auditor observed that while this shower provided privacy for male individual's in custody, it did not provide adequate privacy for transgender females. The facility advised they have an extra curtain for transgender females, however the auditor did not view the curtain. The auditor viewed the strip search area in visitation and confirmed that it provided privacy through a solid door. The strip search area in intake also provided privacy through a solid door. Strip searches in the segregated housing unit are conducted in the showers and provide privacy for males through the lattice material and extra center barrier. As indicated above the facility advised for transgender females they have an additional curtain, but the auditor did not observe the curtain. The facility does not have any video monitoring technology and as such no cross gender viewing issues were identified related to cameras. Additionally, there were zero cross gender viewing issues identified with mirror placement. With regard to the opposite gender announcement, the auditor heard the announcement made verbally upon entry into each of the housing units, with the exception of the health care unit (where female staff were already present). The announcement was made verbally and over the loudspeaker in each unit. The agency also has a paging system for the deaf and hard of hearing inmates where the announcement can be sent out to

their watches. Informal conversation with staff indicated that female staff make an announcement when entering housing units and individuals in custody have privacy when showering, using the restroom and changing their clothes. Informal conversation with inmates indicated that they have privacy when showering, using the restroom and changing their clothes, but the shower has a really bright light which they think makes them more visible. Half of the inmates stated that the female announcement is made when they enter units.

Medical and mental health records are all paper and the records area is staffed 7am-4pm Monday through Friday. The records door is locked when not staffed and only medical and mental health care staff have access to the room. Records staff stated that security staff only have access to medical and mental health records for audit purposes and a records staff member has to be present with them. Risk screening information is maintained in the electronic Offender 360 program and in the master file. The auditor had a security staff member pull up the electronic system to see what was able to be viewed. The staff was able to view the questions and responses on each inmate's risk assessment. The auditor observed that the inmate records room is staffed Monday through Friday during officer hours. The master file is available to anyone with a need to know during those hours (have to request it through records staff and have a reason for the request). After hours the door is locked and only administrative staff have access. Investigative files are paper and electronic. Only investigative staff have access to the investigations in the electronic database. Paper files are maintained in the Warden's locked conference room.

During the tour the auditor observed that inmates are able to place outgoing mail in any of the locked boxes around the facility,

including in the housing unit sally ports. None of the drop boxes were specific to sexual abuse or sexual harassment allegations or information. The interview with the mailroom staff indicated that outgoing mail is collected from the housing units. Mail is sometimes sealed when they receive it and sometimes left unsealed. The staff stated the mail is supposed to be unsealed for them to go through and scan. The staff stated if the individual in custody is on the Internal Affairs mail list they provide the mail to Internal Affairs to review. The staff indicated when they review the mail they are not reading it but that they are only looking to make sure it has the appropriate information and postage.

The mailroom staff stated that legal mail is treated differently. Legal mail comes to them sealed and they log it on a spreadsheet. The mailroom staff stated they do not open any legal mail. The mailroom staff stated that regular incoming mail is opened and they do a quick glance/read to look for any contraband. If the individual in custody is on the Internal Affairs list, the mail is provided to Internal Affairs. Incoming legal mail is logged and a slip is filled out with it. The mail and slip are picked up by a Sergeant who then has the individual in custody open the mail in front of him/her (Sergeant). The mailroom staff stated that mail to and from JHA is treated like legal/privileged mail. The staff stated she had no idea how mail to and from the rape crisis center was treated and she had not had any mail to/from them.

The auditor observed the intake process through a demonstration. Inmates are provided PREA information at intake (within seven days) via the Individual in Custody Orientation Manual (Handbook). The Handbook is available in English and Spanish. Pages 31-36 of the Handbook includes information on PREA, including the zero tolerance policy and reporting methods. Additionally, it contains a copy of the PREA Reporting Poster. It should be noted that

Danville is not an intake center and all individuals in custody that arrive at Danville have received PREA information at another IDOC facility.

The auditor was provided a demonstration of the initial risk assessment. The initial risk screening is completed in a confidential one-on-one setting. The staff print the DOC 0494 form and write the individual in custody responses on the form. The information is entered into Offender 360. The paper document is placed in the master file. The staff demonstrated that they ask all questions on the DOC 0494 form and then they go back into the individual in custody file to verify information such as criminal history. The staff stated if information from the file differs from what was provided by the individual in custody, they enter the information from the file. Additionally, the auditor was provided a demonstration of the reassessment process. Staff complete the reassessment in person in a confidential office setting. Staff pull up the DOC 0494 on Offender 360 and ask all the questions on the risk assessment. The staff stated that they input information as the individual in custody states and then make a note in the notes section at the bottom if they determine it as inaccurate (i.e. said did not have a sex offense but file shows convicted for a sex offense).

The auditor tested the internal reporting mechanisms during the tour. The auditor called the internal PREA hotline on May 18, 2023 and left a message to test functionality. Inmates are advised to select English or Spanish upon contact with the hotline. Initial phone instructions are provided in English and Spanish, however the hotline instructions/directions are only available in English. The auditor received confirmation from the PC on May 18, 2023 that the call was received and forwarded to him. Inmates have access to the phones most of the day. The internal PREA hotline is accessible on all phones but does

require an individual in custody number. The auditor also tested the internal written reporting process. The auditor had an individual in custody assist with submitting a grievance on May 18, 2023. The individual assisted with filling out the appropriate sections of the grievance and placed the grievance in the locked box on the housing unit. On May 19, 2023 the auditor received a copy of the grievance indicating it was received by staff and provided to the PCM.

The auditor also tested the outside reporting mechanism via a letter to the John Howard Association at a prior IDOC audit. The auditor obtained an envelope and sent a letter to the John Howard Association on January 10, 2023. The auditor obtained assistance from an inmate to utilize his name and number on the return address. The letter was placed in the outgoing US mail box by the inmate. While a return name and number is required, the mail staff do not open this mail and as such inmates are able to remain anonymous within the letter. The John Howard Association is utilized for numerous services and they are not just an organization to report sexual abuse. The auditor received confirmation on January 20, 2023 that the letter was received by the John Howard Association. A copy of the letter that was mailed was forwarded back to the auditor as well as the confirmation from John Howard Association staff that the inmate can remain anonymous.

Additionally during the tour, the auditor asked staff to demonstrate how they submit a written report. Staff indicated if they received a verbal report they would complete a written report via a 434 (Incident Report). The staff stated that 434s are in each housing unit and the document is filled out by hand. The staff stated the report is given to the Sergeant once completed and he/she would pass it on through the chain of command. The staff further confirmed that if the supervisor (Sergeant) was part of the incident they can

bypass that individual and give the incident report to the Lieutenant.

The auditor tested the third party reporting mechanism on January 22, 2023. The auditor called the PREA hotline as outlined on the agency website. The hotline is the same hotline utilized for the inmate population. The auditor received confirmation from the PREA Coordinator on January 23, 2023 that the message was received and forwarded to him to handle. He indicated he would provide the information to the facility for investigation if it was a report of sexual abuse or sexual harassment.

The auditor was unable to test the access to victim advocacy services during the on-site portion of the audit. Individuals in custody can add the victim advocacy number to their call list and call through the inmate phones, which are monitored and/or recorded. Individuals in custody are also able to set up a legal call or visit through the counselor. The individual in custody would request the confidential call and the staff member would set up the call. The advocate would call the facility and the call would be transferred to the legal call area. While this is a more confidential method for speaking to the victim advocate than in the housing unit with numerous other individuals in custody surrounding them, the process is not known by staff or individuals in custody. The PCM advised individuals in custody can write or call the organization but they would not know the process unless someone told them. She further advised they had just recently reached out to the organization to facilitate the services. It should be noted that individuals in custody are provided the mailing address to the local rape crisis center and are able to send correspondence via mail.

The auditor had the facility conduct a mock demonstration of the comprehensive PREA education process. Orientation is completed

in a classroom in the academic building in a group setting. Individuals in custody assist staff with facilitating information during orientation. Staff verbally go over how to report, no to let anyone touch them and the PREA hotline number. Individuals in custody are then provided a copy of the Handbook in English or Spanish. It should be noted that Danville is not an intake center and as such most inmates would have received PREA education at a prior IDOC facility.

During inmate interviews the auditor utilized staff translators for three LEP individual in custody interviews. Additionally, during prior IDOC audits the auditor utilized Propio for language translation and American Sign Language translation. The auditor was provided a website and a telephone number for services. Staff provided the auditor an access code for services.

Documentation Sampling

Where there is a collection of records to review-such as staff, contractor, and volunteer training records; background check records; supervisory rounds logs; risk screening and intake processing records; inmate education records; medical files; and investigative files-auditors must self-select for review a representative sample of each type of record.

90. In addition to the proof documentation selected by the agency or facility and provided to you, did you also conduct an auditor-selected sampling of documentation?

Yes

No

91. Provide any additional comments regarding selecting additional documentation (e.g., any documentation you oversampled, barriers to selecting additional documentation, etc.).

During the audit the auditor requested personnel and training files of staff, inmate files, medical and mental health records, grievances, incident reports and investigative files for review. A more detailed description of the documentation review is as follows:

Personnel and Training Files. The auditor reviewed a total of 41 personnel and/or training files that included five staff hired within the past twelve months, three contractors hired within the previous twelve months and three staff promoted within the previous twelve months. The sample included eight contractors, six volunteers and six medical and mental health care staff.

Inmate Files. A total of 53 inmate files were reviewed. 27 inmate files were of those that arrived within the previous twelve months, seven were LEP inmates, eight were disabled inmates, four were transgender or intersex inmates and nine were identified with prior sexual victimization and/or a history of prior abusiveness.

Medical and Mental Health Records. The auditor reviewed medical and mental health documentation for twelve victims of sexual abuse and sexual harassment as well as mental health documents for nine inmates who disclosed victimization during the risk screening and/or were identified with prior sexual abusiveness.

Grievances. The auditor reviewed the identified sexual abuse grievances as well as the grievance log and a sample of additional grievances.

Incident Reports. The auditor reviewed incident reports associated with the sexual abuse and sexual harassment allegations as well as the incident report log and additional incident reports.

Investigation Files. There were 23 allegations

reported during the previous twelve months. The auditor reviewed twelve investigations. All twelve were administrative investigations and none were referred for prosecution. The auditor reviewed the two substantiated investigations and one unfounded investigation. The remaining investigations were all unsubstantiated.

SEXUAL ABUSE AND SEXUAL HARASSMENT ALLEGATIONS AND INVESTIGATIONS IN THIS FACILITY

Sexual Abuse and Sexual Harassment Allegations and Investigations Overview

Remember the number of allegations should be based on a review of all sources of allegations (e.g., hotline, third-party, grievances) and should not be based solely on the number of investigations conducted. Note: For question brevity, we use the term “inmate” in the following questions. Auditors should provide information on inmate, resident, or detainee sexual abuse allegations and investigations, as applicable to the facility type being audited.

92. Total number of SEXUAL ABUSE allegations and investigations overview during the 12 months preceding the audit, by incident type:

	# of sexual abuse allegations	# of criminal investigations	# of administrative investigations	# of allegations that had both criminal and administrative investigations
Inmate-on-inmate sexual abuse	4	0	4	0
Staff-on-inmate sexual abuse	2	0	2	0
Total	6	0	6	0

93. Total number of SEXUAL HARASSMENT allegations and investigations overview during the 12 months preceding the audit, by incident type:

	# of sexual harassment allegations	# of criminal investigations	# of administrative investigations	# of allegations that had both criminal and administrative investigations
Inmate-on-inmate sexual harassment	9	0	9	0
Staff-on-inmate sexual harassment	8	0	8	0
Total	17	0	17	0

Sexual Abuse and Sexual Harassment Investigation Outcomes

Sexual Abuse Investigation Outcomes

Note: these counts should reflect where the investigation is currently (i.e., if a criminal investigation was referred for prosecution and resulted in a conviction, that investigation outcome should only appear in the count for “convicted.”) Do not double count. Additionally, for question brevity, we use the term “inmate” in the following questions. Auditors should provide information on inmate, resident, and detainee sexual abuse investigation files, as applicable to the facility type being audited.

94. Criminal SEXUAL ABUSE investigation outcomes during the 12 months preceding the audit:

	Ongoing	Referred for Prosecution	Indicted/ Court Case Filed	Convicted/ Adjudicated	Acquitted
Inmate-on-inmate sexual abuse	0	0	0	0	0
Staff-on-inmate sexual abuse	0	0	0	0	0
Total	0	0	0	0	0

95. Administrative SEXUAL ABUSE investigation outcomes during the 12 months preceding the audit:

	Ongoing	Unfounded	Unsubstantiated	Substantiated
Inmate-on-inmate sexual abuse	1	1	2	0
Staff-on-inmate sexual abuse	0	0	2	0
Total	1	1	4	0

Sexual Harassment Investigation Outcomes

Note: these counts should reflect where the investigation is currently. Do not double count. Additionally, for question brevity, we use the term "inmate" in the following questions. Auditors should provide information on inmate, resident, and detainee sexual harassment investigation files, as applicable to the facility type being audited.

96. Criminal SEXUAL HARASSMENT investigation outcomes during the 12 months preceding the audit:

	Ongoing	Referred for Prosecution	Indicted/ Court Case Filed	Convicted/ Adjudicated	Acquitted
Inmate-on-inmate sexual harassment	0	0	0	0	0
Staff-on-inmate sexual harassment	0	0	0	0	0
Total	0	0	0	0	0

97. Administrative SEXUAL HARASSMENT investigation outcomes during the 12 months preceding the audit:

	Ongoing	Unfounded	Unsubstantiated	Substantiated
Inmate-on-inmate sexual harassment	0	0	8	1
Staff-on-inmate sexual harassment	1	0	6	1
Total	1	0	14	2

Sexual Abuse and Sexual Harassment Investigation Files Selected for Review

Sexual Abuse Investigation Files Selected for Review

98. Enter the total number of SEXUAL ABUSE investigation files reviewed/ sampled:	6
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<p>99. Did your selection of SEXUAL ABUSE investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any sexual abuse investigation files)</p>
<p>Inmate-on-inmate sexual abuse investigation files</p>	
<p>100. Enter the total number of INMATE-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:</p>	<p>4</p>
<p>101. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)</p>
<p>102. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)</p>
<p>Staff-on-inmate sexual abuse investigation files</p>	
<p>103. Enter the total number of STAFF-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:</p>	<p>2</p>
<p>104. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)</p>

<p>105. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)</p>
<p>Sexual Harassment Investigation Files Selected for Review</p>	
<p>106. Enter the total number of SEXUAL HARASSMENT investigation files reviewed/sampled:</p>	<p>6</p>
<p>107. Did your selection of SEXUAL HARASSMENT investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any sexual harassment investigation files)</p>
<p>Inmate-on-inmate sexual harassment investigation files</p>	
<p>108. Enter the total number of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:</p>	<p>3</p>
<p>109. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT files include criminal investigations?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)</p>
<p>110. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)</p>

Staff-on-inmate sexual harassment investigation files	
111. Enter the total number of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:	3
112. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include criminal investigations?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)
113. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)
114. Provide any additional comments regarding selecting and reviewing sexual abuse and sexual harassment investigation files.	There were zero criminal investigation completed during the previous twelve months.
SUPPORT STAFF INFORMATION	
DOJ-certified PREA Auditors Support Staff	
115. Did you receive assistance from any DOJ-CERTIFIED PREA AUDITORS at any point during this audit? REMEMBER: the audit includes all activities from the pre-onsite through the post-onsite phases to the submission of the final report. Make sure you respond accordingly.	<input type="radio"/> Yes <input checked="" type="radio"/> No

Non-certified Support Staff

116. Did you receive assistance from any NON-CERTIFIED SUPPORT STAFF at any point during this audit? REMEMBER: the audit includes all activities from the pre-onsite through the post-onsite phases to the submission of the final report. Make sure you respond accordingly.

Yes

No

AUDITING ARRANGEMENTS AND COMPENSATION

121. Who paid you to conduct this audit?

The audited facility or its parent agency

My state/territory or county government employer (if you audit as part of a consortium or circular auditing arrangement, select this option)

A third-party auditing entity (e.g., accreditation body, consulting firm)

Other

Standards	
Auditor Overall Determination Definitions	
<ul style="list-style-type: none"> • Exceeds Standard (Substantially exceeds requirement of standard) • Meets Standard (substantial compliance; complies in all material ways with the stand for the relevant review period) • Does Not Meet Standard (requires corrective actions) 	
Auditor Discussion Instructions	
<p>Auditor discussion, including the evidence relied upon in making the compliance or non-compliance determination, the auditor’s analysis and reasoning, and the auditor’s conclusions. This discussion must also include corrective action recommendations where the facility does not meet standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.</p>	

115.11	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive (AD) 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Danville Correctional Center Institutional Directive (ID) 04.01.301 Sexual Abuse and Harassment Prevention and Intervention 4. Administrative Directive 01.02.103 Duty Administrative Officer, Back-up Duty Administrative Officer and Required Inspection Tours 5. Administrative Directive 04.03.104 Evaluation, Treatment and Correctional Management of Transgender Offenders 6. Administrative Directive 05.01.113 Searches of Offenders

7. Administrative Directive 04.01.105 Facility Orientation
8. Administrative Directive 04.01.111 ADA Accommodations
9. Administrative Directive 05.07.101 Reception and Classification Process
10. Administrative Directive 01.12.120 Investigations of Unusual Incidents
11. Administrative Directive 01.12.112 Preservation of Physical Evidence
12. Administrative Directive 01.12.101 Employee Criminal Misconduct
13. Administrative Directive 01.12.125 Uniform Investigative Reporting System
14. Administrative Directive 01.12.115 Institutional Investigative Assignment
15. Administrative Directives 01.01.101 Administrative Directives
16. Administrative Directive 01.02.101 Staff Meeting
17. Administrative Directive 04.01.122 Volunteer Services
18. Administrative Directive 03.03.102 Employee Training
19. Administrative Directive 05.15.100 Restrictive Housing
20. Administrative Directive 04.01.114 Local Offender Grievance Procedures
21. Administrative Directive 03.01.120 Employee Review Hearing
22. Standard Operating Procedural (SOP) Manual for Mental Health
23. Illinois Administrative Code 20.504
24. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
25. Agency Organizational Chart
26. Facility Organizational Chart

Interviews:

1. Interview with the PREA Coordinator
2. Interview with the PREA Compliance Manager

Findings (By Provision):

115.11 (a): The PAQ indicated that 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. The PAQ also stated that 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 and that the policy includes definitions on prohibited behaviors regarding sexual abuse and sexual harassment and sanctions for those found to have participated in prohibited behaviors. The PAQ further stated that the policy includes a description of agency strategies and response to reduce and prevent sexual abuse and sexual harassment of inmates. The agency policy, AD 04.01.301 outlines the agency's strategies on preventing, detecting and responding to sexual abuse and include definitions of prohibited behavior. Page 1 states that the agency has a zero tolerance policy. In addition ID 04.01.301, outlines the facility specific procedures on preventing, detecting and responding to sexual abuse and sexual harassment. Page 2 (both policies) provide the definitions of prohibited behaviors and page 12 outlines sanctions for those who have participated in prohibited behaviors. In addition to AD and ID 04.01.301, the agency has numerous other policies that address portions of sexual abuse prevention, detection and response strategies. The policies include: 01.02.103, 04.03.104, 05.01.113, 04.01.105, 04.01.111, 05.07.101, 01.12.120, 01.12.112, 01.12.101, 01.12.115, 01.01.101, 01.02.101, 04.01.122, 03.03.102, 05.15.100, 04.01.114, 03.01.120, SOP Manual for Mental Health and Illinois Administrative Code 20.504. The policies address "preventing" sexual abuse and sexual harassment through the designation of a PC and PCM, training (staff, volunteers and contractors), staffing, intake/risk screening, inmate education and posting of signage (PREA posters, etc.). The policies address "detecting" sexual abuse and sexual harassment through training (staff, volunteers, and contractors) and intake/risk screening. The policies address "responding" to allegations of sexual abuse and sexual harassment through reporting, victim services, medical and mental health services, employee and inmate discipline, incident reviews and data collection. The policies are consistent with the PREA standards and outline the agency's approach to sexual safety. Additionally, the agency has the PREA Manual which addresses each provision of each standard and has corresponding direction, if applicable, related to the provision/standard. The PREA Manual is utilized by agency staff as a road map for PREA compliance.

115.11 (b): The PAQ indicated that the agency employs or designates 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. AD 04.01.301, page 3 states that the Director shall designate an Agency PREA Coordinator who shall develop, implement and oversee the Department's Sexual Abuse and Harassment Prevention and Intervention Program. The agency's organizational chart reflects that the PC position is an upper-level, agency-wide position. The position is the Senior Public Service Administrator who reports to the Chief Compliance Officer who reports to the Director. The interview with the PC indicated that the work gets done, but often requires that he work long hours. He stated the Department is currently in the process of restructuring the PREA Unit to

incorporate additional staff. Eventually, the IDOC PREA Compliance Unit will consist of one Senior Public Service Administrator (Agency PREA Coordinator), two Administrative Assistant II positions, and three Internal Security Investigator II positions. The PC stated there are a total of 31 PREA Compliance Managers and 31 Backup PREA Compliance Managers. Collaboration with the individuals occurs using in-person and WebEx meetings, SharePoint and an email distribution list in Outlook. Additionally, he stated that site visits are made to all facilities, and he is always available via email/phone. The interview with the PC indicated that if he identifies an issue complying with a PREA standard he would contact the specific Department Head and notify them of a concern and develop corrective action collectively. He indicated if the issue requires a policy change, the Department's Policy and Directive Unit as well as the Legal Department are utilized. Additionally, he stated that he can also utilize the National PREA Resource Center and networking with other states if necessary. It should be noted that the agency PC is very knowledgeable of policy, procedure and the PREA standards. He is directly involved in compliance across all facilities and provides annual training to agency staff, including PREA Compliance Managers. He also conducts trainings for investigators. The PC is very involved in all compliance and consistently works at adapting policy and procedure with the updates provided by the PREA Resource Center. The time, authority and knowledge of the PC exceeds the requirement of this standard.

115.11 (c): The PAQ indicated that the facility has designated a PREA Compliance Manager that has sufficient time and authority to coordinate the facility's efforts to comply with PREA standards. The PAQ stated the position of PCM at the facility is the Administrative Assistant II and the position reports to the Warden. AD 04.01.301, page 4 states that the Chief Administrative Officer of each correctional facility shall designate a facility PREA Compliance Manager with sufficient time and authority to coordinate the facility's efforts to comply with PREA standards and who is trained in sexual abuse crisis issues and has the knowledge, skills and abilities for program implementation and evaluation. The facility's organizational chart indicates that the PCM reports directly to the Warden. The interview with the PREA Compliance Manager indicated she felt she had enough time to manage all of her PREA related responsibilities. She stated being new to IDOC she always asks questions and consults with the Warden and appropriate staff. The PCM stated her role is to work with other staff, including the investigators and maintenance to ensure PREA compliance. She stated she has created a PREA notebook and she goes to wherever the information is to assist with compliance. The PCM indicated if she identifies an issue complying with a standard she would schedule a meeting regarding the issue and determine what steps are needed to adjust/fix the issue. She further stated she would reach out to the PC on the issue as well.

Based on a review of the PAQ, AD 04.01.301, ID 04.01.301, 01.02.103, 04.03.104, 05.01.113, 04.01.105, 04.01.111, 05.07.101, 01.12.120, 01.12.112, 01.12.101, 01.12.115, 01.01.101, 01.02.101, 04.01.122, 03.03.102, 05.15.100, 04.01.114,

	<p>03.01.120, SOP Manual for Mental Health, Illinois Administrative Code 20.504, the PREA Manual, the agency organizational chart, the facility organizational chart and information from interviews with the PC and PCM, this standard appears to be compliant.</p> <p>Recommendation</p> <p>The auditor highly recommends that the agency provide the PCM training related to the different policies, procedures and practices for PREA compliance, including but not limited to: the risk screening process, the outside reporting entity process, the staffing plan process and transgender and intersex inmates.</p>
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115.12	Contracting with other entities for the confinement of inmates
	Auditor Overall Determination: Exceeds Standard
	Auditor Discussion
	<p>115.12 (a): The PAQ indicated that the agency has entered into or renewed two contracts for the confinement of inmates since the last PREA audit and both contracts require the contractor to adopt and comply with PREA standards. A review of the two contracts confirmed that language is included in each contract that states that the “vendor shall comply with all applicable fiscal, operational and program policies of the IDOC contained in Administrative Directives, Administrative Rules and applicable memoranda. IDOC shall provide at least one complete set to the Center”. It also states that the “vendor shall grant open access, at all times, to the IDOC for inspection, audits, routine IDOC business and any other purposes relating to this program as determined by the IDOC”.</p> <p>115.12 (b): The PAQ indicated that the two contracts do not require the agency to monitor the contractor’s compliance with PREA standards. Further communication with the PC indicated this was an error and that both contract require the agency to monitor the contractor’s compliance with PREA standards. The interview with the Agency Contract Administrator indicated that individual correctional facilities do not contract for confinement services on their own. The IDOC does contract with Safer Foundations for the confinement of offenders in a Community Confinement setting. The two facilities are stand-alone facilities and both facilities undergo their own PREA audit every three years just like the facilities operated by the State. The Agency Contract Administrator confirmed that both contracts require full compliance with the PREA standards and both PREA audit reports are available on the IDOC website. A review of the agency website confirmed that both contracted facilities had a PREA</p>

	<p>audit completed during each of the previous three audit cycles. All reports are available for review on the website.</p> <p>Based on the review of the PAQ, the language within the contracts and information from the interview with the Agency Contract Administrator, the agency appears to exceed this standard. The agency has two contracts, both which have language that require the contractor (Safer Foundations) to comply with PREA standards. In addition to the language, the agency goes above and beyond by coordinating and paying for the PREA audits for the contracted agency. The agency does this to ensure that the contractor complies with the PREA standards and is fully compliant. The PC schedules these audits and includes them in his PREA audit three year cycle.</p>
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115.13	Supervision and monitoring
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 01.02.103 Duty Administrative Officer, Back-up Duty Administrative Officer and Required Inspection Tours 4. Staffing Plan 5. Staffing Plan Review 6. Deviations from the Staffing Plan 7. Documentation of Unannounced Rounds <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Warden 2. Interview with the PREA Compliance Manager 3. Interview with the PREA Coordinator 4. Interviews with Intermediate-Level or Higher-Level Facility Staff

Site Review Observations:

1. Staffing Levels
2. Video Monitoring Technology or Other Monitoring Materials

Findings (By Provision):

115.13 (a): The PAQ indicated that the agency requires each facility it operates to develop, document and make its best efforts to comply on a regular basis with a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against abuse. AD 04.01.301 pages 4-5 address the agency's staffing plan development. Specifically, it states that the Chief Administrative Officer of each correctional facility shall ensure the facility develops, documents and makes its best efforts to comply on a regular basis with a staffing plan that provides for adequate levels of staffing, and where applicable, video monitoring, to protect inmates against sexual abuse and sexual harassment. In calculating adequate staffing levels and determining the need for video monitoring, facilities shall take into consideration: generally accepted correctional practices, any judicial findings of inadequacy, any finding of inadequacy from Federal investigative agencies, any finding of inadequacy from internal or external oversight bodies, all components of the facility's physical plant including blind-spots or areas where staff or offenders may be isolated, the composition of the offender population, the number and placement of supervisory staff, institutional programs occurring on a particular shift, any applicable State or local laws, the prevalence of substantiated and unsubstantiated incidents of abuse and any other relevant factors. The PAQ indicated that the staffing plan is based on 1464 inmates and the average daily population over the previous twelve months has been 1465. The facility employs 361 staff. Security staff mainly make up three shifts; 7am-3pm, 3pm-11pm, and 11pm-7am. Each shift has a Shift Commander as well as zone supervisors. Correctional Officers are assigned to housing units as well as common, program and work areas. Additionally, medical and mental health care staff and administrative staff have their own varied scheduled work hours. During the tour the auditor confirmed the facility follows the staffing plan. There were numerous security staff in each general population housing building and at least one security staff in the other housing buildings. Program, work and education areas included non-security staff and either a positioned or roving security staff member. In areas where security staff were not directly assigned, routine security checks were required. The auditor confirmed that the physical plant of the housing units provided an adequate line of sight. The facility did not appear to be overcrowded and staffing appeared to be adequate based on the population. During the tour the auditor observed numerous blind spots in laundry, vocation, maintenance, industries and clothing. The facility did not have any video monitoring technology and as such the blind spots were not covered by camera. Informal

conversation with staff confirmed that the staffing during the audit was typical and housing units are not overcrowded. Staff stated they make rounds every 30 minutes and supervisors make rounds at least once per shift. Informal conversation with inmates indicated staff make rounds every hour at least and they see the supervisor daily. During the tour the auditor confirmed there were zero cameras throughout the facility. The interview with the Warden confirmed that the facility has a staffing plan that includes adequate levels to protect inmates from sexual abuse. She stated the staffing plan includes people in all housing units and mandated areas for the operation of the facility. The Warden stated the facility does not have any video monitoring technology. She further confirmed the staffing plan is documented. The Warden indicated they have staff members present due to the levels of the areas and capacity. She stated there are supervisors assigned to zones and that there is a security staff member assigned to areas where individuals are present. She stated if there is something going on in the area there is staff present. The Warden confirmed there are additional staff on day shift due to movement and programs and that the facility is staffed based on medium custody individuals. She further stated they check for compliance with the staffing plan through a review of the daily roster. She stated anytime anything is closed that is a mandatory post, staff are required to report the information to her and the Deputy. The interview with the PCM indicated that she is aware of the staffing plan and she assisted with the last review. She indicated they look at how many staff are needed for each area and if they have any PREA incidents they would look at the housing units/area and reevaluate the staffing needs.

115.13 (b): The PAQ indicated that each time the staffing plan is not complied with, the facility documents and justifies all deviations from the staffing plan. The PAQ did not notate the common reasons for deviating from the staffing plan. AD 04.01.301, page 5 states that if circumstances arise where the staffing plan is not complied with, the facility shall document and justify all deviation from the plan on the Daily Roster review, DOC 0531, in accordance with 05.01.101. The interview with the Warden confirmed that any deviations from the staffing plan would be documented on the daily roster and would also be reported to her. A review of nine daily rosters confirmed that deviations are documented through the number of staff in each category (i.e. call ins, training, military, etc.) as well the posts that are closed due to the deviations.

115.13 (c): The PAQ indicated that at least once a year the facility in collaboration with the PC, reviews the staffing plan to see where adjustments are needed. AD 04.01.301, page 5 states that whenever necessary, but no less frequent than once per year, the facility, in consultation with the Agency PREA Coordinator, shall assess, determine and document whether adjustments are needed to the staffing plan established herein, the facility's deployment of video monitoring systems and other monitoring technologies, and the resources the facility has available to ensure adherence to staffing plan. The staffing plan was most recently reviewed on January 31, 2023. The plan was reviewed to assess, determine and document whether any

adjustments were needed to the staffing plan, the deployment of video monitoring technologies and/or the resources available to commit to ensuring adherence to the staffing plan. The staffing plan review included documentation on the facility staffing allocations, cameras and all the required components under provision (a) of this standard, including physical plant, finding of inadequacy, composition of inmate population, programs occurring on each shift, incidents of sexual abuse and other relevant factors. The auditor requested the previous annual staffing plan review, however at the issuance of the interim report the auditor had not received the document. The PC confirmed that he is consulted regarding each facility's staffing plan. He stated staffing assessments are reviewed consistently by Operations (Roster Review Team, Security Review Team, etc.) and updates to the Staffing Plan are signed off on by the facility Warden and PREA Coordinator on an annual basis.

115.13 (d): The PAQ indicated that the facility requires that intermediate-level or higher-level staff conduct unannounced rounds to identify and deter staff sexual abuse and sexual harassment. The PAQ further states that the facility documents the unannounced rounds and the rounds cover all shifts. Additionally, the PAQ stated that the facility prohibits staff from alerting other staff of the conduct of such rounds. 01.02.103, page 3 states that the Back-up Duty Administrative Officer (BUDAO) or Duty Administrative Officer (DAO) shall at least every two days, excluding weekends and holidays, inspect activity areas of the facility, housing units, including restrictive housing, kitchens and dining rooms, health care units, recreation areas and educational, vocational, maintenance and industry buildings. Page 4 states that the BUDAO shall conduct unscheduled inspections of random areas within the facility for all major holidays, during back shift, each weekend and at satellite facilities. The policy states that the unscheduled inspection of random areas within the facility on the DOC 0481. The policy further states that staff shall be prohibited from alerting other staff member that supervisory rounds are occurring unless such announcement is related to the legitimate operational function of the facility. Interviews with the intermediate-level or higher-level staff confirmed that they make unannounced rounds and that they document the unannounced rounds. The staff stated they sign the log books in the unit and/or the book in the Warden's office. Both staff stated it is impossible to ensure staff don't notify one another when they are making rounds but they have sent out a memo and they try not to do rounds during the same time or establish a pattern. One staff stated he skips some units and goes to others so he doesn't go in a row. The other staff stated rounds will depend on the day and he tries not to make it routine. The auditor requested documentation from five specific days over the previous twelve months to determine if unannounced rounds were being made. The documentation requested was not provided in full. Four housing units were missing as well as rounds on some of the shifts in the four housing units provided.

Based on a review of the PAQ, 04.01.301, 01.02.103, the facility staffing plan, the staffing plan review, documentation of unannounced rounds, deviations from the staffing plan, observations made during the tour and interviews with the PC, PCM,

Warden and intermediate-level or higher-level staff, this standard appears to require corrective action. During the tour the auditor observed numerous blind spots in laundry, vocation, maintenance, industries and clothing. The facility did not have any video monitoring technology and as such the blind spots were not covered by camera. The auditor requested the previous annual staffing plan review, however at the issuance of the interim report the auditor had not received the document. The auditor requested documentation from five specific days over the previous twelve months to determine if unannounced rounds were being made. The documentation requested was not provided in full. Four housing units were missing as well as rounds on some of the shifts in the four housing units provided.

Corrective Action

The facility will need to install mirrors to alleviate all blind spots. Photos of the mirrors will need to be provided to the auditor. The facility will need to provide the requested documentation, including the prior annual staffing plan and the unannounced rounds.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Photos of Modifications
2. Annual Staffing Plan Review
3. Unannounced Rounds

The facility provided photos of mirrors that were placed in each of the areas identified with a blind spot. The photos confirmed that the mirrors alleviated the blind spots.

The facility provided the originally requested prior annual staffing plan review and the unannounced rounds. Documentation confirmed that unannounced rounds were completed across all three shifts on the date selected or a date within the same week.

Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.

115.14 Youthful inmates

Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Public Act 99-628
3. Memorandum from Legal Counsel

Findings (By Provision):

115.14 (a): The PAQ and the memo from Legal Counsel indicated that no youthful inmates are housed at Danville Correctional Center and as such this standard is not applicable. Public Act 99-628 (effective January 1, 2017) states that all offenders under eighteen years of age when sentenced to imprisonment shall be committed to the Department of Juvenile Justice and the court in its order of commitment shall set a definite term. As of January 1, 2017, newly sentenced seventeen year old offenders are to be admitted into the penitentiary system at an Illinois Department of Juvenile Justice facility and later subject to permanent transfer to IDOC pursuant to 730 ILCS 5/3-10-7€ after attaining the age of eighteen.

115.14 (b): The PAQ and the memo from Legal Counsel indicated that no youthful inmates are housed at Danville Correctional Center and as such this standard is not applicable. Public Act 99-628 (effective January 1, 2017) states that all offenders under eighteen years of age when sentenced to imprisonment shall be committed to the Department of Juvenile Justice and the court in its order of commitment shall set a definite term. As of January 1, 2017, newly sentenced seventeen year old offenders are to be admitted into the penitentiary system at an Illinois Department of Juvenile Justice facility and later subject to permanent transfer to IDOC pursuant to 730 ILCS 5/3-10-7€ after attaining the age of eighteen.

	<p>115.14 (c): The PAQ and the memo from Legal Counsel indicated that no youthful inmates are housed at Danville Correctional Center and as such this standard is not applicable. Public Act 99-628 (effective January 1, 2017) states that all offenders under eighteen years of age when sentenced to imprisonment shall be committed to the Department of Juvenile Justice and the court in its order of commitment shall set a definite term. As of January 1, 2017, newly sentenced seventeen year old offenders are to be admitted into the penitentiary system at an Illinois Department of Juvenile Justice facility and later subject to permanent transfer to IDOC pursuant to 730 ILCS 5/3-10-7€ after attaining the age of eighteen.</p> <p>Based on a review of the PAQ, the memo from Legal Counsel and Public Act 99-628, this standard appears to be not applicable and as such, compliant.</p>
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115.15	Limits to cross-gender viewing and searches
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 04.03.104 Evaluation, Treatment and Correctional Management of Transgender Offenders 4. Administrative Directive 05.01.113 Searches of Offenders 5. Rehabilitation, Safety Management and Care for Transgender People in Correctional Settings Curriculum 6. Personal Searches Curriculum 7. Personal Search Card 8. Staff Training Records <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Random Staff 2. Interviews with Random Inmates

3. Interviews with Transgender and/or Intersex Inmates

Site Review Observations:

1. Observations of Privacy Barriers
2. Observation of Cross Gender Announcement

Findings (By Provision):

115.15 (a): The PAQ indicated that the facility does not conduct cross gender strip or cross gender visual body cavity searches of inmates. The PAQ stated zero searches of this kind were conducted at the facility over the past twelve months. 05.01.113, page 2 states that cross-gender strip searches shall be prohibited. A review of the Personal Searches Curriculum confirmed that page 4 discusses the prohibition under 05.01.113.

115.15 (b): The PAQ indicated that the facility does not permit cross-gender pat-down searches of female inmates, absent exigent circumstances and the facility does not restrict female inmates' access to regularly available programming or other out-of-cell opportunities in order to comply with this provision. The PAQ stated there have been zero pat-down searches of female inmate by male staff. The Personal Searches Curriculum, page 4 indicates that staff are trained that only female correctional employees, who are properly trained, are authorized to conduct pat down or clothed body searches of female offenders. There were zero female inmates at the facility. Interviews with four transgender individuals in custody indicated that two were never searched by a staff member of the opposite gender. Two transgender individuals in custody stated they were pat searched by male staff recently. Additionally, one transgender individual in custody stated she was restricted from recreation when housed in segregation because they could not find a female to search her. The auditor requested documentation related to searches of the transgender inmates interviewed, however at the issuance of the interim report the documentation had not yet been received. All thirteen random staff interviewed stated that they were unaware of a time that transgender females have been restricted from going somewhere because there wasn't a female to search them.

115.15 (c): The PAQ indicated that facility policy requires that all cross-gender strip searches and cross gender visual body cavity searches be documented. The PAQ also stated the facility does not house female inmates. 01.12.105, page 3 states that notification of serious and significant unusual incidents shall be in accordance with

the provisions of this directive. Page 3 states that following initial notification of the respective Deputy Director or Chief, the Chief Administrative Officer shall ensure electronic notification of the incident is provided and the notification includes the date and time, offenders involved, staff involved and narrative of the incident. The Personal Search Manual, page 4 states that in exigent or emergency circumstances, a male correctional employee, who is properly trained, may conduct a search if a properly trained, female correctional employee is not available. An exigent or emergency situation is one in which a reasonable suspicion exists that a weapon, or another item of serious contraband, is present and it presents an immediate danger to the offender(s), facility security, or the public which cannot be safety averted either by securing, escorting or isolating the offender. Interviews with four transgender individuals in custody indicated that two were never searched by a staff member of the opposite gender. Two transgender individuals in custody stated they were pat searched by male staff recently. The auditor requested documentation related to searches of the transgender inmates interviewed, however at the issuance of the interim report the documentation had not yet been received.

115.15 (d): The PAQ stated that the facility has implemented policies and procedures that enable inmates 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. Additionally, the PAQ stated that policies and procedures require staff of the opposite gender to announce their presence when entering an inmate housing unit. 04.01.301, page 7 indicates that offenders shall be able to shower, perform bodily functions and change clothing without non-medical staff of the opposite gender viewing their breasts, buttocks or genitalia, except when such viewing is incidental to routine cell checks. Page 7 further notates that staff of the opposite gender, whether assigned to the unit or not, shall make the following verbal announcement upon their arrival in a housing unit "Male/Female in the housing unit". During the tour the auditor observed that general population housing units provided privacy through cell doors with a small window and shower curtains. The auditor confirmed that the shower curtains provided privacy for male individuals in custody from the officer's station, however it did not provide adequate privacy on the lower level showers for transgender females. The facility confirmed that transgender inmates are able to utilize the top tier showers for appropriate privacy from opposite gender staff. The health care unit provided privacy when using the restroom through solid doors. The shower was a single person with lattice type material. The facility advised that they have an extra curtain for the shower, however the auditor did not view the curtain. The segregated housing unit provided privacy when using the toilet through cell doors with a small window. The shower was single person with a lattice door and extra barrier material near the center of the lattice. The auditor observed that while this shower provided privacy for male individual's in custody, it did not provide adequate privacy for transgender females. The facility advised they have an extra curtain for transgender females, however the auditor did not view the curtain. The auditor viewed the strip search area in visitation and confirmed that it provided privacy

through a solid door. The strip search area in intake also provided privacy through a solid door. Strip searches in the segregated housing unit are conducted in the showers and provide privacy for males through the lattice material and extra center barrier. As indicated above the facility advised for transgender females they have an additional curtain, but the auditor did not observe the curtain. The facility does not have any video monitoring technology and as such no cross gender viewing issues were identified related to cameras. Additionally, there were zero cross gender viewing issues identified with mirror placement. With regard to the opposite gender announcement, the auditor heard the announcement made verbally upon entry into each of the housing units, with the exception of the health care unit (where female staff were already present). The announcement was made verbally and over the loudspeaker in each unit. The agency also has a paging system for the deaf and hard of hearing inmates where the announcement can be sent out to their watches. Informal conversation with staff indicated that female staff make an announcement when entering housing units and individuals in custody have privacy when showering, using the restroom and changing their clothes. Informal conversation with inmates indicated that they have privacy when showering, using the restroom and changing their clothes, but the shower has a really bright light which they think makes them more visible. Half of the inmates stated that the female announcement is made when they enter units. Interviews with thirteen staff indicated twelve believed individuals in custody have privacy when showering, using the restroom and changing clothes through curtains. 31 of the 40 individuals in custody interviewed indicated they have privacy when using the restroom, showering and changing their clothes. A few individuals in custody stated they have curtains but when they come out of the shower area to put on clothes staff can see them. Additionally, a few stated the bright lights they put up in the shower put them on display. It should be noted that individuals in custody are required to change clothes behind the shower curtain and the light over the shower did not pose any cross gender viewing issues. Thirteen of the 40 individuals in custody stated that staff of the opposite gender announce when they enter housing units. Twelve of the thirteen staff stated that opposite gender staff announce their presence when entering an inmate housing unit. One staff stated female are supposed to announce.

115.15 (e): The PAQ indicated that the facility has a policy prohibiting staff from searching or physically examining a transgender or intersex inmate for the sole purpose of determining the inmate's genital status and no searches of this nature occurred in the past twelve months. 05.01.113, page 2 states that staff shall not search or physically examine a transgender or intersex offender for the sole purpose of determining the offender's genital status. If the offender's genital status is unknown, it may be determined during conversation with the offender, reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner. Interviews with thirteen random staff indicated twelve were aware of an agency policy that prohibits strip searching a transgender or intersex inmate for the sole purpose of determining the inmates' genital status. Interviews with four transgender inmates confirmed that

none believed they were searched for the sole purpose of determining their genital status. One stated that she is searched a lot and feels like sometimes they could be doing it for this purpose but was not sure.

115.15 (f): 05.01.113, page 2 states that the Office of Staff Development and Training shall ensure security staff are trained in conducting searches of offenders in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs. Page 11 further states that offenders designated as transgender non-conforming shall be designated as such in Offender 360 and provided an offender identification card specifying the gender of staff that will perform strip searches of that offender as determined by the Transgender Administrative Committee in consultation with the offender. If a strip search is to be performed, the transgender or gender non-conforming offender shall be searched by the gender of the staff designated on their offender identification card. 04.03.104, pages 8-9 also outline the same information described in 05.01.113. The Personal Search Curriculum pages 3-4 outline the basic guidelines for conducting searches including being systematic, thorough, objective and consistent. Page 5 states that when conducting searches of a transgender or intersex offender, the searches should be conducted in a professional and respectful manner, consistent with the type of search being conducted, and security needs. Searches should be complete in accordance with applicable Administrative Directives or Institutional Directives based on the gender of the facility, unless otherwise directed by the CAO. The training further states that if an offender has been confirmed and identified in Offender 360 or on their identification badge to be transgender or gender non-conforming, the offender may express preferences to be searched by a male or female staff of their gender identify rather than the gender staff above, that request will be considered and if possible, honored, if staff are available to do so. Staff are also provided training titled Rehabilitation, Safety Management and Care for Transgender People in Correctional Settings. A review of the training confirmed that staff are provided information on definitions and terminology, appropriate language, bias, gender informed professional skills including appropriate language and misgendering, statistics and policy and procedure related to transgender care. Staff are also provided a personal search card that outlines the steps for offender pat-searches and offender strip searches. The PAQ indicated that 100% of staff have received this training. Interviews with thirteen random staff indicated that eleven had received training on how to conduct cross-gender pat down searches and searches of a transgender and intersex individuals. A review of fifteen staff training records confirmed that all fifteen had received the Personal Search training during cycle training.

Based on a review of the PAQ, 04.01.301, 04.03.104, 05.01.113, Rehabilitation, Safety Management and Care for Transgender People in Correctional Settings Curriculum, Personal Searches Curriculum, Personal Search Card, a random sample of staff training records, observations made during the tour and information from interviews

with random staff and random inmates indicates this standard appears to standard requires corrective action. Interviews with four transgender individuals in custody indicated that two were never searched by a staff member of the opposite gender. Two transgender individuals in custody stated they were pat searched by male staff recently. The auditor requested documentation related to searches of the transgender inmates interviewed, however at the issuance of the interim report the documentation had not yet been received. The health care unit provided privacy when using the restroom through solid doors. The shower was a single person with lattice type material. The facility advised that they have an extra curtain for the shower, however the auditor did not view the curtain. The segregated housing unit provided privacy when using the toilet through cell doors with a small window. The shower was single person with a lattice door and extra barrier near the center of the lattice material. The auditor observed that while this shower provided privacy for male individual's in custody, it did not provide adequate privacy for transgender females. The facility advised they have an extra curtain for transgender females, however the auditor did not view the curtain.

Corrective Action

The facility will need to provide the requested documentation related to the transgender searches in order for the auditor to determine if additional corrective action is needed. The facility will need to provide confirmation of the additional shower curtains for transgender individuals in segregated housing and in health services.

Recommendation

The auditor recommends that the facility conduct refresher training with staff on the opposite gender announcement.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

	<ol style="list-style-type: none"> 1. Search Documents 2. Memorandum on Documented Searches 3. Photos of Modifications <p>Additional Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Transgender and/or Intersex Inmates <p>The facility provided search documentation for transgender inmate searches. One search was documented by a female staff member while the others did not indicate the staff that completed the search.</p> <p>The Warden provided a memo that was provided to staff that advised that transgender searches are to be documented on the DOC 50434 form.</p> <p>During the corrective action period the auditor conducted phone interviews with two transgender inmates at the facility. Both advised that they have only been searched by female staff members and that searches have been professional.</p> <p>The facility provided photos of curtain barriers that were added to the segregated housing unit showers as well photos confirming the health care shower had a curtain.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.16	Inmates with disabilities and inmates who are limited English proficient
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Documents: <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire

2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Administrative Directive 04.01.105 Facility Orientation
4. Administrative Directive 04.01.111 ADA Accommodations
5. Administrative Directive 05.07.101 Reception and Classification Process
6. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
7. Video Remote Interpreting Information
8. Language Interpretation Procedure - Propio Language Services, LLC.
9. Individuals In Custody Orientation Manual (Handbook)
10. PREA Posters
11. PREA Reporting Poster

Interviews:

1. Interview with the Agency Head
2. Interviews with Inmates with Disabilities
3. Interviews with LEP Inmates
4. Interviews with Random Staff

Site Review Observations:

1. Observations of PREA Posters

Findings (By Provision):

115.16 (a): The PAQ stated that the agency has established procedures to provide disabled inmates 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. 04.01.301, pages 7-8 state that the Department shall provide offender education in formats accessible to all offenders, including those who are limited English proficient, deaf, visually impaired or otherwise disabled, as well as to offender who have limited reading skills. 04.01.111, pages 3-4 indicate that the CAO shall

ensure offenders are provide with information regarding ADA disability accommodations and shall establish procedures for offender access to teletypewriter (TTY) and Video Remote Interpreting (VRS) equipment. The policy also indicates that the CAO shall find alternative notification methods for auditory announcements (tactile paging system). 05.07.101, page 2 states that all videos used during orientation shall include closed captioning subtitles and closed captioning utilizing American Sign Language which has been reviewed for accuracy of the interpretation by the Illinois Deaf and Hard of Hearing Commissioner or a qualified interpreter. The policy further states that the department shall reserve the first row of seats during orientation for offenders who are disabled. A review of PREA Posters, Handbook and distributed information confirmed that information can be provided in large font and bright colors and can be read to inmates in terminology that they understand. Additionally, the Handbook provide information on Americans with Disabilities (ADA) including requesting accommodations, telecommunication equipment and sign language information. During the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. Further the auditor observed the PREA hotline number painted/stenciled near the phones in the general population housing units. The interview with the Agency Head confirmed that the agency has an Administrative Directive, 04.01.111 ADA Accommodations and Propio Language Service Contact that establishes procedures to provide inmates with disabilities and inmates who are limited English Proficient 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. The Agency Head stated that orientation/educational materials are available in Spanish and that orientation is also available via video with the use of American Sign Language and Spanish translation. The interview further indicated that offenders have the ability to participate in interactive dialogue with staff if further clarification is warranted. Interviews with four disabled inmates and three LEP inmates indicated that six were provided information in a format that they could understand. It should be noted that during prior IDOC audits the auditor utilized Propio for language translation and American Sign Language translation. The auditor was provided a website and a telephone number for services. Staff provided the auditor an access code for services.

115.16 (b): The PAQ indicates that the agency has established procedures to provide inmates 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. 04.01.301, pages 7-8 state that the Department shall provide offender education in formats accessible to all offenders, including those who are limited English proficient, deaf, visually impaired or otherwise disabled, as well as to offender who have limited reading skills. 04.01.105, page 2 states that for a non-English speaking offender, reasonable efforts shall be made for the orientation to be explained to him or her in a language her or she understands. It further states that

offenders shall receive written orientation material and/or translation in their own language and when a literacy problem exists, a staff member shall assist the offender in understanding the materials. The facility also has a contract with Propio Language Services, LLC. This company provides the facility a phone number that they can call that connects the staff member with a translator who can will translate information between the staff member and LEP inmate. The company has interpretation services for over 600 languages. A review of PREA Posters, Handbook and distributed information confirmed that information is available in both English and Spanish and can be translated into other languages, as needed. During the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. Further the auditor observed the PREA hotline number painted/stenciled near the phones in the general population housing units. During inmate interviews the auditor utilized staff translators for three LEP individual in custody interviews. Additionally, during prior IDOC audits the auditor utilized Propio for language translation and American Sign Language translation. The auditor was provided a website and a telephone number for services. Staff provided the auditor an access code for services. Interviews with four disabled inmates and three LEP inmates indicated that six were provided information in a format that they could understand.

115.16 (c): The PAQ indicated that agency policy prohibits use of inmate interpreters, inmate readers, or other type of inmate assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first responder duties, or the investigation of the inmate's allegation. The PAQ further stated the agency/facility documents the limited circumstances and that there were zero instances where an inmate was utilized to interpret, read or provide other types of assistance. 04.01.301, page 9 states staff shall not rely on individuals in custody to act as interpreters when reporting or investigating allegations of sexual abuse or sexual harassment for other individuals in custody who do not speak English, or who may speak very limited English; except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the safety of the individual. Use of such interpreters shall be documented. Interviews with thirteen random staff indicated ten were aware of a policy that prohibits utilizing inmate interpreters, readers or other types of inmate assistants for sexual abuse allegations. None of the thirteen were aware of a time that another individual in custody was utilized for sexual abuse allegations. Interviews with four disabled inmates and three LEP inmates indicated that six were provided information in a format that they could understand. One LEP individual in custody stated he did have another individual in custody help him with translation and understanding during education.

Based on a review of the PAQ, 04.01.301, 04.01.105, 04.01.111, 05.07.101, the PREA Manual, VRS/TTY information, Propio Language Services LLC information, PREA Posters, the PREA Reporting Poster, the Handbook, observations made during the tour as well as interviews with the Agency Head, random staff, inmates with disabilities and LEP inmates indicates that this standard requires corrective action. While housing units have PREA information posted, all general population units only had the letter size PREA Reporting Posters. There were no larger posters observed for disabled inmates in general population housing units or at intake.

Corrective Action

The facility will need to post the larger PREA Posters in English and Spanish in each housing unit and intake. Photos of the posted information will need to be provided.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Photos of Posted Information

The facility provided photos of the larger PREA Posters in English and Spanish across housing units and common areas.

Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.

115.17	Hiring and promotion decisions
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 01.02.107 Background Investigations
3. Administrative Directive 03.02.100 Administrative Review of Personnel or Service Issues
4. Administrative Directive 03.02.108 Standards of Conduct
5. PREA Preemployment Self Report DOC 0450
6. PREA Questionnaire for Institutional Employers DOC 0589
7. Arrest Tracking Process Memorandum
8. Staff Personnel Files
9. Contractor Background Files

Interviews:

1. Interview with Human Resource Staff

Findings (By Provision):

115.17 (a): The PAQ indicated that agency policy prohibits hiring or promoting anyone who may come in contact with inmates, and shall not enlist the services of any contractor who may have contact with inmates if they have: engaged in sexual abuse in prison, jail, lockup or any other institution; been convicted of engaging or attempting to engage in sexual activity in the community or has been civilly or administratively adjudicated to have engaged in sexual abuse by force, overt or implied threats of force or coercion. 03.02.100, page 3 states that the Department shall not hire, promote or enlist the services of any employee, contractual or otherwise, who may have contact with offenders and: 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 in or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats or 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 above. The auditor requested five new hire personnel files. At the issuance of the interim report four had been provided. All four had a completed criminal background records check and a completed DOC 0450 (PREA Questions). The auditor requested personnel files for three contractors, at the issuance of the interim

report none of the documents were received.

115.17 (b): The PAQ indicated that the agency considers any incidents of sexual harassment in determining whether to hire or promote any staff or enlist the services of any contractor who may have contact with an inmate. 03.02.100, page 3 states that the Department shall consider any incident of sexual harassment in determining whether to hire or promote anyone, or enlist the services of any contractual employee, who may have contact with offenders. The interview with Human Resource staff indicated that the Background Investigation Unit (BIU) reports any incidents that are uncovered while conducting the background check relating to sexual harassment and include these incidents in an Administrative Review (AR) that is forwarded on to the IDOC Executive Staff for their review. This also include contractual employees.

115.17 (c): The PAQ indicated that agency policy requires that before it hires any new employees who may have contact with inmates, it (a) conducts criminal background record checks, and (b) consistent with federal, state, and local law, makes 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. 01.02.107, pages 2-3 state that background investigations shall be completed on person prior to employment or prior to placement in safety sensitive position and on person who provide services for the Department. There shall be two levels of background investigations: a computer criminal history check which include a check of an individual's criminal history through the Law Enforcement Agencies Data System (LEADS) and a complete background investigation which includes a check of LEADS and nine other database queries. Policy indicates a complete background investigation is required for all applicants prior to employment, employees, contractual employees and interns. The policy also indicates that the DOC 0450 is also required for the background investigation. A review of the DOC 0589 confirms that the PREA Questionnaire for Institutional Employers is sent to all prior institutional employers and contains four questions including if the individual was involved in a substantiated sexual abuse allegation and/or a sexual harassment allegation and/or if the individual resigned during a pending investigation of sexual abuse and/or a pending investigation of sexual harassment. The PAQ indicated there were 35 people hired in the past twelve months that may have contact with inmates and all 35 had a criminal background records check completed. The auditor requested five new hire personnel files. At the issuance of the interim report four had been provided. All four had a completed criminal background check and a completed DOC 0450 (PREA Questions). None of the four had any prior institutional employers that were required to be contacted. It should be noted the auditor confirmed the prior institutional employer check process during prior IDOC audits. All prior institutional employers are contacted via the central office human resource staff (completed at the agency level not facility level). The interview with Human Resource staff confirmed that the Background Investigation Unit (BIU) performs a background check on all request for background investigations sent by facilities. In addition, the BIU

performs a check of IDOC Intel, work discipline and any PREA related incidents for all employees promoting to Shift Supervisor or a promotion in a Merit Compensation position. The Human Resource staff also stated that they check IDOC Intel and work discipline for employees that have answered "Yes" on the DOC 0450 (PREA self-disclosure). All contractors who have routine access to individuals in custody go through the background process.

115.17 (d): The PAQ stated that agency policy requires that a criminal background record check be completed before enlisting the services of any contractor who may have contact with inmates. The PAQ indicated that there have been two contracts at the facility within the past twelve months where criminal background record checks were conducted on all staff covered under the contract. 01.02.107, pages 2-3 state that background investigations shall be completed on person prior to employment or prior to placement in safety sensitive position and on person who provide services for the Department. There shall be two levels of background investigations: a computer criminal history check which include a check of an individual's criminal history through the Law Enforcement Agencies Data System (LEADS) and a complete background investigation which includes a check of LEADS and nine other database queries. Policy indicates a complete background investigation is required for all applicants prior to employment, employees, contractual employees and interns. The policy also indicates that the DOC 0450 is also required for the background investigation. The auditor requested personnel files for three contractors, at the issuance of the interim report none of the documents were received. The Human Resource staff confirmed that all contractors who have routine access to individuals in custody go through the background process.

115.17 (e): The PAQ indicated that 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 inmates, or that a system is in place for otherwise capturing such information for current employees. 03.02.108, page 2 states that employees are required to verbally report as soon as possible but within five working days a written report and final disposition to the Background Investigations Unit any arrest, indictment or conviction for a felony or misdemeanor, other than minor traffic offenses such as a parking ticket. The memo from the Background Investigations Unit staff indicated that every applicant processed by the IDOC had fingerprints submitted through the Illinois State Police LEADS/NCIC system. When fingerprints are submitted, a permanent marker is indicated on the entry which enables arrest tracking. If the individual is ever arrested, the nationwide system generates a direct response to the IDOC Background Investigations Unit which is immediately notified of the arrest. The BIU then contacts the CAO of the facility or program site where the employee/contractor is assigned. The facility provided the auditor examples of employee fingerprint submissions and employee arrest notifications, confirming that the IDOC is notified of any arrests. The interview with Human Resource staff indicated that every applicant processed by the Illinois

Department of Corrections Background Investigations Unit has, as part of the background investigations process and as a condition of their employment, fingerprints submitted through the Illinois State Police LEADS/NCIC system. When fingerprints are submitted, a permanent marker is indicated on the entry which enables Arrest Tracking. If the individual is ever arrested, the nationwide system generates a direct response to the Illinois Department of Corrections Background Investigations Unit which is immediately notified of the arrest. The notification includes the individual's name, date of birth, and other pertinent identifying information, as well as the Agency which effected the arrest and the charge(s).

115.17 (f): A review of the DOC 0450 Prison Rape Elimination Act Pre-Employment Self-Report confirms that all staff (new applicant and promotion) are required to fill out the form which contains the following questions: have you engaged in sexual abuse in a prison, jail, lockup, community confinement facility, or other correctional facility, a pretrial detention facility, a juvenile facility, a facility for persons who are mentally ill or disabled or have intellectual disabilities or are chronically ill or handicapped, a facility providing skilled nursing intermediate or long-term care custodial or residential care or other institution as defined in the Civil Rights Institutionalized Persons Act (42 U.S.C. 1997)?; have you been convicted of engaging or attempting to engage in sexual activity in the community that was 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?; and have you been civilly or administratively adjudicated to have engaged 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; and has there ever been any allegation, complaint or finding made against you regarding any incidents of sexual harassment? The auditor requested five new hire personnel files. At the issuance of the interim report four had been provided. All four had completed the DOC 0450 prior to hire. Additionally, the auditor reviewed three staff who were promoted in the previous twelve months. All three completed the DOC 0450 prior to promotion. The Human Resource staff stated that when an individual applies for employment with IDOC they are required to fill out the DOC 0031, Applicant Information Sheet (AIS). There are numerous questions within the AIS that asks about visiting, corresponding with and living with IDOC offenders. Additionally, the applicant is asked about any contact with Law Enforcement. Applicants and promoting employees are also required to complete the DOC 0450 (PREA self-report). The Human Resource staff member confirmed that staff have a continuing affirmative duty to disclose any previous misconduct. The staff indicated that policy of Standards of Conduct require the employee to disclose misconduct.

115.17 (g): The PAQ indicates that agency policy states that material omissions regarding sexual misconduct or the provision of materially false information is grounds for termination. 03.02.108, page 7 states that any employee who knowingly provides false information, including, but not limited to, false information provided in

statements, incident reports, correspondence or an interview shall be subject to disciplinary action, including termination. Additionally, DOC 0450 has a section indicating that material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for ineligibility or termination from employment.

115.17 (h): The interview with the Human Resource staff indicated that IDOC routinely provides this information upon request with a signed release of information.

Based on a review of the PAQ, 01.02.107, 03.02.100, 03.02.108, DOC 0450, DOC 0589, the Arrest Tracking Process Memorandum, a review of personnel files for staff and contractors and information obtained from the Human Resource staff interview indicates that this standard appears to require corrective action. The auditor requested five new hire personnel files. At the issuance of the interim report four had been provided. The auditor requested personnel files for three contractors. At the issuance of the interim report none of the documents were received.

Corrective Action

The facility will need to provide the requested personnel files for staff and contractors for the auditor to determine if further corrective action is needed.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Staff Personnel Documents
2. Contractor Criminal Background Record Checks
3. PREA Preemployment Self Report DOC 0450

	<p>The facility provided the originally requested documentation. All staff and contractors were documented with a criminal background records check prior to hire/enlisting their services.</p> <p>The one missing new hire staff did not have the PREA questions prior to hire and did not have a prior institutional check completed (had prior institutional employment). It was determined that this staff was not in fact a new hire and that the staff was actually hired in 2019. The staff member was promoted in 2023. The agency did not consistently conduct prior institutional checks in 2019 and this was a finding during prior year IDOC audits. The agency corrected this issue in 2022. The auditor requested the PREA questions prior to promotion for the staff member. The staff had completed the DOC 0450, however it was after her promotion. The auditor found all others prior to the issuance of the interim report were completed appropriately and as such this was not a systematic issue.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.18	Upgrades to facilities and technologies
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Agency Head 2. Interview with the Warden <p>Site Review Observations:</p> <ol style="list-style-type: none"> 1. Observations of Facility <p>Findings (By Provision):</p>

115.18 (a): The PAQ indicated that the agency/facility has not 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. During the tour the auditor confirmed that there were no modifications to the existing facility. The interview with the Agency Head indicated that the agency has a zero tolerance and that PREA is taken seriously. He stated that they take safety into consideration when planning or making any substantial modifications. The Agency Head indicated they utilize a multi-facet approach to ensure that everyone at the table is able to discuss any issues or items related to building and modification. He further stated they the agency looks at housing for vulnerable populations to ensure safety. The interview with the Warden confirmed there were no substantial expansions or modifications to the existing facility since the last PREA audit.

115.18 (b): The PAQ stated that the 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. During the tour the auditor confirmed there were zero cameras throughout the facility. The interview with the Agency Head confirmed that any use of newly updated or installed monitoring technology would be utilized to assist in enhancing the agency's ability to protect inmates from sexual abuse. He stated that the agency has increased their video monitoring technology and has updated older technology. He indicated that video monitoring is utilized to review and investigate and also to assist with monitoring. He further stated that they review video after an allegation but they also use video monitoring in a proactive approach. The Warden confirmed that when installing or updating video monitoring technology they consider how that technology will protect inmates from sexual abuse. She stated the facility does not currently have any video monitoring technology. She indicated they are planning on placing cameras at the facility and they will make sure they are in positions to cover any blind spots.

Based on a review of the PAQ, camera location listing, observations made during the tour and information from interviews with the Agency Head and Warden indicates that this standard appears to be compliant.

Recommendation

The auditor highly recommends that the facility install video monitoring technology in all housing units and common areas around the facility to assist with supervision and monitoring and protecting individuals in custody from sexual abuse.

115.21	Evidence protocol and forensic medical examinations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 01.12.120 Investigations of Unusual Incidents 4. Administrative Directive 01.12.112 Preservation of Physical Evidence 5. Memorandum of Understanding with Survivor Resource Center 6. Investigative Reports 7. Memorandum of Understanding with the Illinois State Police 8. Correspondence with the Illinois State Police <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Random Staff 2. Interview with the PREA Compliance Manager 3. Interview with SAFE/SANE 4. Interviews with Inmates who Reported Sexual Abuse <p>Findings (By Provision):</p> <p>115.21 (a): The PAQ indicated that the agency is responsible for conducting administrative and criminal investigations. Additionally, the PAQ stated that the Illinois State Police is also responsible for conducting criminal investigations. The PAQ indicated that when conducting a sexual abuse investigation, the agency investigators follow a uniform evidence protocol. 04.01.301, page 10 states that all allegations of sexual abuse or harassment shall be investigated by trained investigators in accordance with 01.12.120. The initial investigative report shall be provided to the Chief Administrative Officer within 24 hours of the onset of the investigation. Policy further states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to</p>

the Illinois State Police, where appropriate. 01.12.120, pages 1-2 state that The CAO shall ensure that an internal investigation is conducted by facility staff, or by staff assigned by the Chief of Investigations and Intelligence, on each unusual incident report, if it is determined that further facts are required. The Director or the respective Deputy Director or Chief may request that the Chief of Operations initiate a Department investigation of any other major incident. Department investigations shall be conducted by the Investigations and Intelligence Unit. 01.12.112 pages 1-2 describe the uniform evidence protocol including preservation and collection. Interviews with thirteen random staff indicated that all thirteen were aware of and understood the protocol for obtaining usable physical evidence. Additionally, twelve of the thirteen staff stated they knew who was responsible for conducting sexual abuse investigations.

115.21 (b): The PAQ indicated that the evidence protocol is not developmentally appropriate for youth as the agency does not house youthful inmates. It further stated that the protocol was adapted from or otherwise based on the most recent edition of the DOJ's Office of Violence Against Women publication "A National Protocol for Sexual Assault Medical Forensic Examinations, Adult/Adolescents". Further clarification with the PCM indicated that it was not developed for youth as they do not house youth, however it was developed based on the most recent edition of the DOJ's publication. 01.12.112 indicates that prior to evidence collection the scene shall be secured; evidence shall be collected subsequent of searches, sketches and photographs; evidence shall be handled as little as possible and evidence shall be marked and tagged. The memo from the Chief of Investigations and Intelligence also indicated that all Sexual Assault Evidence Kits will be completed by an outside hospital or outside hospital emergency room with trained medical staff and the hospital completing the kit will be responsible for submitting the kit to the Illinois State Police Division of Forensic Services.

115.21 (c): The PAQ indicated that the facility offers all inmates who experience sexual abuse access to forensic medical examinations at an outside medical facility. The PAQ stated that forensic medical examinations are offered without financial cost to the victim. It further indicated forensic medical examinations are always conducted by SAFE or SANE. The PAQ confirmed that state statute (Illinois Compiled Statutes ILCS) requires forensic medical examination to be performed by SANE/SAFE. 04.01.301, page 9 states that offenders shall not be charged for co-payments for medical treatment, including a forensic medical examination, obtained for alleged sexual abuse. Treatment shall be provided by a certified Sexual Assault Forensic Examiner (SAFE) or a certified Sexual Assault Nurse Examiner (SANE) at a local emergency room as determined by the local facility. The memo from the Chief of Investigations and Intelligence also indicated that all Sexual Assault Evidence Kits will be completed by an outside hospital or outside hospital emergency room with trained medical staff. The PAQ indicated that during the previous twelve months there were two forensic medical examinations conducted by a SANE/SAFE. The auditor requested

documentation related to the two forensic examinations. At the issuance of the interim report the facility provided one investigation that had a forensic medical examination conducted. The auditor had not received documentation on the second forensic medical examination. The auditor contacted Carle Foundation Hospital and OSF Sacred Heart Hospital related to forensic medical examinations. Both hospitals confirmed that they offer forensic medical examinations. OSF Sacred Heart confirmed they only provide examinations to adults. Both hospitals confirmed that forensic examinations are conducted by SAFE/SANE and they have a SAFE/SANE available 24 hours a day.

115.21 (d): The PAQ indicated that the facility attempts to make available to the victim a victim advocate from a rape crisis center and the efforts are documented. The PAQ further indicated that if a rape crisis center is not available a qualified staff member from a community-based organization or a qualified agency staff member, however a rape crisis center advocate is always provided. 04.01.301, page 5 states that the PCM shall identify community agencies, including advocacy and crisis organizations, where reports can be made or that provide assistance or support services to staff or offenders in the prevention or intervention of sexual abuse and harassment. Page 8 further states that all response efforts, including efforts to secure advocacy services from a rape crisis center, shall be documented. The facility has a Memorandum of Understanding with Survivor Resource Center, which was signed on September 2, 2021. The MOU states the purpose and scope of the MOU is to establish a joint effort between IDOC and Survivor Resource Center to make available to inmates access to an outside entity to provide emotional support services related to sexual abuse, including crisis intervention and sexual assault counseling. The MOU further states that it is understood that face-to-face emotional support will be provided in as confidential a manner as possible or emotional support would be provided through confidential, unmonitored, unrecorded phone calls and shall comply with 735 ILCS 5/8-802.1 "Confidentiality of Statements Made to Rape Crisis Personnel". The auditor requested documentation related to victim advocates for victims of sexual abuse. At the issuance of the interim report the auditor had not received the requested documentation. The interview with the PCM stated she assumed, but was not sure, that if requested by the victim, a victim advocate, qualified agency staff member, or qualified community-based organization staff member accompanies and supports the victim through the forensic medical examination process and investigatory interviews and provides emotional support, crisis intervention, information, and referrals. She stated the facility would contact the rape crisis center that they have an MOU with and have them respond. She further indicated that they have a 24 hour hotline that they can call and that they also have victim advocacy services that are provided at the hospital. Interviews with inmates who reported sexual abuse indicated three were offered access to a victim advocate after they reported sexual abuse. One individual stated he had an advocate accompany him through a forensic medical examination at the hospital.

115.21 (e): The PAQ indicated that as requested by the victim, the victim advocate, qualified agency staff member or qualified community-based organization staff member shall accompany and support the victim through the forensic medical examination process and investigatory interviews. 04.01.301, page 5 states that the PCM shall identify community agencies, including advocacy and crisis organizations, where reports can be made or that provide assistance or support services to staff or offenders in the prevention or intervention of sexual abuse and harassment. Page 8 further states that all response efforts, including efforts to secure advocacy services from a rape crisis center, shall be documented. The facility has a Memorandum of Understanding with Survivor Resource Center which was signed on September 2, 2021. The MOU states IDOC will follow the Sexual Assault Survivors Emergency Treatment Act (SASETA) when a forensic medical examination is determined by IDOC to be medically and evidentiarily appropriate in accordance with 115.21, and the examination will be provided at no cost to the inmate. It is expected that the treatment hospital will contact a local rape crisis center as may be specified within a memorandum of understanding or other agreement between the treatment hospital's local rape crisis center pursuant to SASETA. IDOC will allow an inmate transported to a treatment hospital for medical forensic services to access crisis intervention and medical advocacy while at the treatment hospital. If the PCM is on duty, and as time and circumstances allow, the PCM shall provide notice to the appropriate rape crisis center of an inmate being transported to a treatment hospital for medical forensic services to allow for an advocate to be dispatched earlier than when the hospital calls upon arrival. The MOU further states that after the forensic services is performed, IDOC will inform the inmate how to contact the rape crisis center so that the inmate can independently decide whether to avail himself or herself of additional rape crisis services. The auditor requested documentation related to victim advocates for victims of sexual abuse. At the issuance of the interim report the auditor had not received the requested documentation. The PCM stated that victim advocacy services are provided by the local rape crisis center staff. Interviews with inmates who reported sexual abuse indicated three were offered access to a victim advocate after they reported sexual abuse. One individual stated he had an advocate accompany him through a forensic medical examination at the hospital.

115.21 (f): The PAQ indicated that the agency/facility is not responsible for investigating administrative or criminal investigations of sexual abuse. The agency/facility does conduct sexual abuse investigations, however there are certain criminal investigations that are conducted by the Illinois State Police. The MOU with the Illinois State Police (signed in 2019) indicates that they conduct investigations related to sexual assault involving staff on staff or staff on inmate. A review of documentation confirmed that the PC has annual correspondence with the Illinois State Police related to the Survey of Sexual Victimization. During that correspondence the Illinois State Police confirm that they follow a uniform evidence protocol and the requirements under this standard.

115.21 (g): The auditor is not required to audit this provision.

115.21 (h): The facility has an MOU with Survivor Resource Center which is the local rape crisis center with trained/certified victim advocates.

Based on a review of the PAQ, 04.01.301, 01.12.120, 01.12.112, the MOU with Survivor Resource Center, investigative reports, the MOU with the Illinois State Police, the correspondence with the Illinois State Police and information from interviews with the random staff, the PREA Compliance Manager, SAFE/SANE and inmate who reported sexual abuse indicates that this standard appears to require corrective action. The auditor requested documentation related to the two forensic examinations. At the issuance of the interim report the facility provided one investigation that had a forensic medical examination conducted. The auditor had not received documentation on the second forensic medical examination. The auditor requested documentation related to victim advocates for victims of sexual abuse. At the issuance of the interim report the auditor had not received the requested documentation. The interview with the PCM stated she assumed, but was not sure, that if requested by the victim, a victim advocate, qualified agency staff member, or qualified community-based organization staff member accompanies and supports the victim through the forensic medical examination process and investigatory interviews and provides emotional support, crisis intervention, information, and referrals. She stated the facility would contact the rape crisis center that they have an MOU with and have them respond. She further indicated that they have a 24 hour hotline that they can call and that they also have victim advocacy services that are provided at the hospital.

Corrective Action

The facility will need to provide the requested documentation related to the forensic medical examination and victim advocates in order for the auditor to determine if additional corrective action is needed. Further the facility will need to train appropriate staff (to include the PCM) on the process for victim advocates for all inmate victims of sexual abuse and provide confirmation of the training.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this

standard.

Additional Documents:

1. Staff Training
2. Forensic Medical Examination Documents
3. Victim Advocacy Documentation
4. List of Sexual Abuse Allegations During the Corrective Action Period

The facility provided staff training on the victim advocacy process. The training memo was issued from the PREA Coordinator and described the process. Electronic staff signatures were provided confirming completion and understanding of the training. Additionally, the facility provided a supplemental training memo after the initial training to readdress the victim advocacy process. Electronic signatures were also provided confirming staff received and understood the training.

The facility provided documentation confirming a second inmate was transported to Carle Hospital for a forensic medical examination. The examination was provided via a SAFE/SANE. The inmate was offered a victim advocate during the examination, accepted the services and was provided accompaniment. Further, documentation confirmed the second inmate identified previously with a forensic medical examination was also offered a victim advocate at the hospital, accepted the services and was provided accompaniment.

The facility provided originally requested documentation for three inmates who were afforded victim advocacy services. All three accepted services. The auditor requested additional documentation related to affording the accepted services. The facility was unable to provide documentation related to the victim advocacy services for these inmates.

The facility provided a list of sexual abuse allegations reported during the corrective action period. There were four allegations of sexual abuse reported. All four were documented with being afforded victim advocacy services and accepting the services. The auditor requested documentation related to the accepted services. The facility was unable to provide the documents and advised that they were documenting facility mental health services for this section and that advocacy was provided in this manner. The auditor advised that this did not meet the standard requirement.

	<p>The facility provided additional training with appropriate staff on the process of providing victim advocacy services via the Survivor Resource Center. The training outlined that these services are offered through the PREA Checklist steps and if the victim accepts the confidential support services staff are to facilitate contacting the organization and setting up a call or in-person visit in accordance with legal calls/visits (confidential).</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.22	Policies to ensure referrals of allegations for investigations
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 01.12.120 Investigations of Unusual Incidents 4. Memorandum of Understanding with the Illinois State Police/Office of Executive Inspector General 5. Investigative Log 6. Investigative Reports <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Agency Head 2. Interview with Investigative Staff <p>Findings (By Provision):</p>

115.22 (a): The PAQ indicated that the agency ensures an administrative or criminal investigation is completed for all allegations of sexual abuse and sexual harassment. 04.01.301, page 10 states that all allegations of sexual abuse or harassment shall be investigated by trained investigators in accordance with 01.12.120. The initial investigative report shall be provided to the Chief Administrative Officer within 24 hours of the onset of the investigation. Policy further states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. 01.12.120, pages 1-2 state that The CAO shall ensure that an internal investigation is conducted by facility staff, or by staff assigned by the Chief of Investigations and Intelligence, on each unusual incident report, if it is determined that further facts are required. The Director or the respective Deputy Director or Chief may request that the Chief of Operations initiate a Department investigation of any other major incident. Department investigations shall be conducted by the Investigations and Intelligence Unit. The PAQ noted there were 23 allegations reported within the previous twelve months. All 23 resulted in an administrative investigation and not all investigations were closed during the previous twelve months. The interview with the Agency Head confirmed that the agency ensures an administrative or criminal investigation is completed for all allegations of sexual abuse or sexual harassment. He stated the agency has a policy/manual and that all allegations are investigated. He indicated that when an allegation is reported through any of the available channels it is reported to the PCM who then reports it to intel staff. Intel staff complete an investigation and if deemed substantiated it is forwarded for criminal charges. The Agency Head stated that the agency takes all allegations seriously and they prosecute to the fullest extent. A review of documentation indicated there 23 total allegations reported from April 2022 through April 2024. The investigative log confirmed that all had a completed investigation. The auditor requested twelve investigative reports. At the issuance of the interim report only four of the twelve were provided.

115.22 (b): The PAQ indicated that 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, including the agency if it conducts its own investigations, unless the allegation does not involve potentially criminal behavior. The PAQ further stated that the policy is published on the agency's website and all referrals for criminal investigations are documented. 04.01.301, page 10 states that all allegations of sexual abuse or harassment shall be investigated by trained investigators in accordance with 01.12.120. The initial investigative report shall be provided to the Chief Administrative Officer within 24 hours of the onset of the investigation. Policy further states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. Additionally, the MOU with the Illinois State Police (signed in 2019) indicates that they conduct investigations related to sexual assault involving staff on staff or staff on inmate. A review of the agency website indicates that it states that IDOC investigates all allegations of offender on offender sexual abuse and staff sexual misconduct. It

further states that investigations are initiated by the Investigations Unit at IDOC Headquarters. Interviews with the facility and agency investigators confirmed that agency policy requires allegations of sexual abuse be referred for investigation to an agency with legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior. A review of documentation indicated there 23 total allegations reported from April 2022 through April 2024. The investigative log confirmed that all had a completed agency investigation.

115.22 (c): The agency/facility has the authority to conduct both administrative and criminal investigations. The Illinois State Police also have the authority to conduct criminal investigations. 04.01.301 states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. Additionally, the MOU with the Illinois State Police (signed in 2019) indicates that they conduct investigations related to sexual assault involving staff on staff or staff on inmate.

115.22 (d): The PAQ stated that if the agency is not responsible for conducting administrative or criminal investigations of alleged sexual abuse, and another state entity has that responsibility, this other entity has a policy governing how such investigations are conducted. The agency/facility has the authority to conduct both administrative and criminal investigations. The Illinois State Police also has the authority to conduct criminal investigations. 04.01.301 states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. Additionally, the MOU with the Illinois State Police (signed in 2019) indicates that they conduct investigations related to sexual assault involving staff on staff or staff on inmate.

115.22 (e): The auditor is not required to audit this provision.

Based on a review of the PAQ, 04.01.301, 01.12.120, the MOU with the Illinois State Police, investigative reports, the agency's website and information obtained via interviews with the Agency Head and the investigator indicate that this standard appears to require corrective action. A review of documentation indicated there 23 total allegations reported from April 2022 through April 2024. The investigative log confirmed that all had a completed agency investigation. The auditor requested twelve investigative reports. At the issuance of the interim report only four of the twelve were provided.

Corrective Action

	<p>The facility will need to provide the investigative reports requested.</p> <p>Verification of Corrective Action Since the Interim Audit Report</p> <p>The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.</p> <p>Additional Documents:</p> <ol style="list-style-type: none"> 1. Investigative Reports <p>The facility provided the originally requested investigative reports. All had a completed administrative investigation.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.31 Employee training	
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 03.03.102 Employee Training 4. Administrative Directives 01.01.101 Administrative Directives 5. Administrative Directive 01.02.101 Staff Meeting 6. PREA Pre-Service Orientation Training Curriculum

7. PREA – Individual in Custody Sexual Assault Prevention and Intervention Curriculum

8. Transgender and Non-Binary Individuals in Custody Setting – A Guide to Rehabilitation, Safety Management and Care

9. Supervising Individuals in Custody in the IDOC Women’s Division

10. Sample of Staff Training Records

Interviews:

1. Interviews with Random Staff

Findings (By Provision):

115.31 (a): The PAQ indicated that the agency trains all employees who may have contact with inmates on the requirements under this provision. 04.01.301, pages 3-4 state that the PC shall develop or approve standardized modules for training staff. Training shall include, but may not be limited to: the Department’s zero tolerance policy; the Department’s Sexual Abuse and Harassment Prevention and Intervention Policy; an offender’s right to be free from sexual abuse and harassment and to be free from retaliation for reporting sexual abuse and harassment; common signs of sexually abusive or harassing behavior; common signs of being a victim of sexual abuse or harassment; protocol for initial response, including identification and separation of offenders; reporting procedures and preservation of physical evidence of sexual abuse. 03.03.102, page 1 states that the Department shall ensure all new employees receive orientation and pre-service training and all employees receive in-service training on a fiscal year basis. A review of the PREA Pre-Service Orientation Training Curriculum and the PREA –Individual in Custody Sexual Assault Prevention and Intervention Curriculum confirms that both trainings includes information on: the agency’s zero-tolerance policy, how to fulfill their responsibilities under the agency’s sexual abuse and sexual harassment policies and procedures, the inmates’ right to be free from sexual abuse and sexual harassment, the right of the inmate to be free from retaliation for reporting sexual abuse or sexual harassment, the dynamics of sexual abuse and sexual harassment in a confinement setting, the common reactions of sexual abuse and sexual harassment victims, how to detect and respond to signs of threatened and actual sexual abuse how to avoid inappropriate relationship with inmates and how to comply with relevant laws related to mandatory reporting. With regard to how to communicate effectively and professionally with lesbian, gay, bisexual, transgender and intersex inmates, staff are required to complete the Transgender and Non-Binary Individuals in Custody Setting – A Guide to Rehabilitation, Safety Management and Care video. Interviews with thirteen random staff confirmed that all thirteen had received PREA training. Staff stated they receive

training annually during cycle training. All thirteen staff confirmed that the required components under this provision are discussed during the PREA training. A review of fifteen staff training records indicated that 100% of those reviewed received PREA training.

115.31 (b): The PAQ indicated that training is tailored to the gender of inmate at the facility and that employees who are reassigned to facilities with opposite gender are given additional training. 03.03.102, page 4 states that all employees employed at a women's facility shall receive an additional 40 hours of gender responsive and trauma informed training onsite upon hire. Each employee shall then be provided a gender responsive and trauma informed refresher each subsequent year of employment. A review of the Supervising Individuals in Custody in the IDOC Women's Division training curriculum confirms the training includes 83 slides related to trauma informed practices, gender specific programs and services, different level of value of communication for women and health boundaries and professional distance. Additionally, the agency has the Gender Responsibility and Supervising the Female Offender training. Danville Correctional Center houses adult male inmates and as such additional training was not required or conducted.

115.31 (c): The PAQ indicated that between trainings the agency provides employees who may have contact with inmates with refresher information about current policies regarding sexual abuse and sexual harassment and that staff are provided training annually. The PAQ further stated that information is provided during daily roll calls where pertinent policy changes and Warden's Bulletins are provided. 03.03.102, page 4 states that employees shall receive an additional 40 hours of training each subsequent year of employment. 01.01.101, page 7 states that the Policy and Directives Unit shall provide monthly notice of, and make available via the Department Intranet any new or revised directives, rescission notices, or provide a notice of no change. Additionally, 01.02.101 states that administrative and supervisory staff meeting shall be held at least once a month to ensure that lines of two-way communication are established between all levels of supervision and that the meeting will be used for discussing policy and program changes and topics which are of general interest to the group. A review of fifteen staff training records indicated that all fifteen had received PREA training at least every two years. Most were documented with it during the annual cycle training, which run fiscal year, July to July.

115.31 (d): The PAQ indicated that the agency documents that employees who may have contact with inmates understand the training they have received through employee signatures or electronic verification. 03.03.102, page 6 states that certificates or other verification of training received shall be provided to the Training Coordinator. The certificates or verification of training shall include all information required on the DOC 0200. Additionally, all newly hired staff are required to complete

	<p>the Acknowledgement of Participation which indicates that the staff has read and understood 04.01.301. A review of fifteen staff training records indicated that all fifteen had verification of the completed training via the signed cycle training acknowledgment.</p> <p>Based on a review of the PAQ, 04.01.301, 03.03.102, 01.01.101, 01.02.101, PREA Pre-Service Orientation Training Curriculum, PREA - Individual in Custody Sexual Assault Prevention and Intervention Curriculum, Transgender and Non-Binary Individuals in Custody Setting - A Guide to Rehabilitation, Safety Management and Care training, Supervising Individuals in Custody in the IDOC Women's Division, a review of a sample of staff training records as well as interviews with random staff indicates that this standard is compliant.</p>
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115.32	Volunteer and contractor training
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 04.01.122 Volunteer Services 4. Administrative Directive 03.03.102 Employee Training 5. Volunteer Services Handbook 6. PREA Pre-Service Orientation Training Curriculum 7. PREA - Individual in Custody Sexual Assault Prevention and Intervention Curriculum 8. Contractor Training Records <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Volunteers or Contractors who have Contact with Inmates <p>Findings (By Provision):</p>

115.32 (a): The PAQ indicated that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's policies and procedures regarding sexual abuse and sexual harassment prevention, detection and response. 04.01.301, pages 3-4 state that the PC shall develop or approve standardized modules for training staff. Training shall include, but may not be limited to: the Department's zero tolerance policy; the Department's Sexual Abuse and Harassment Prevention and Intervention Policy; an offender's right to be free from sexual abuse and harassment and to be free from retaliation for reporting sexual abuse and harassment; common signs of sexually abusive or harassing behavior; common signs of being a victim of sexual abuse or harassment; protocol for initial response, including identification and separation of offenders; reporting procedures and preservation of physical evidence of sexual abuse. Page 2 states that the term staff for the purpose of this directive shall mean any Department employee, contracted employee, employee of a vendor or volunteer. 04.01.122, page 3 states that the Facility Volunteer Coordinator shall ensure volunteers receive orientation and training appropriate to the type of volunteer assignment at the facility or program site prior to service. Training shall include, but not be limited to, preparation of an incident report, volunteer rules of conduct and the Department's zero tolerance policy toward all forms of sexual abuse and sexual harassment. The PAQ indicated that 143 volunteers and contractors had received PREA training, which is equivalent to 100% of the total volunteers and contractors. It should be noted that the facility statistics section was incorrect and there were 45 contractors rather than nine. A review of the PREA Pre-Service Orientation Training Curriculum and the PREA - Individual in Custody Sexual Assault Prevention and Intervention Curriculum confirms that the trainings discuss responsibilities under the agency's sexual abuse and sexual harassment policy. A review of the Volunteer Handbook confirms that page 19 includes information on the zero tolerance, how to report and red flags. Interviews with two contractors and one volunteer confirmed that all three had received information on the agency's sexual abuse and sexual harassment policies and their responsibilities under the policies. A review of six volunteer training records confirmed all six had completed PREA training. The auditor requested eight contractor training documents. At the issuance of the interim report only six had been provided.

115.32 (b): The PAQ indicated that the level and type of training provided to volunteers and contractors is based on the services they provide and level of contact they have with inmates. The PAQ stated that all volunteers and contractors with inmate contact are required to complete orientation. Additionally, the PAQ indicates that all volunteers and contractors who have contact with inmates have been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed on how to report such incidents. 04.01.301, pages 3-4 state that the PC shall develop or approve standardized modules for training staff. Training shall include, but may not be limited to: the Department's zero tolerance policy; the Department's Sexual Abuse and Harassment Prevention and Intervention Policy; an offender's right to be free from sexual abuse and harassment and to be free from

retaliation for reporting sexual abuse and harassment; common signs of sexually abusive or harassing behavior; common signs of being a victim of sexual abuse or harassment; protocol for initial response, including identification and separation of offenders; reporting procedures and preservation of physical evidence of sexual abuse. Page 2 states that the term staff for the purpose of this directive shall mean any Department employee, contracted employee, employee of a vendor or volunteer. 04.01.122, page 3 states that the Facility Volunteer Coordinator shall ensure volunteers receive orientation and training appropriate to the type of volunteer assignment at the facility or program site prior to service. Training shall include, but not be limited to, preparation of an incident report, volunteer rules of conduct and the Department's zero tolerance policy toward all forms of sexual abuse and sexual harassment. A review of the PREA Pre-Service Orientation Training Curriculum and the PREA - Individual in Custody Sexual Assault Prevention and Intervention Curriculum confirms that the trainings discuss responsibilities under the agency's sexual abuse and sexual harassment policy. A review of the Volunteer Services Handbook confirms that page 19 includes information on the zero tolerance, how to report and red flags. Interviews with the two contractors and volunteer confirmed that the training included information on the zero tolerance policy and how and who to report information to. The volunteer stated he was given papers and he also had a more comprehensive training in person at another IDOC facility. Both contractors stated that they receive training once a year in person and on the computer. One contractor stated it is the same training that staff receive. A review of six volunteer training records confirmed all six had completed PREA training. The auditor requested eight contractor training documents. At the issuance of the interim report only six had been provided. The six contractors were documented with annual cycle training as they have routine, unsupervised contact with individuals in custody.

115.32 (c): The PAQ indicated that the agency maintains documentation confirming that volunteers and contractors understand the training they have received. 03.03.102, page 6 states that certificates or other verification of training received shall be provided to the Training Coordinator. The certificates or verification of training shall include all information required on the DOC 0200. Additionally, all newly hired staff are required to complete the Acknowledgement of Participation which indicates that the staff has read and understood 04.01.301. Additionally, 04.01.122, page 3 states that individual volunteer files shall include training documentation including documented orientation and any additional training. Training documentation shall be signed and dated by the volunteer along with the Volunteer Coordinator. A review of six volunteer training records confirmed all six had completed PREA training and signed an acknowledgment form. The auditor requested eight contractor training documents. At the issuance of the interim report only six had been provided. The six provided signed the annual cycle training acknowledgment.

Based on a review of the PAQ, 04.01.301, 04.01.122, 03.03.102, the Volunteer Services Handbook, PREA Pre-Service Orientation Training Curriculum, PREA -

	<p>Individual in Custody Sexual Assault Prevention and Intervention Curriculum, a review of a sample of contractor training records as well as the interviews with contractors indicate that this standard appears to require corrective action. The auditor requested eight contractor training documents. At the issuance of the interim report only six had been provided.</p> <p>Corrective Action</p> <p>The facility will need to provide the requested documentation.</p> <p>Verification of Corrective Action Since the Interim Audit Report</p> <p>The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.</p> <p>Additional Documents:</p> <ol style="list-style-type: none"> 1. Training Documents <p>The facility provided the originally requested contractor training documents. All were documented (signed verification) with PREA training.</p> <p>Based on the documentation provided, the facility has corrected this standard and it appears to be compliant.</p>
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115.33	Inmate education
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire

2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Administrative Directive 04.01.105 Facility Orientation
4. Administrative Directive Administrative Directive 04.01.111 ADA Accommodations
5. Administrative Directive 05.07.101 Reception and Classification Process
6. Video Remote Interpreting Information
7. Language Interpretation Procedure - Propio Language Services, LLC.
8. Individuals In Custody Orientation Manual (Handbook)
9. PREA Posters
10. PREA Reporting Poster
11. Inmate Training Records (Offender Orientation Receipt)

Interviews:

1. Interview with Intake Staff
2. Interviews with Random Inmates

Site Review Observations:

1. Observations of Intake Area
2. Observations of PREA Posters

Findings (By Provision):

115.33 (a): The PAQ indicated that inmates receive information at the time of intake about the zero-tolerance policy and how to report incidents or suspicions of sexual abuse and sexual harassment. The PAQ indicated that 727 inmates received information on the zero-tolerance policy and how to report at intake, which is equivalent to 100% of the inmates who arrived in the previous twelve months. 04.01.301, page 7 states that during the admission and orientation process, offenders shall be provided with a presentation regarding the Department's Sexual Abuse and Harassment Prevention and Intervention Program, including reporting procedures and available services and the zero tolerance policy. Offenders shall be informed that

victims need not name their attacker to receive medical and mental health services. The policy further states that the offender handbook shall include an explanation of reporting procedures and programs and services available to victims or predators of sexual abuse and harassment. A review of the Handbook confirmed that pages 31-36 include information on PREA. The information includes: zero tolerance, definitions of sexual abuse, how to prevent sexual abuse, what to do if the inmate has been sexually assaulted, medical information, investigation information, ways to report (including the outside reporting entity) and victim advocacy information. During the tour, the auditor observed the intake process through a demonstration. Inmates are provided PREA information at intake (within seven days) via the Individual in Custody Orientation Manual (Handbook). The Handbook is available in English and Spanish. Pages 31-36 of the Handbook include information on PREA, including the zero tolerance policy and reporting methods. Additionally, it contains a copy of the PREA Reporting Poster. It should be noted that Danville is not an intake center and all individuals in custody that arrive at Danville have received PREA information at another IDOC facility. The interview with intake staff confirmed inmates receive information on the agency's sexual abuse and sexual harassment policies, including the zero tolerance policy and methods to report, during intake. The staff member stated they give the inmates the Handbook and verbally go over the information with them during orientation. Interviews with 40 inmates indicated 32 were provided information on the agency's sexual abuse and sexual harassment policies. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 51 of the 53 inmates were documented with receiving the Handbook and orientation.

115.33 (b): 04.01.301, page 7 states that during the admission and orientation process, offenders shall be provided with a presentation regarding the Department's Sexual Abuse and Harassment Prevention and Intervention Program, including reporting procedures and available services and the zero tolerance policy. Offenders shall be informed that victims need not name their attacker to receive medical and mental health services. The policy further states that the offender handbook shall include an explanation of reporting procedures and programs and services available to victims or predators of sexual abuse and harassment. The PAQ indicated that 661 inmates received comprehensive PREA education within 30 days of intake. This is equivalent 100% of those received in the previous twelve months whose length of stay was for 30 days or more. During the tour, the auditor had the facility conduct a mock demonstration of the comprehensive PREA education process. Orientation is completed in a classroom in the academic building in a group setting. Individuals in custody assist staff with facilitating information during orientation. Staff verbally go over how to report, no to let anyone touch them and the PREA hotline number. Individuals in custody are then provided a copy of the Handbook in English or Spanish. It should be noted that Danville is not an intake center and as such most inmates would have received PREA education at a prior IDOC facility. The interview with intake staff indicated that inmates are provided information related to the

agency's sexual abuse and sexual harassment policies, including their right to be free from sexual abuse, their right to be free from retaliation and policies and procedures after a report of sexual abuse. The staff stated all inmates go through the orientation process where PREA is discussed, including how to report and not to let anyone touch them. The staff stated they also inform the inmates where to find the hotline number. The intake staff indicated all inmates complete orientation within seven days of arrival. Interviews with 40 inmates indicated sixteen were provided information on their right to be free from sexual abuse, their right to be free from retaliation and policies and procedures after a report of sexual abuse. Most of the inmates stated they were provided the information in person when they first arrived. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 51 of the 53 inmates were documented with receiving the Handbook and orientation.

115.33 (c): The PAQ indicated that all current inmates at the facility had been educated on PREA within 30 days or were educated by June 30, 2014. Additionally, the PAQ indicated that agency policy requires that inmates who are transferred from one facility to another be educated regarding their rights to be free from both sexual abuse and sexual harassment and retaliation for reporting such incidents and on agency policies and procedures for responding to such incidents, to the extent that the policies and procedures of the new facility differ from those of the previous facility. 04.01.301, page 7 states that during the admission and orientation process, offenders shall be provided with a presentation regarding the Department's Sexual Abuse and Harassment Prevention and Intervention Program, including reporting procedures and available services and the zero tolerance policy. Offenders shall be informed that victims need not name their attacker to receive medical and mental health services. The policy further states that the offender handbook shall include an explanation of reporting procedures and programs and services available to victims or predators of sexual abuse and harassment. The interview with intake staff indicated that inmates are provided information related to the agency's sexual abuse and sexual harassment policies, including their right to be free from sexual abuse, their right to be free from retaliation and policies and procedures after a report of sexual abuse. The staff stated all inmates go through the orientation process where PREA is discussed, including how to report and not to let anyone touch them. The staff stated they also inform the inmates where to find the hotline number. The intake staff indicated all inmates complete orientation within seven days of arrival. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 51 of the 53 inmates were documented with receiving the Handbook and orientation.

115.33 (d): The PAQ indicated that inmate PREA education is available in formats accessible to all inmates, including those who are disabled or limited English

proficient. 04.01.301, pages 7-8 state that the Department shall provide offender education in formats accessible to all offenders, including those who are limited English proficient, deaf, visually impaired or otherwise disabled, as well as to offender who have limited reading skills. 04.01.111, pages 3-4 indicate that the CAO shall ensure offenders are provide with information regarding ADA disability accommodations and shall establish procedures for offender access to teletypewriter (TTY) and Video Remote Interpreting (VRS) equipment. The policy also indicates that the CAO shall find alternative notification methods for auditory announcements (tactile paging system). 05.07.101, page 2 states that all videos used during orientation shall include closed captioning subtitles and closed captioning utilizing American Sign Language which has been reviewed for accuracy of the interpretation by the Illinois Deaf and Hard of Hearing Commissioner or a qualified interpreter. The policy further states that he department shall reserve the first row of seats during orientation for offenders who are disabled. 04.01.105, page 2 states that for a non-English speaking offender, reasonable efforts shall be made for the orientation to be explained to him or her in a language her or she understands. It further states that offenders shall receive written orientation material and/or translation in their own language and when a literacy problem exists, a staff member shall assist the offender in understanding the materials. The facility also has a contract with Propio Language Services, LLC. This company provides the facility a phone number that they can call that connects the staff member with a translator who can will translate information between the staff member and LEP inmate. The company has interpretation services for over 600 languages. A review of PREA Posters, the Handbook and distributed information confirmed that information can be provided in large font, bright colors, can be read to inmates in terminology that they understand and is available in Spanish. Additionally, the Handbook provides information on Americans with Disabilities (ADA) including requesting accommodations, telecommunication equipment and sign language information. A review of eight disabled inmate files and six LEP inmate files indicated thirteen signed that they received and understood the PREA information. One LEP inmate was missing education documents and five of the six with education documents signed an English acknowledgment form.

115.33 (e): The PAQ indicated that the agency maintains documentation of inmate participation in PREA education sessions. 04.01.105, page 2 states that at the conclusion of the orientation program, each offender shall be requested to sign an Offender Orientation Receipt, DOC 0291, indicating he or she has participated in the orientation program and has obtained a copy of the manual. The auditor reviewed 53 total inmate files. 51 of the 53 inmates were documented with receiving the Handbook and orientation. Inmates signed an acknowledgment form confirming receipt.

115.33 (f): The PAQ indicated that the agency ensures that key information about the agency's PREA policies is continuously and readily available or visible through posters, inmate handbooks or other written formats. 04.01.301, page 7 states that

the offender handbook shall include an explanation of reporting procedures and programs and services available to victims or predators of sexual abuse and harassment. A review of the Handbook, the PREA Reporting Poster and PREA Posters confirmed information is accessible to inmates through these avenues. During the tour the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on zero tolerance, reporting methods (including the outside reporting entity) and victim advocacy. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. The PREA Posters included information on the zero tolerance policy and reporting via the hotline or to staff. Further the auditor observed the PREA hotline number painted/stenciled near the phones in the general population housing units. Informal conversation with staff and inmates confirmed that the PREA information has been posted for a while.

Based on a review of the PAQ, 04.01.301, 04.01.105, 04.01.111, 05.07.101, Propio Language Services, LLC. information, Video Remote Interpreting information, the Handbook, PREA posters, inmate education documents, the memo related to education during the interim report period, a sample of inmate training documents, observations made during the tour to include the availability of PREA information via posters as well as information obtained during interviews with intake staff and random inmates indicates that this standard requires corrective action. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 51 of the 53 inmates were documented with receiving the Handbook and orientation. Interviews with 40 inmates indicated sixteen were provided information on their right to be free from sexual abuse, their right to be free from retaliation and policies and procedures after a report of sexual abuse. During the tour, the auditor had the facility conduct a mock demonstration of the comprehensive PREA education process. Orientation is completed in a classroom in the academic building in a group setting. Individuals in custody assist staff with facilitating information during orientation. Staff verbally go over how to report, no to let anyone touch them and the PREA hotline number. Individuals in custody are then provided a copy of the Handbook in English or Spanish. A review of eight disabled inmate files and six LEP inmate files indicated thirteen signed that they received and understood the PREA information. One LEP inmate was missing education documents and five of the six with education documents signed an English acknowledgment form.

Corrective Action

The facility will need to provide arrival dates in order for the auditor to determine if additional corrective action is needed. The facility will need to revamp their current

education process to ensure that inmates receive information under provision (b). The facility will need to ensure this process includes accommodations for LEP and disabled inmates. A process memo will need to be provided related to the new education process. All current LEP inmates will need to be re-educated in an appropriate format. Confirmation of the education will need to be provided to the auditor. The facility will also need to provide the remaining two inmate education documents and if not available, will have to provide education to those individuals.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Dates of Arrival
2. Process Memorandum of Education Process
3. Inmate Education Documents
4. Process Memorandum on LEP/Disabled Inmate Education
5. LEP and Disabled Inmate Education Documents

The originally requested arrival dates were provided. Additionally, the originally requested missing inmate education documents were provided. All current inmates were documented with PREA education.

A process memo was provided that outlined that staff would verbally go over the information in the Handbook during orientation. Additionally, staff would provide the PREA Brochure during orientation. Staff signatures were provided confirming staff received and understood the modified education process.

A process memo was also provided related to LEP/disabled inmate education. The memo indicated that LEP/disabled education would be done one-on-one with staff. Spanish speaking inmates would be provided a Spanish audio recording of the Handbook information. Electronic signatures were provided confirming staff received and understood the LEP/disabled inmate education process.

	<p>The facility provided fourteen LEP inmate education documents confirming they were re-educated in an accessible format and signed the Spanish acknowledgment form.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.34 Specialized training: Investigations	
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 01.12.115 Institutional Investigative Assignments 4. Prison Rape Elimination Act (PREA) for Investigators Training Curriculum 5. Investigator Training Records <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with Investigative Staff <p>Findings (By Provision):</p> <p>115.34 (a): The PAQ indicates that agency policy requires that investigators are trained in conducting sexual abuse investigations in confinement settings. 04.01.301, page 10 states that all allegations of sexual abuse or harassment shall be investigated by trained investigators in accordance with 01.12.120. 01.12.115, page 2 states that the CAO shall ensure that each individual appointed as an investigator be registered for the next available investigator training program within ten days of temporary or permanent assignment as an investigator. Training topics include but are not limited to: investigative techniques, including interviewing sexual abuse victims; crime scene preservation; collection and preservation of evidence, including</p>

sexual abuse evidence collection in a confinement setting; proper use of Miranda and Garrity warnings; criteria and evidence required to substantiate a case for administrative action or prosecution referral; and investigative reporting. The agency utilizes their own training for this standard; PREA for Investigators. The interview with the facility investigator confirmed he received specialized training regarding conducting sexual abuse investigations in a confinement setting. He stated the training went over evidence preservation, how to talk to victims, types of sexual abuse and sexual harassment, SAFE/SANE, how a victim may react, crime scene preservation, interview techniques, documentation and not utilizing a polygraph. The criminal investigator confirmed he received specialized training and that he attended the 40 hour institutional investigator training, which covers the specialized training for PREA. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.

115.34 (b): 01.12.115, page 2 states that the CAO shall ensure that each individual appointed as an investigator be registered for the next available investigator training program within ten days of temporary or permanent assignment as an investigator. Training topics include but are not limited to: investigative techniques, including interviewing sexual abuse victims; crime scene preservation; collection and preservation of evidence, including sexual abuse evidence collection in a confinement setting; proper use of Miranda and Garrity warnings; criteria and evidence required to substantiate a case for administrative action or prosecution referral; and investigative reporting. The agency utilizes their own training for this standard; PREA for Investigators. A review of the training curriculum confirmed slides 67-118 include the following: 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 an administrative investigation. Interviews with investigators confirmed the required elements under this provision were included in the specialized training. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.

115.34 (c): The PAQ indicated that the agency maintains documentation showing that investigators have completed the required training and that five investigators have completed the specialized training. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.

115.34 (d): The auditor is not required to audit this provision.

	<p>Based on a review of the PAQ, 04.01.301, 01.12.115, PREA for Investigators Training Curriculum, a review of investigator training records as well as interviews with the investigators, indicates that this standard appears to require corrective action. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.</p> <p>Corrective Action</p> <p>The facility will need to provide the requested training records.</p> <p>Verification of Corrective Action Since the Interim Audit Report</p> <p>The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.</p> <p>Additional Documents:</p> <ol style="list-style-type: none"> Investigator Training <p>The facility provided the originally requested specialized training documents. All investigators that completed the twelve reviewed facility investigations were documented with the specialized training.</p> <p>Based on the documentation provided, the facility has corrected this standard and it appears to be compliant.</p>
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115.35	Specialized training: Medical and mental health care
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Administrative Directive 03.03.102 Employee Training
4. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
5. Prison Rape Elimination Act: What Healthcare and Mental Health Providers Need to Know Training Curriculum
6. Wexford Health Prison Rape Elimination Act (PREA) and Implementation Training Curriculum
7. Medical and Mental Health Staff Training Records

Interviews:

1. Interviews with Medical and Mental Health Staff

Findings (By Provision):

115.35 (a): The PAQ indicated that the agency has a policy related to the training of medical and mental health practitioners who work regularly in its facilities. 04.01.301, page 4 states that PC shall develop or approve specialized training modules for all full and part-time medical and mental health care practitioners who work regularly in the facilities. Training shall include: detecting and assessing signs of sexual abuse and sexual harassment; preserving physical evidence of sexual abuse; responding effectively and professionally to victims of sexual abuse and sexual harassment; and how and whom to report allegations or suspicions of sexual abuse and sexual harassment. The training is conducted via the Prison Rape Elimination Act: What Healthcare and Mental Health Providers Need to Know and the Wexford Health Overview of the 2003 Prison Rape Elimination Act (PREA) and Implementation. A review of the training curriculums confirmed that they include the following topics: how to detect and assess signs of sexual abuse and sexual harassment, how to preserve physical evidence of sexual abuse, how to respond effectively and professionally to victims of sexual abuse and sexual harassment and how and whom to report allegations or suspicion of sexual abuse and sexual harassment. The PAQ indicated that the facility has 38 medical and mental health staff and that 100% of these staff received the specialized training. Interviews with medical and mental health care staff confirm that they received specialized training during cycle training. The medical staff stated the training covered first responder duties and medical staff response. Both staff confirmed that all the required topics under this provision were

covered in the training. The auditor requested documentation for six medical and mental health care staff. At the issuance of the interim report only three specialized training records were provided.

115.35 (b): The PAQ indicated that this provision does not apply as agency medical and mental health care staff do not perform forensic medical examinations. Interviews with medical and mental health staff confirmed that they do not perform forensic medical examinations.

115.35 (c): The PAQ indicated that documentation showing the completion of the training is maintained by the agency. The auditor requested documentation for six medical and mental health care staff. At the issuance of the interim report only three specialized training records were provided. The specialized training is provided during day two of annual cycle training (as of June 2022). The staff sign an acknowledgment for the completion of the day two training.

115.35 (d): 04.01.301, pages 3-4 state that the PC shall develop or approve standardized modules for training staff. Training shall include, but may not be limited to: the Department's zero tolerance policy; the Department's Sexual Abuse and Harassment Prevention and Intervention Policy; an offender's right to be free from sexual abuse and harassment and to be free from retaliation for reporting sexual abuse and harassment; common signs of sexually abusive or harassing behavior; common signs of being a victim of sexual abuse or harassment; protocol for initial response, including identification and separation of offenders; reporting procedures and preservation of physical evidence of sexual abuse. 03.03.102, page 1 states that the Department shall ensure all new employees receive orientation and pre-service training and all employees receive in-service training on a fiscal year basis. A review of the PREA Pre-Service Orientation Training Curriculum and the PREA -Individual in Custody Sexual Assault Prevention and Intervention Curriculum confirm that both trainings includes information on responsibilities in prevention, detection and response as well as the zero tolerance policy and how to report allegations of sexual abuse. The auditor requested documentation for six medical and mental health care staff. Five were contractors and one was an employee. Four of the five had contractor training as required under 115.32. The facility did not provide the one employee training under 115.31.

Based on a review of the PAQ, 04.01.301, 03.03.102, Prison Rape Elimination Act: What Healthcare and Mental Health Providers Need to Know training curriculum, the Wexford Health Overview of the 2003 Prison Rape Elimination Act (PREA) and Implementation training curriculum, a review of medical and mental health care staff training records as well as interviews with medical and mental health care staff

indicate this standard requires corrective action. The auditor requested documentation for six medical and mental health care staff. At the issuance of the interim report only three specialized training records were provided. The auditor requested documentation for six medical and mental health care staff. Five were contractors and one was an employee. Four of the five had contractor training as required under 115.32. The facility did not provide the one employee training under 115.31.

Corrective Action

The facility will need to provide the requested documents in order to determine if additional corrective action is needed.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Medical and Mental Health Staff Training

The facility provided the originally requested specialized training documents. All were documented with specialized medical and mental health training with the exception of one medical staff member that was part-time (PRN) and did not regularly provide services. Additionally, the facility provided the originally requested staff and contractor training document confirming they received training as required under 115.31 or 115.32.

Based on the documentation provided, the facility has corrected this standard and it appears to be compliant.

115.41	Screening for risk of victimization and abusiveness
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	Auditor Overall Determination: Meets Standard
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Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
4. Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494)
5. Inmate Assessment and Reassessment Documents

Interviews:

1. Interview with Staff Responsible for Risk Screening
2. Interviews with Random Inmates
3. Interview with the PREA Coordinator
4. Interview with the PREA Compliance Manager

Site Review Observations:

1. Observations of Risk Screening Area
2. Observations of Where Inmate Files are Located

Findings (By Provision):

115.41 (a): The PAQ indicated that the agency has a policy that requires screening (upon admission to a facility or transfer to another facility) for risk of sexual abuse victimization or sexual abusiveness toward other inmates. 04.01.301, page 6 states that staff shall make a reasonable effort to ensure the screening and assessment is conducted in consideration of sound confidentiality and sensitivity to the offender. Screening and assessment shall be documented on the Screening for Potential Sexual Victimization or Sexual Abuse, DOC 0494, or an electronic equivalent and shall occur ordinarily within 24 hours of admission or transfer to any facility by staff designated by the Chief Administrative Officer who shall screen each offender for sexually abusive behavior or victimization. Policy further states that the ordinarily within 72

hours of admission or transfer to any facility clinical services staff review the pre-sentence report, statement of facts and other materials in the master file for sexually abusive behavior and victimization. Concerns shall be forwarded to the PCM. Mental health professionals will also inquire whether the offender has been a victim of sexual abuse in the past. During the tour the auditor was provided a demonstration of the initial risk assessment. The initial risk screening is completed in a confidential one-on-one setting. The staff print the DOC 0494 form and write the individual in custody responses on the form. The information is entered into Offender 360. The paper document is placed in the master file. The staff demonstrated that they ask all questions on the DOC 0494 form and then they go back into the individual in custody file to verify information such as criminal history. The staff stated if information from the file differs from what was provided by the individual in custody, they enter the information from the file. The interview with the staff responsible for the risk screening confirmed that inmates are screened for their risk of victimization and abusiveness upon arrival at the facility. Interviews with 21 inmates that arrived within the previous twelve months indicated nineteen were asked the questions related to risk of victimization and abusiveness when they first arrived.

115.41 (b): The PAQ indicated that the policy requires that inmates be screened for risk of sexual victimization or risk of sexually abusing other inmates within 72 hours of their intake. 04.01.301, page 6 states that staff shall make a reasonable effort to ensure the screening and assessment is conducted in consideration of sound confidentiality and sensitivity to the offender. Screening and assessment shall be documented on the Screening for Potential Sexual Victimization or Sexual Abuse, DOC 0494, or an electronic equivalent and shall occur ordinarily within 24 hours of admission or transfer to any facility by staff designated by the Chief Administrative Officer who shall screen each offender for sexually abusive behavior or victimization. Policy further states that the ordinarily within 72 hours of admission or transfer to any facility clinical services staff review the pre-sentence report, statement of facts and other materials in the master file for sexually abusive behavior and victimization. Concerns shall be forwarded to the PCM. Mental health professionals will also inquire whether the offender has been a victim of sexual abuse in the past. The PAQ noted that 716 inmates were screened within 72 hours over the previous twelve months. This indicates that 100% of those whose length of stay was for 72 hours or more received a risk screening within 72 hours. The interview with the staff responsible for the risk screening confirmed that inmates are screened for their risk of victimization and abusiveness within 72 hours. Interviews with 21 inmates that arrived within the previous twelve months indicated nineteen were asked the questions related to risk of victimization and abusiveness when they first arrived. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. All 53 individuals in custody were documented with an initial risk screening.

115.41 (c): The PAQ indicated that the risk screening is conducted using an objective

screening instrument. A review of the Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494) indicates that inmates are asked about identified or perceived sexual orientation, gender identity and history or sexual victimization. Additionally, the Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494) indicates that general information such as age, height, weight, number of incarcerations, non-violent or violent criminal history, disabilities, education level, socioeconomic status, immigrant status/language, history or sexual abusive behavior, criminal history of sexual abuse in the community, history of domestic violence, security threat group affiliation and history or institutional assaultive/violent behavior are factored into the risk screening assessment tool. Each question has appropriate responses that correspond to a number. The numbers are added up at the end of the victimization section and predatory section and the total number determines where the inmate falls on the continuum. The continuum ranges from not likely, likely, moderately likely to highly likely for both vulnerable and predatory. The inmates who fall in the highly likely or moderately likely range are then reviewed for the official vulnerable or predatory designation. The DOC 0949 also states that the evaluator may refer an individual in custody on the continuum, but if the individual falls into the likely or not likely range, a rationale for the referral should be documented.

115.41 (d): A review of the Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494) indicates that the tool has two sections; vulnerability and predatory. The vulnerability section includes general information such as age, height, weight, number of incarcerations, non-violent or violent criminal history, disabilities (developmental, mental illness and physical), education level, socioeconomic status and immigrant status/language. Inmates are also asked about identified or perceived sexual orientation, gender identity and history or sexual victimization. The inmate is also asked about his/her own perception of their safety at the time of the screening. Each question has appropriate responses that correspond to a number. The numbers are added up at the end of the victimization section and the total number determines where the inmate falls on the continuum. The continuum ranges from not likely, likely, moderately likely to highly likely for vulnerability. The inmates who fall in the highly likely or moderately likely range are then reviewed for the official vulnerable designation. The staff responsible for the risk screening stated that the initial risk screening involves asking the questions on the DOC 0949. The staff stated she notes what the inmate states and she goes back to look at criminal history and overall history. The staff stated that she complete their vulnerability screening based on age, weight, socioeconomic status, grade level, prior victimization and anything that would score them in a vulnerability category. She further stated the aggressor screening is based on history of violence, gang affiliation and prior sexual abusiveness. The staff confirmed all required elements under this provision are part of the risk screening.

115.41 (e): A review of the Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494) indicates information including, history or sexual abusive behavior, criminal history of sexual abuse in the community, history of domestic violence,

security threat group affiliation and history or institutional assaultive/violent behavior are factored into the risk screening assessment tool. Each question has appropriate responses that correspond to a number. The numbers are added up at the end of the predatory section and the total number determines where the inmate falls on the continuum. The continuum ranges from not likely, likely, moderately likely to highly likely for predatory. The inmates who fall in the highly likely or moderately likely range are then reviewed for the official predatory designation. The staff responsible for the risk screening stated that the initial risk screening involves asking the questions on the DOC 0949. The staff stated she notes what the inmate states and she goes back to look at criminal history and overall history. The staff stated that she complete their vulnerability screening based on age, weight, socioeconomic status, grade level, prior victimization and anything that would score them in a vulnerability category. She further stated the aggressor screening is based on history of violence, gang affiliation and prior sexual abusiveness. The staff confirmed all required elements under this provision are part of the risk screening.

115.41 (f): The PAQ indicated that the policy requires that the facility reassess each inmate's risk of victimization or abusiveness within a set time period, not to exceed 30 days after the inmate's arrival at the facility, based upon any additional, relevant information received by the facility since the intake screening. 04.01.301, page 6 states that within 30 days of admission or transfer to the facility, each offender, including any offender returned to Reception and Classification as a parole or mandatory supervised release violator, shall be screened again for sexually abusive behavior or victimization and potentially predator or vulnerable offender identification based upon any additional, relevant information received by the facility since the intake screening. The PAQ noted that 661 inmates were reassessed within 30 days, which is equivalent to 100% of the inmates who arrived and stayed longer than 30 days. During the tour the auditor was provided a demonstration of the reassessment process. Staff complete the reassessment in person in a confidential office setting. Staff pull up the DOC 0494 on Offender 360 and ask all the questions on the risk assessment. The staff stated that they input information as the individual in custody states and then make a note in the notes section at the bottom if they determine it as inaccurate (i.e. said did not have a sex offense but file shows convicted for a sex offense). The interview with the staff responsible for the risk screening indicated she believed inmates are reassessed after six months and then a year. She stated she does not do reassessments though. The interview with the reassessment staff member confirmed that inmates are reassessed within 30 days by counselors. Interviews with 21 inmates that arrived within the previous twelve months indicated three had been asked questions related to their risk of victimization and abusiveness more than once. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 52 of the 53 individuals in custody were documented with a reassessment.

115.41 (g): The PAQ indicated that the policy requires that an inmate's risk level be reassessed when warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness. 04.01.301, page 6 states screening and assessment shall occur when warranted due to referral, request, incident of sexual abuse, or receipt of additional information that bears on the offender's risk of sexual victimization or abusiveness. The interview with staff responsible for the risk screening confirmed that inmates are reassessed when warranted due to referral, request, incident of sexual abuse or receipt of additional information. Interviews with 21 inmates that arrived within the previous twelve months indicated three had been asked questions related to their risk of victimization and abusiveness more than once. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 52 of the 53 individuals in custody were documented with an initial risk screening. The facility had six sexual abuse allegations reported during the previous twelve months (per the investigative log). The auditor only received two investigative reports and neither included information related to a reassessment due to incident of sexual abuse.

115.41 (h): The PAQ indicated that policy prohibits disciplining inmates for refusing to answer (or for not disclosing complete information related to) questions regarding: (a) whether or not the inmate has a mental, physical, or developmental disability; (b) whether or not the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender non-conforming; (c) whether or not the inmate has previously experienced sexual victimization; and (d) the inmate's own perception of vulnerability. The 04.01.301, page 7 states individuals in custody shall not be disciplined for refusing to answer, or not disclosing complete information in response to questions asked during the screening for potential sexual victimization or sexual abuse. The interview with the staff responsible for the risk screening confirmed that inmates are not disciplined for refusing to answer or for not fully disclosing information any of the risk screening questions.

115.41 (i): 04.01.301, page 6 states that staff shall make a reasonable effort to ensure the screening and assessment is conducted with consideration of sound confidentiality and sensitivity to the offender. Risk screening information is maintained in the electronic Offender 360 program and in the master file. The auditor had a security staff member pull up the electronic system to see what was able to be viewed. The staff was able to view the questions and responses on each inmate's risk assessment. The auditor observed that the inmate records room is staffed Monday through Friday during officer hours. The master file is available to anyone with a need to know during those hours (have to request it through records staff and have a reason for the request). After hours the door is locked and only administrative staff have access. The PCM stated that to the best of her knowledge the agency has outlined who should have access to the risk screening information so sensitive

information is not exploited. She stated it is kept in a mental health document and it is also entered into Offender 360. The staff responsible for the risk screening confirmed that the agency has outlined who should have access to the risk screening information so that sensitive information is not exploited. She stated she believed that it is only accessible to those with Offender 360 access, only those who need the information.

Based on a review of the PAQ, 04.01.301, the PREA Manual, DOC 0494, a review of inmate files and information from interviews with the PREA Coordinator, PREA Compliance Manager, staff responsible for conducting the risk screenings and random inmates indicate that this standard requires corrective action. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. All 53 individuals in custody were documented with an initial risk screening. Interviews with 21 inmates that arrived within the previous twelve months indicated three had been asked questions related to their risk of victimization and abusiveness more than once. The auditor reviewed 53 total inmate files. The facility did not provide arrival dates for the inmates so the auditor was unable to determine those who arrived in the previous twelve months. 52 of the 53 individuals in custody were documented with a reassessments. The facility had six sexual abuse allegations reported during the previous twelve months (per the investigative log). The auditor only received two investigative reports and neither included information related to a reassessment due to incident of sexual abuse. During the tour the auditor observed that the staff who conduct the risk reassessment enter information that is self-reported rather than the information known to be true. The staff stated that they input information as the individual in custody states and then make a note in the notes section at the bottom if they determine it as inaccurate (i.e. said did not have a sex offense but file shows convicted for a sex offense). Risk screening information is maintained in the electronic Offender 360 program and in the master file. The auditor had a security staff member pull up the electronic system to see what was able to be viewed. The staff was able to view the questions and responses on each inmate's risk assessment.

Corrective Action

The facility will need to provide the requested arrival dates in order for the auditor to determine if additional corrective action is needed. The facility will need to provide reassessments for the inmate victims of sexual abuse. If they are not available, the facility will need to train staff on the requirement and provide a list of all sexual abuse allegations during the CAP and associated victim reassessments. The facility will need to train staff on the risk reassessment process and provide confirmation of the training. Additionally, the facility will need to modify permissions to the risk screening information and provide confirmation that the information is only accessible for those

with a need to know.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Arrival Dates
2. Staff Training
3. Assurance Memorandum
4. List of Sexual Abuse Allegations During Corrective Action Period
5. Inmate Risk Assessments
6. Offender 360 Restricted Access Documentation

The facility provided the originally requested inmate arrival dates. All 28 inmates that arrived within the previous twelve months had an initial risk assessment completed. 22 of the 28 were completed within 72 hours. 27 of the 28 had a risk reassessment, 25 of the 27 were completed within 30 days of arrival.

The facility provided training documentation that outlined the appropriate risk screening process, including timeframes and the need for a file review to confirm information. Training was also provided that outlined that risk reassessments were required on victims and perpetrators of substantiated and unsubstantiated sexual abuse allegations. Staff signatures were provided confirming they received and understood the training.

An assurance memo was provided confirming that all inmate risk assessments were reviewed and were up to date and accurate.

The facility provided a list of sexual abuse allegations reported during the corrective action period. None were substantiated and as such no perpetrators required a

	<p>reassessments. Three of the sexual abuse allegations were reported prior to the training related to reassessment due to incident of sexual abuse. As such these three did not have a reassessment and were no longer at the facility for a reassessment. The sexual abuse allegation reported after the training had a reassessment completed for the alleged victim.</p> <p>The facility provided documentation indicating that the agency implemented security roles for the Offender 360 risk screening information. The agency restricted access to only a few security roles and all other staff are required to request access to the risk screening information through the agency PC. The PC also provided screenshots of different staff's views in Offender 360. The auditor confirmed the staff did not have access to the risk screening.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.42	Use of screening information
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 04.03.104 Evaluation, Treatment and Correctional Management of Transgender Offenders 4. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual) 5. Housing Assignments of Inmates at Risk of Sexual Victimization and/or Sexual Abusiveness 6. Transgender/Intersex Housing Determination Documents 7. Transgender/Intersex Biannual Reassessments 8. LGBTI Housing Assignments

Interviews:

1. Interview with Staff Responsible for Risk Screening
2. Interview with PREA Coordinator
3. Interview with PREA Compliance Manager
4. Interviews with Gay, Lesbian and Bisexual Inmates
5. Interviews with Transgender Inmates

Site Review Observations:

1. Location of Inmate Records
2. Shower Area in Housing Units

Findings (By Provision):

115.42 (a): The PAQ indicated that the agency/facility uses information from the risk screening required by §115.41 to inform housing, bed, work, education, and program assignments with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive. 04.01.301, page 6 states that any indication of sexually abusive behavior, victimization or potential victimization in a correctional setting identified at a Reception and Classification Center or any assigned facility shall be referred to the facility PREA Compliance Manager. The PCM shall promptly review any referrals to assess whether an offender should be identified as a predator or vulnerable offender using the DOC 0494 and make recommendations regarding safety consideration and treatment or counseling needs. Page 7 further states that an offender identified as vulnerable shall not be housed with an offender identified as a predator. Prior to housing an offender identified as vulnerable or an offender identified as a predator, the proposed housing assignment shall be reviewed and approved by the Chief Administrative Officer in consultation with the facility PCM. The interview with the PREA Compliance Manager indicated she did not know exactly how the risk screening information is utilized but that the risk screening does produce a score to determine if the individual is predator or vulnerable. She stated they would use this score to place “keep separates” on people to keep them separated. The interview with the staff responsible for the risk screening indicated she just completes the risk assessment and then enters the information. She stated she thinks the information is used for who they can live with. The interview with the reassessment staff confirmed that if an individual scores or hits on certain things the information is forwarded to the PREA Compliance Manager. A review of the predator and vulnerable list confirmed that vulnerable inmates were not housed in the same cell as predators. The auditor did observe that two housing

units housed both a vulnerable and a predator in the same wing. While they are not housed together, the wings do not have a staff member assigned to stay on the housing unit wing. Additionally, a review of job, program and education assignments confirmed that vulnerable inmates were not assigned to unsupervised jobs, programs or education assignments with predators.

115.42 (b): The PAQ indicated that the agency/facility makes individualized determinations about how to ensure the safety of each inmate. 04.01.301, page 6 states that any indication of sexually abusive behavior, victimization or potential victimization in a correctional setting identified at a Reception and Classification Center or any assigned facility shall be referred to the facility PREA Compliance Manager. The PCM shall promptly review any referrals to assess whether an offender should be identified as a predator or vulnerable offender using the DOC 0494 and make recommendations regarding safety consideration and treatment or counseling needs. Page 7 further states that an offender identified as vulnerable shall not be housed with an offender identified as a predator. Prior to housing an offender identified as vulnerable or an offender identified as a predator, the proposed housing assignment shall be reviewed and approved by the Chief Administrative Officer in consultation with the facility PCM. The interview with the staff responsible for the risk screening indicated she just completes the risk assessment and then enters the information. She stated she thinks the information is used for who they can live with. The interview with the reassessment staff confirmed that if an individual scores or hits on certain things the information is forwarded to the PREA Compliance Manager.

115.42 (c): The PAQ indicated that the agency/facility makes housing and program assignments for transgender or intersex inmates in the facility on a case-by-case basis. 04.03.104, page 7 indicates that transgender, intersex and gender incongruent offenders shall not be assigned to gender-specific facilities based solely on their external genital anatomy. The Transgender Administrative Committee (TAC) shall make individualized determinations about how to ensure the safety of each offender including considering transfer from one gender-specific facility to an opposite gender facility and specifically the gender of staff which will perform searches of the offender. The determination shall consider, on a case-by-case basis, whether specific placement ensure the offender's health and safety, and whether the placement would present management or security concerns. The agency as a whole houses approximately 150 transgender inmates. Currently the agency houses nine transgender female inmates at female facilities and zero transgender male inmates at male facilities. The review of meeting minutes for four TAC meetings confirms that housing is reviewed on a case-by-case basis for each inmate. The interview with the PCM indicated that housing and program assignments for transgender and intersex inmates are handled the same way as everyone else. She stated they try to assess the individuals the same way as everyone else and assign them to an area. The PCM confirmed that placement would take into consideration the safety of the inmate and the presentation of any security or management problems. It should be noted that

the facility does not determine male/female housing rather it is an agency level determination. Interviews with four transgender inmates indicated one was asked how she felt about her safety. All four indicated that they did not believe LGBTI inmates are placed in one facility, housing unit or wing. While only one transgender inmate indicated she was asked how she felt about her safety, interviews with staff and documentation confirm that the inmates were asked about their perception of vulnerability and issues/concerns during their risk assessments and biannual reviews.

115.42 (d): 04.03.104, page 7 states that a review of each transgender, intersex and gender incongruent offender's placement and programming assignments shall be conducted by the facility twice annually to review any threats to safety experienced or posed by the offender. The agency as a whole houses approximately 150 transgender inmates. A review of documentation for eleven transgender inmates confirmed that all eleven were documented with biannual assessments via DOC 0700. These were completed by the TAC. The auditor requested additional documentation for four transgender inmates at Danville. At the issuance of the interim report the documentation had not yet been received. The PCM stated she was not sure how often transgender and intersex inmates were reassessed. The staff responsible for the risk screening stated she does not reassess transgender or intersex inmates but she believed mental health completed biannual assessments. It should be noted that all biannual assessments are done at the agency level via the TAC.

115.42 (e): 04.03.104, page 7 states that decisions shall be made by the TAC on a case-by-case basis with serious consideration given to circumstances including, but not limited to, the following: the offender's perception of whether a male or female facility is safest for him or her, as well as the preferred gender of staff to perform searches. The interviews with the PCM and staff responsible for the risk screening indicated that transgender and intersex inmates' views with respect to their safety are given serious consideration. Interviews with four transgender inmates indicated that only one was asked how she felt about her safety. While only one transgender inmate indicated she was asked how she felt about her safety, interviews with staff and documentation confirm that the inmates were asked about their perception of vulnerability and issues/concerns during their risk assessments and biannual reviews.

115.42 (f): 04.03.104, page 9 states that transgender, intersex and gender incongruent offenders shall be allowed the same frequency of showers in accordance with his or her classification. Showers shall be separated and private from other offenders. During the tour the auditor observed that general population housing units provided privacy through shower curtains. The auditor confirmed that the shower curtains provided privacy for male individuals in custody from the officer's station, however it did not provide adequate privacy on the lower level showers for

transgender females. All transgender inmates are afforded the opportunity to utilize the top tier showers, which provide adequate privacy from the officer's station. The health care unit shower was a single person with lattice type material. The facility advised that they have an extra curtain for the shower, however the auditor did not view the curtain. The segregated housing shower was single person with lattice door and extra barrier near the center of the lattice material. The facility advised that they have an extra curtain for the shower, however the auditor did not view the curtain. The interview with the PCM and the staff responsible for risk screening confirmed that transgender and intersex inmates are afforded the opportunity to shower separately. The PCM stated that transgender and intersex inmates are given the opportunity to shower on the wing at a separate time or they can shower in healthcare. Interviews with four transgender inmates indicated that three have been afforded the opportunity to shower separately. All three stated they shower in healthcare.

115.42 (g): 04.03.104, page 7 states that transgender, intersex and gender incongruent offenders shall not be assigned to gender specific facilities based solely on their external genital anatomy. Additionally, the PREA Manual, pages 27-28 indicate that the agency shall not place lesbian, gay, bisexual, transgender, or intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status, unless such placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting such inmates. The interview with the PC confirmed that the agency is not subject to a consent decree and that there is not a dedicated facility for LGBTI inmates. He further stated placement decisions are made to ensure the safety and security of all individuals in custody. Facility, housing unit and cell assignments are made on a case by case basis and housing individuals strictly by gender identity or sexual orientation is prohibited. The PCM confirmed that the agency does not have a consent decree and that LGBTI inmates are not placed in dedicated facilities, units or wings solely because of their identification or status. Interviews with two LGB inmates and four transgender inmates indicated that all six did not feel the facility places LGBTI inmates in dedicated facilities, units, or wings solely on the basis of such identification or status. A review of housing assignments for LGBTI inmates confirmed that they were housed across numerous different housing units at the facility, confirming that LGBTI inmates were not placed in one dedicated unit or wing at Danville.

Based on a review of the PAQ, 04.01.301, 04.03.104, the PREA Manual, inmates at risk of sexual abusiveness and sexual victimization housing determinations, transgender or intersex inmate house determinations, transgender or intersex biannual assessments, LGBTI inmate housing assignments, observations made during the tour and information from interviews with the PC, PCM, staff responsible for conducting the risk screening and LGBTI inmates, indicates that this standard appears to require corrective action. A review of the predator and vulnerable list confirmed that vulnerable were not housed in the same cell as predators. The auditor did

observe that two housing units housed both a vulnerable and a predator in the same wing. While they are not housed together, the wings do not have a staff member assigned to stay on the housing unit wing Interviews indicated that none of the staff were aware of how the risk screening information was utilized. The interview with the PREA Compliance Manager indicated she did not know exactly how the risk screening information is utilized but the risk screening does produce a score to determine if the individual is predator or vulnerable. She stated they would use the score to place “keep separates” on people to keep them separated. The interview with the staff responsible for the risk screening indicated she just completes the risk assessment and then enters the information. She stated she thinks the information is used for who they can live with. The interview with the reassessment staff confirmed that if an individual scores or hits on certain things the information is forwarded to the PREA Compliance Manager. The auditor requested additional documentation for four transgender inmates at Danville. At the issuance of the interim report the documentation had not yet been received.

Corrective Action

The facility will need to review the process for how information from the risk screening is utilized for housing, program, job and education assignments. Appropriate staff (to include the PCM) should be trained on this process. A copy of the training will need to be provided to the auditor. The facility will need to review all current housing assignments for predator and vulnerable inmates and confirm they are appropriate. A copy of the updated assignments for predator and vulnerable inmates will need to be provided. Additionally, the facility will need to provide the requested transgender inmate biannual assessments.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. High Risk Lists
2. Housing Movement Documentation
3. Staff Training

	<p>4. Biannual Risk Assessments</p> <p>The facility provided training with staff on housing, program and job assignments for high risk inmates. Staff signatures were provided confirming they received and understood the training.</p> <p>Documentation was provided confirming housing moves were made to ensure predators were not housed with those deemed vulnerable. Updated high risk lists were provided and confirmed there were not inmates deemed vulnerable housed in the same housing units (wings) as those deemed as predators.</p> <p>The facility provided the originally requested transgender inmate biannual assessments. All but one were documented with biannual assessments during 2023. The one missing the second assessment had paroled prior to the second reassessment.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.43	Protective Custody
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 05.15.100 Restrictive Housing 4. Inmates at High Risk of Victimization Housing Assignments <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Warden

2. Interview with Staff who Supervise Inmates in Segregated Housing

Site Review Observations:

1. Observations in the Segregated Housing Unit

Findings (By Provision):

115.43 (a): The PAQ indicated that the agency has a policy prohibiting the placement of inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made and a determination has been made that there is no available alternative means of separation from likely abusers. The PAQ noted that there were zero inmates at high risk of victimization that were placed in involuntary segregated housing in the past twelve months. 04.01.301, page 7 states that an offender identified as vulnerable shall not be housed in a segregated status for the sole purpose of providing protective custody unless no other means of separation can be arranged. The placement shall require the approval of the Deputy Director or Agency PREA Coordinator (no designee) and shall only continue until an alternative means of separation can be provided and such placement in segregation shall not ordinarily exceed a period of 30 days. The interview with the Warden confirmed that agency policy prohibits placing inmates at high risk of sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made and it is determined that there are no alternative means of separation from likely abusers. A review of housing assignments for current inmates at high risk of sexual victimization confirmed that none of the inmates identified as vulnerable were housed in the segregated housing unit.

115.43 (b): During the tour the auditor observed that the segregated housing unit included the living area and a separate small outdoor recreation area. Individuals in custody are provided recreation and showers every other day. Phones are only accessible one time during the individual in custody's segregation time. Mail is picked up by staff daily via a locked blue box. The interview with the staff who supervise inmates in segregated housing confirmed that inmates at high risk of sexual victimization who are involuntary segregated would have access to programs, privileges, education and work opportunities to the extent possible. The staff member further confirmed that any restrictions would be documented, including the reason and duration of the restrictions. There were no inmates identified to be in segregated housing due to their risk of victimization and as such no interviews were conducted.

115.43 (c): The PAQ indicated there were zero inmates at risk of sexual victimization who were assigned to involuntary segregated housing due to their risk of sexual victimization. 04.01.301, page 7 states that an offender identified as vulnerable shall not be housed in a segregated status for the sole purpose of providing protective custody unless no other means of separation can be arranged. The placement shall require the approval of the Deputy Director or Agency PREA Coordinator (no designee) and shall only continue until an alternative means of separation can be provided and such placement in segregation shall not ordinarily exceed a period of 30 days. The interview with the Warden confirmed that inmates would only be placed in involuntary segregated housing until an alternative means of separation from likely abuser(s) could be arranged. She stated they would typically put the individual in the crisis area rather than segregated housing and alternative placement would be located in less than 24 hours. The interview with the staff who supervise inmates in segregated housing indicated that inmates would only be placed in involuntary segregated housing until they could find an alternative means of separation. The staff stated they would remain there until the investigation was complete and they were not sure the exact timeframe, would depend on the situation. The staff further indicated the individual cannot remain in segregated housing longer than 30 day for investigative purposes. There were no inmates identified to be in segregated housing due to their risk of victimization and as such no interviews were conducted.

115.43 (d): The PAQ indicated there were zero inmates at risk of sexual victimization who were held in involuntary segregated housing in the past twelve months who had both a statement of the basis for the facility's concern for the inmate's safety and the reason why alternative means of separation could not be arranged. A review of housing assignments for current inmates at high risk of sexual victimization confirmed that none of the inmates identified as vulnerable were housed in the segregated housing unit.

115.43 (e): The PAQ indicate that if an inmate was placed in segregation due to risk of victimization, they would be reviewed every 30 days to determine if there was a continued need for the inmate to be separated from the general population. 04.01.301, page 7 states that an offender identified as vulnerable shall not be housed in a segregated status for the sole purpose of providing protective custody unless no other means of separation can be arranged. The placement shall require the approval of the Deputy Director or Agency PREA Coordinator (no designee) and shall only continue until an alternative means of separation can be provided and such placement in segregation shall not ordinarily exceed a period of 30 days. Additionally, 05.15.100, page 6 states that a Restrictive Housing Review Committee (RHRC) shall be established at each facility with restrictive housing. The committee shall review the status of each individual in custody's placement into restrictive housing every seven days for the first 60 days and at least every 30 days thereafter, unless more frequently if clinically indicated. The interview with the staff who supervise inmates in segregated housing confirmed that inmates would be reviewed at least every 30 days

for their continued need for placement in involuntary segregated housing. He stated an individual would not remain in segregated housing longer than 30 days for investigation though. There were no inmates identified to be in segregated housing due to their risk of victimization and as such no interviews were conducted.

Based on a review of the PAQ, 04.01.301, 05.15.100, high risk inmate housing assignments, observations from the facility tour as well as information from the interviews with the Warden and staff who supervise inmates in segregated housing indicates this standard appears to be compliant.

115.51	Inmate reporting
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual) 3. Memorandum of Understanding with the John Howard Association 4. TRUST Act Memorandum 5. Individuals In Custody Orientation Manual (Handbook) 6. PREA Posters 7. PREA Reporting Poster 8. Investigative Log 9. Investigative Reports <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Random Staff 2. Interviews with Random Inmates 3. Interview with the PREA Compliance Manager

Site Review Observations:

1. Observation of Posted PREA Reporting Information
2. Testing of Internal Reporting Hotline
3. Testing of the External Reporting Entity

Findings (By Provision):

115.51 (a): The PAQ indicated that the agency has established procedures allowing for multiple internal ways for inmates to report privately to agency officials about: (a) sexual abuse or sexual harassment; (b) retaliation by other inmates or staff for reporting sexual abuse and sexual harassment; and (c) staff neglect or violation of responsibilities that may have contributed to such incidents. The PREA Manual, page 29 states that offenders shall be encouraged to report allegations to staff at all levels. Offenders shall be provided with avenues of internal reporting, including, but not limited to, a telephone hotline maintained by the Investigations and Intelligence Unit, or by mail to an outside entity (e.g. John Howard Association). Offenders shall be provided information on reporting mechanisms as noted in section 115.33. A review of additional documentation to include the Handbook and PREA Posters indicated that they outline methods for reporting. These methods include: telling any staff member; calling the hotline, writing to the PC, to the John Howard Association (outside reporting entity) and/or sending a note, grievance or request slip. During the tour the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on zero tolerance, reporting methods (including the outside reporting entity) and victim advocacy. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. The PREA Posters included information on the zero tolerance policy and reporting via the hotline or to staff. Further the auditor observed the PREA hotline number painted/stenciled near the phones in the general population housing units. The auditor tested the internal reporting mechanisms during the tour. The auditor called the internal PREA hotline on May 18, 2023 and left a message to test functionality. Inmates are advised to select English or Spanish upon contact with the hotline. Initial phone instructions are provided in English and Spanish, however the hotline instructions/directions are only available in English. The auditor received confirmation from the PC on May 18, 2023 that the call was received and forwarded to him. Inmates have access to the phones most of the day. The internal PREA hotline is accessible on all phones but does require an individual in custody number. The auditor also tested the internal written reporting process. The auditor had an individual in custody assist with submitting a grievance on May 18, 2023. The individual assisted with filling out the appropriate sections of the grievance and placed the grievance in the locked box on the housing unit. On May 19, 2023 the

auditor received a copy of the grievance indicating it was received by staff and provided to the PCM. Interviews with 40 inmates confirm that all 40 were aware of at least one method to report sexual abuse and sexual harassment. Most stated they would report through the hotline, a grievance or their counselor. Interviews with thirteen random staff indicate that inmates can report through the staff, the hotline or anonymously.

115.51 (b): The PAQ stated that the agency provides at least one way for inmates to report sexual abuse to a public or private entity or office that is not part of the agency. Additionally, the PAQ indicated that the facility does not house inmates solely for civil immigration purposes. The agency has an MOU with the John Howard Association. The MOU states John Howard Association will allow IDOC to identify JHA within inmate orientation materials and prison posting as one way for inmates to report sexual abuse or sexual harassment to an entity that is not part of the agency, and that is able to receive and forward inmate reports of sexual abuse or harassment to Agency official for investigation, allowing the inmate to remain anonymous, upon request. The MOU further provides additional responsibilities for JHA and IDOC. The PREA Manual, page 29 indicates that offenders shall be provided contact information to the John Howard Association to make such reports. This information shall be available in Handbook. A review of the Handbook and PREA Posters confirmed that inmates can report externally to the John Howard Association. The Handbook (page 32-33 and 36) state that inmates can report through an independent outside entity, the John Howard Association of Illinois (JHA). The Handbook indicates that JHA has privileged mail status. It also states that inmates can remain anonymous and provides direction to state in the letter that the inmate does not want his/her name to be included. Additionally, pages 32-33 of the Handbook indicate that privileged mail, goes sealed and unopened and notes that the John Howard Association is privileged mail (incoming and outgoing). The PREA Reporting Poster states that inmates can report via privileged mail to the John Howard Association through the PO Box in Chicago, Illinois. During the tour the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on zero tolerance, reporting methods (including the outside reporting entity) and victim advocacy. The health care unit and segregated housing unit had the larger PREA Posters in English and Spanish. The PREA Posters included information on the zero tolerance policy and reporting via the hotline or to staff.. During the tour the auditor observed that inmates are able to place outgoing mail in any of the locked boxes around the facility, including in the housing unit sally ports. None of the drop boxes were specific to sexual abuse or sexual harassment allegations or information. The interview with the mailroom staff indicated that outgoing mail is collected from the housing units. Mail is sometimes sealed when they receive it and sometimes left unsealed. The staff stated the mail is supposed to be unsealed for them to go through and scan. The staff stated if the individual in custody is on the Internal Affairs mail list they provide the mail to

Internal Affairs to review. The staff indicated when they review the mail they are not reading it but that they are only looking to make sure it has the appropriate information and postage. The mailroom staff stated that legal mail is treated differently. Legal mail comes to them sealed and they log it on a spreadsheet. The mailroom staff stated they do not open any legal mail. The mailroom staff stated that regular incoming mail is opened and they do a quick glance/read to look for any contraband. If the individual in custody is on the Internal Affairs list, the mail is provided to Internal Affairs. Incoming legal mail is logged and a slip is filled out with it. The mail and slip are picked up by a Sergeant who then has the individual in custody open the mail in front of him/her (Sergeant). The mailroom staff stated that mail to and from JHA is treated like legal/privileged mail. The auditor previously tested the outside reporting mechanism during the on-site portion of another IDOC audit. The process is the same for all IDOC facilities and as such the auditor did not send another letter for the current audit. The auditor tested the outside reporting mechanism via a letter to the John Howard Association at a prior IDOC audit. The auditor obtained an envelope and sent a letter to the John Howard Association on January 10, 2023. The auditor obtained assistance from an inmate to utilize his name and number on the return address. The letter was placed in the outgoing US mail box by the inmate. While a return name and number is required, the mail staff do not open this mail and as such inmates are able to remain anonymous within the letter. The John Howard Association is utilized for numerous services and they are not just an organization to report sexual abuse. The auditor received confirmation on January 20, 2023 that the letter was received by the John Howard Association. A copy of the letter that was mailed was forwarded back to the auditor as well as the confirmation from John Howard Association staff that the inmate can remain anonymous. The interview with the PCM indicated inmates are provided contact information to the John Howard Association to make such reports. She stated she believed that the information from John Howard Association is provided back to the facility through the Warden. It should be noted the PCM also stated that inmates could report externally to the rape crisis center. Interviews with 40 inmates indicated eighteen were aware of the John Howard Association as the outside reporting entity and seventeen were aware they could anonymously report. The facility does not house inmates detained solely for immigration services and as such this part of the provision is not applicable. It should be noted that while only eighteen inmates stated they were aware of JHA, the information was provided to them via the Handbook when they arrived and via the PREA Reporting Posters throughout the facility.

115.51 (c): The PAQ indicated that 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. It further indicated that staff are required to document verbal reports immediately. 04.01.301, page 10 states that any alleged sexual abuse or harassment shall be reported through chain of command as an unusual incident in accordance with 01.12.105. The PREA Manual, page 29 further states that staff shall accept reports made verbally, in writing, anonymously, and from third parties and shall promptly document any verbal reports. During the tour

the auditor asked staff to demonstrate how they submit a written report. Staff indicated if they received a verbal report they would complete a written report via a 434 (Incident Report). The staff stated that 434s are in each housing unit and the document is filled out by hand. The staff stated the report is given to the Sergeant once completed and he/she would pass it on through the chain of command. The staff further confirmed that if the supervisor (Sergeant) was part of the incident they can bypass that individual and give the incident report to the Lieutenant. Interviews with 40 inmates indicated 37 knew they could report verbally and/or in writing to staff and 35 knew they could report through a third party. Interviews with thirteen staff indicate that inmates can report verbally, in writing, anonymously and through a third party. The staff stated if an inmate reported verbally they would document it immediately. A review of the investigative log confirmed there were 23 allegations. The auditor requested twelve investigations to review. At the issuance of the interim report four were provided. The facility also provided numerous other investigations that were not requested. A review of the investigations confirmed that verbal reports included a written incident report by the staff receiving the report.

115.51 (d): The PAQ indicates the agency has established procedures for staff to privately report sexual abuse and sexual harassment of inmates. The PAQ indicated that staff are informed of this method through training, the IDOC website and facility posters. The PREA Manual, page 29 states that the agency shall provide a method for staff to privately report sexual abuse and sexual harassment of inmates. Interviews with thirteen staff indicated that eleven were aware that they could privately report sexual abuse of an inmate.

Based on a review of the PAQ, PREA Manual, memo related to John Howard Association, TRUST Act memo, the Handbook, the PREA Poster, observations during the tour, information from interviews with the PCM, random inmates and random staff, and the documentation provided related to the auditors test of the outside entity reporting and the internal reporting line, this standard appears to be compliant.

115.52	Exhaustion of administrative remedies
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Documents: <ul style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.114 Local Offender Grievance Procedures

3. Individuals In Custody Orientation Manual (Handbook)

4. Sexual Abuse Grievances

Interviews:

1. Interviews with Inmates who Reported Sexual Abuse

Findings (By Provision):

115.52 (a): 04.01.114 is the policy related to grievance procedures for inmates. The PAQ indicated that the agency is not exempt from this standard.

115.52 (b): The PAQ indicated that agency policy or procedure allows an inmate to submit a grievance regarding an allegation of sexual abuse at any time, regardless of when the incident is alleged to have occurred. The PAQ further indicated that inmates are required to use an informal grievance process, or otherwise to attempt to resolve with staff, an alleged incident of sexual abuse. Further communication with the PC indicated that this was an error and that inmates are not required to use the informal grievance process. 04.01.114, page 2 states that offender grievances related to allegations of sexual abuse shall not be subject to any filing time frame. Policy further states that offender grievances involving alleged incidents of sexual abuse shall be exempt from any informal grievance process. A review of Handbook confirmed that information on grievances is provided on pages 16-17.

115.52 (c): The PAQ stated that agency policy and procedure allow an inmate to submit a grievance alleging sexual abuse without submitting it to the staff member who is the subject of the complaint. It further stated that agency policy and procedure requires that an inmate grievance alleging sexual abuse not be referred to the staff member who is the subject of the complaint. 04.01.114, page 6 indicates an offender may submit the grievance without submitting it to any staff member who is the subject of the complaint. Policy further states that no grievance shall be referred to any staff member who is the subject of the complaint. A review of Handbook confirmed that information on grievances is provided on pages 16-17.

115.52 (d): The PAQ stated that agency policy and procedure requires that a decision on the merits of any grievance or portion of a grievance alleging sexual abuse be made within 90 days of the filing of the grievance. The PAQ indicated that there were five sexual abuse grievances filed in the previous twelve months, three of which had

a response within 90 days. The PAQ also stated that zero grievances that involved an extension. The PAQ further indicates that the agency always notifies an inmate in writing when the agency files for an extension, including notice of the date by which a decision will be made. 04.01.114, page 6 states that the Department shall issue a final decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance. Computation of the 90 day time period shall not include time consumed by the offender in preparing any administrative appeal. Policy further states that the Department may claim an extension of time to respond, of up to 70 days, if the normal time period for response is insufficient to make an appropriate decision. The offender shall be notified, in writing, of such extension and provided with a date by which a decision will be made. Page 6 also states that at any level of the grievance process, if the offender does not receive a response within the time allotted for reply, including any properly noticed extension, the offender may consider the absence of a response to be a denial at that level. The auditor requested documentation related to the grievances as well as the grievance log, however at the issuance of the interim report the documentation had not yet been received. Interviews with inmates who reported sexual abuse indicated one was aware that he/she was to be notified of the outcome of their investigation. Three of the four indicated they were informed of the investigative outcome via mail between a few weeks to a month after the report. One individual in custody stated his/her allegation was submitted via a grievance and the grievance was returned saying the information was forwarded to PREA for investigation.

115.52 (e): The PAQ indicated that agency policy and procedure permits third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse and to file such requests on behalf of inmates. The PAQ further indicated that agency policy and procedure requires that if an inmate declines to have third-party assistance in filing a grievance alleging sexual abuse, the agency documents the inmate's decision to decline. 04.01.114, page 6 states that third parties, including other offenders, staff members, family members, attorneys, etc., shall be permitted to assist offenders in filing grievances relating to allegations of sexual abuse, and shall also be permitted to file such requests on behalf of the offender. Policy further states that the Department shall require, as a condition of processing the grievance, the alleged victim to agree to have the grievance filed on his or her behalf. If the alleged victim declines, the decision shall be documented. The PAQ stated that there were zero grievances alleging sexual abuse by inmates in the past twelve months in which the inmate declined third-party assistance and which contained documentation of the inmate's decision to decline. The auditor requested the grievance log to select a sample of grievances, however at the issuance of the interim report the documentation had not been received.

115.52 (f): The PAQ indicated that the agency has a policy and established procedures for filing an emergency grievance alleging that an inmate is subject to a

substantial risk of imminent sexual abuse. It further indicated that the agency's policy and procedure for emergency grievances alleging substantial risk of imminent sexual abuse requires an initial response within 48 hours. The PAQ also indicated that the agency's policy and procedure for emergency grievances alleging substantial risk of imminent sexual abuse requires that a final agency decision be issued within five days. 04.01.114, page 7 states that for emergency grievances alleging an offender is subject to a substantial risk of imminent sexual abuse, the Department shall provide an initial response within 48 hours, and shall have a final decision provided within five calendar days. The initial response and the final decision shall document the Department's determination whether the offender is in substantial risk of imminent sexual abuse and the action taken in response to the emergency grievance. The PAQ stated there were four emergency grievance alleging substantial risk of imminent sexual abuse in the previous twelve months. All four had an initial response within 48 hours and none had a final response within five days. The facility provided documentation related to four emergency grievances. One grievance was related to how a prior report of sexual abuse was handled and was not an emergency grievance. Another was related to inmate-on-inmate sexual harassment and was not related to imminent risk of sexual abuse. Two others were grievances reporting sexual abuse and as such were not imminent risk of sexual abuse. All four grievances were documented with a response ranging from one day to two weeks.

115.52 (g): The PAQ indicated that the agency has a written policy that limits its ability to discipline an inmate for filing a grievance alleging sexual abuse to occasions where the agency demonstrates that the inmate filed the grievance in bad faith. 04.01.114, page 2 states that staff shall be prohibited from imposing discipline due to use of the grievance process. The PAQ indicated that zero inmates were disciplined for filing a grievance in bad faith in the previous twelve months.

Based on a review of the PAQ, 04.01.114, the Handbook and emergency grievances indicates that this standard appears to require corrective action. The auditor requested documentation related to the grievances as well as the grievance log, however at the issuance of the interim report the documentation had not yet been received.

Corrective Action

The facility will need to provide the requested documentation.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Sexual Abuse Grievances
2. Memorandum Related to Grievances
3. Investigative Interviews

The facility provided the originally requested sexual abuse grievances and grievance log. Four grievances were provided and an additional eight grievances were provided. Not all thirteen were allegations of sexual abuse, but they did contain information related to sexual abuse or sexual harassment. The auditor viewed that not all thirteen included a response to the inmate and a few included language that advised inmates that their grievances was "moot". One grievance had an allegation of sexual abuse and was referred for investigation. Two other grievances were sexual abuse allegations however they were not referred for a formal investigation due to the victim saying it wasn't PREA or victim refusing to be interviewed. The auditor advised that the current grievance process appeared to be inadequate and further corrective action would be needed.

The facility provided further information indicating that while a formal investigation was not completed, the two grievances did have an investigator conduct investigative interviews. The investigative interviews were provided to the auditor. A memo was provided by the facility indicating that they currently do not have a facility investigator and as such training could not be completed to ensure they were aware of the requirement of a formal investigation for all grievances alleging sexual abuse. The memo advised that an agency investigator was currently handling investigations and once the IA Lieutenant was hired in-depth training related to this standard would be completed. The auditor confirmed that current investigations are being completed by a regional investigator through the PREA office. The investigator is trained and aware of the requirements for sexual abuse investigations. Further the auditor was provided additional information that "moot" is one of the three grievance response outcomes outlined in policy. Moot refers to the fact that the allegation was forwarded to others (Internal Affairs) to handle and as such at that level it is moot.

Based on the documentation provided the facility has corrected this standard and as

	<p>such appears to be compliant.</p> <p>Recommendation</p> <p>The auditor highly recommends that language related to a grievance being “moot” be reviewed. If this is to be utilized, additional information related to why it is moot (i.e. was forwarded for investigation and will be investigated by IA) to be documented as well. Further the auditor highly recommends that the facility continuously review their grievance process to ensure it is an effective method for reporting sexual abuse and sexual harassment.</p>
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115.53	Inmate access to outside confidential support services
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Memorandum of Understanding with Survivor Resource Center 4. Individuals in Custody Orientation Manual (Handbook) 5. PREA Reporting Poster <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Random Inmates 2. Interviews with Inmates who Reported Sexual Abuse 3. Interview with Victim Advocate <p>Site Review Observations:</p> <ol style="list-style-type: none"> 1. Observation of Victim Advocacy Information

Findings (By Provision):

115.53 (a): The PAQ indicated that the facility provides inmates with access to outside victim advocates for emotional support services related to sexual abuse. It further stated that the facility provides inmates with access to such services by giving inmates mailing addresses and telephone numbers for local, state or national victim advocacy or rape crisis organizations and that the facility provides inmates with access to such services by enabling reasonable communication between inmates and these organizations in a confidential a manner as possible. The PAQ stated that IDOC does not hold individuals strictly for immigration purposes. 04.01.301, page 5 states that the PCM shall identify community agencies, including advocacy and crisis organizations, where reports can be made or that provide assistance or support services to staff or offenders in the prevention or intervention of sexual abuse and harassment. Contact information such as mailing addresses shall be provided via offender handbook, bulletins, etc. The MOU with Survivor Resource Center indicates that the purpose and scope of the MOU is to establish a joint effort between IDOC and Survivor Resource Center to make available to inmates access to an outside entity to provide emotional support services related to sexual abuse, including crisis intervention and sexual assault counseling, to aid IDOC in fulfilling compliance with 115.53 while inmates are incarcerated at Danville Correctional Center and within the IDOC prison. The MOU further states that it understood face-to-face emotional support provided in a confidential a manner as possible or emotional support through confidential unmonitored, unrecorded phone call(s) shall comply with 735 ILCS 5/8-802.1 "Confidentiality of Statements Made to Rape Crisis Personnel". A review of the Handbook and PREA Reporting Poster confirmed that inmates are provided the mailing address and telephone number to Survivor Resource Center. The documents state that individuals in custody may contact victim advocates for emotional support services related to sexual abuse. The PREA Reporting Poster (which is included in the Handbook) states that advocacy can be provide either by phone or in-person and will be provided in as confidential a manner as possible consistent with legal calls/visits. During the tour the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on victim advocacy (Survivor Resource Center), including the phone number and mailing address. The auditor was unable to test the access to victim advocacy services during the on-site portion of the audit. Individuals in custody can add the victim advocacy number to their call list and call through the inmate phones, which are monitored and/or recorded. Individuals in custody are also able to set up a legal call or visit through the counselor. The individual in custody would request the confidential call and the staff member would set up the call. The advocate would call the facility and the call would be transferred to the legal call area. While this is a more confidential method for speaking to the victim advocate than in the housing unit with numerous other individuals in custody surrounding them, the process is not known by staff or individuals in custody. The PCM advised

individuals in custody can write or call the organization but they would not know the process unless someone told them. She further advised they had just recently reached out to the organization to facilitate the services. It should be noted that individuals in custody are provided the mailing address to the local rape crisis center and are able to send correspondence via mail. Interviews with 40 inmates, including those who reported sexual abuse, indicated fifteen were aware of outside victim advocacy services and eleven were provided a phone number and mailing address to a local rape crisis center. Most of the eleven indicated they received the information but they were not familiar with specifics on the organization.

115.53 (b): The PAQ indicated that the facility informs inmates, prior to giving them access to outside support services, the extent to which such communications will be monitored. It further stated that the facility informs inmates, prior to giving them access to outside support services, of the mandatory reporting rules governing privacy, confidentiality, and/or privilege that apply to disclosures of sexual abuse made to outside victim advocates, including any limits to confidentiality under relevant federal, state, or local law. The MOU with Survivor Resource Center indicates that the purpose and scope of the MOU is to establish a joint effort between IDOC and Survivor Resource Center to make available to inmates access to an outside entity to provide emotional support services related to sexual abuse, including crisis intervention and sexual assault counseling, to aid IDOC in fulfilling compliance with 115.53 while inmates are incarcerated at Danville Correctional Center and within the IDOC prison. The MOU further states that it understood face-to-face emotional support provided in a confidential a manner as possible or emotional support through confidential unmonitored, unrecorded phone call(s) shall comply with 735 ILCS 5/8-802.1 "Confidentiality of Statements Made to Rape Crisis Personnel". A review of the Handbook and PREA Reporting Poster confirmed that inmates are provided the mailing address and telephone number to Survivor Resource Center. The documents state that individuals in custody may contact victim advocates for emotional support services related to sexual abuse. The PREA Reporting Poster (which is included in the Handbook) states that advocacy can be provide either by phone or in-person and will be provided in as confidential a manner as possible consistent with legal calls/visits. Pages 43-45 of the Handbook outlines the mail process including privileged mail and pages 13-15 outline the telephone process, including information about telephone calls from individual in custody phones being subject to monitoring and recording. Survivor Resource Center is not outlined as legal or privileged mail. During the tour the auditor observed PREA information posted throughout the facility. Housing units had the PREA Reporting Posters on letter size paper in English and Spanish. The PREA Reporting Posters were observed by the phones and in the dayroom on the second tier of the housing units. The PREA Reporting Posters contained information on victim advocacy. The auditor was unable to test the access to victim advocacy services during the on-site portion of the audit. Individuals in custody can add the victim advocacy number to their call list and call through the inmate phones, which are monitored and/or recorded. Individuals in custody are also able to set up a legal call or visit through the counselor. The individual in custody would request the

confidential call and the staff member would set up the call. The advocate would call the facility and the call would be transferred to the legal call area. While this is a more confidential method for speaking to the victim advocate than in the housing unit with numerous other individuals in custody surrounding them, the process is not known by staff or individuals in custody. The PCM advised individuals in custody can write or call the organization but they would not know the process unless someone told them. She further advised they had just recently reached out to the organization to facilitate the services. It should be noted that individuals in custody are provided the mailing address to the local rape crisis center and are able to send correspondence via mail. During the tour the auditor observed that inmates are able to place outgoing mail in any of the locked boxes around the facility, including in the housing unit sally ports. None of the drop boxes were specific to sexual abuse or sexual harassment allegations or information. The interview with the mailroom staff indicated that outgoing mail is collected from the housing units. Mail is sometimes sealed when they receive it and sometimes left unsealed. The staff stated the mail is supposed to be unsealed for them to go through and scan. The staff stated if the individual in custody is on the Internal Affairs mail list they provide the mail to Internal Affairs to review. The staff indicated when they review the mail they are not reading it but that they are only looking to make sure it has the appropriate information and postage. The mailroom staff stated that legal mail is treated differently. Legal mail comes to them sealed and they log it on a spreadsheet. The mailroom staff stated they do not open any legal mail. The mailroom staff stated that regular incoming mail is opened and they do a quick glance/read to look for any contraband. If the individual in custody is on the Internal Affairs list, the mail is provided to Internal Affairs. Incoming legal mail is logged and a slip is filled out with it. The mail and slip are picked up by a Sergeant who then has the individual in custody open the mail in front of him/her (Sergeant). The mailroom staff stated she had no idea how mail to and from the rape crisis center was treated and she had not had any mail to/from them. Interviews with 40 inmates, including those who reported sexual abuse, indicated fifteen were aware of outside victim advocacy services and eleven were provided a phone number and mailing address to a local rape crisis center. Most of the eleven indicated they received the information but they were not familiar with specifics on the organization.

115.53 (c): The PAQ indicated that the facility maintains a memorandum of understanding or other agreement with a community service provider that is able to provide inmates with emotional support services related to sexual abuse. The PAQ also indicated that the facility maintains copies of the agreement. A review of documentation confirms that the facility has an MOU with Survivor Resource Center. The MOU was signed September 2, 2021 and the facility maintains a copy of the MOU.

Based on a review of the PAQ, 04.01.301, the MOU with Survivor Resource Center, the Handbook, the PREA Reporting Poster and interviews with random inmates, inmates

who reported sexual abuse and the staff member at Counseling & Information for Sexual Assault/Abuse this standard appears to require corrective action. The auditor was unable to test the access to victim advocacy services during the on-site portion of the audit. Individuals in custody can add the victim advocacy number to their call list and call through the inmate phones, which are monitored and/or recorded. Individuals in custody are also able to set up a legal call or visit through the counselor. The individual in custody would request the confidential call and the staff member would set up the call. The advocate would call the facility and the call would be transferred to the legal call area. While this is a more confidential method for speaking to the victim advocate than in the housing unit with numerous other individuals in custody surrounding them, the process is not known by staff or individuals in custody. The PCM advised individuals in custody can write or call the organization but they would not know the process unless someone told them. She further advised they had just recently reached out to the organization to facilitate the services. Further, the mailroom staff did not know how mail to and from the victim advocacy service would be treated. Interviews with 40 inmates, including those who reported sexual abuse indicated fifteen were aware of outside victim advocacy services and eleven were provided a phone number and mailing address to a local rape crisis center. Most of the eleven indicated they received the information but they were not familiar with specifics on the organization.

Corrective Action

The facility will need to enable a procedure for inmates to contact the rape crisis center via phone and mailing address. Inmates and staff should be educated on this process to include how to call, when they can call, confidentiality, how mail is treated, etc. A copy of the education will need to be provided to the auditor. The facility will need to update the Handbook to include information on how mail to the rape crisis center is treated. Mailroom staff will need to be trained on this process. Confirmation of both will need to be provided to the auditor.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Photos of PREA Reporting Posters

2. Staff Training

3. Updated Individuals In Custody Orientation Manual (Handbook)

The facility provided a training memo from the agency PC to mailroom staff advising that mail to Survivor Resource Center is treated as privileged mail. Electronic signatures were provided confirming mailroom staff received and understood the training. Additionally, appropriate staff, to include the PCM, were trained on the process of providing inmates access to Survivor Resource Center via a confidential legal call/visit. Electronic signatures were provided confirming staff received and understood the training.

The facility updated the Handbook to include information that mail sent to the local rape crisis center is treated as privileged mail.

The facility provided photos of the PREA Reporting Posters, which include contact information for Survivor Resource Center, placed throughout the facility (including in each housing unit). The information was in English and Spanish.

During the corrective action period the agency worked on a process to provide inmates with access to local rape crisis centers across the state through a speed dial number (999). The speed dial is facility specific and dials to the local rape crisis center in the area (agency that has an MOU with the facility). The information for the speed dial was added to the PREA Reporting Poster and included that calls to this number were not monitored and recorded. The 999 speed dial was implemented another IDOC facility to allow the agency to test the process. The auditor received confirmation of the test from the inmate phone system. While the process was implemented and was tested to confirm functionality, the organizations asked the agency not to implement the speed dial until after the holidays. Thus the facility updated the distributed information but did not post the updated information with the speed dial. They indicated this would be posted and redistributed after the New Year.

Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.

115.54	Third-party reporting
	Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
3. PREA Posters
4. PREA Reporting Poster

Findings (By Provision):

115.54 (a): The PAQ indicated that the agency has a method to receive third-party reports of sexual abuse and sexual harassment and the agency publicly distributes that information on how to report sexual abuse and sexual harassment on behalf of an inmate. The PREA Manual, page 32 states that the Department shall post publicly, and maintain, the third-party reporting avenue on its public website. A review of the agency's website confirms that there is information on how to report sexual abuse and/or staff sexual misconduct. Individuals can call the IDOC Headquarters number (217-558-4013) and leave a message. Additionally, the PREA Posters state that individuals can write to the IDOC PREA Coordinator and/or to the John Howard Association. During the tour third party reporting information was observed in visitation, administration and the front entrance via the PREA Poster and the PREA Reporting Poster. Both Posters were in English and Spanish and in bright colors. The PREA Posters were larger (legal size paper) while the PREA Reporting Posters were on letter size paper. The PREA Posters provided information on reporting via the hotline and to any staff member while the PREA Reporting Posters included the same information as well as information on how to report to the PREA Coordinator and John Howard Association. The auditor tested the third party reporting mechanism on January 22, 2023. The auditor called the PREA hotline as outlined on the agency website. The hotline is the same hotline utilized for the inmate population. The auditor received confirmation from the PREA Coordinator on January 23, 2023 that the message was received and forwarded to him to handle. He indicated he would provide the information to the facility for investigation if it was a report of sexual abuse or sexual harassment.

Based on a review of the PAQ, the PREA Manual, the PREA Posters, the PREA Reporting Poster and the agency's website this standard appears to be compliant.

Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Administrative Directive 01.12.105 Reporting of Unusual Incidents
4. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
5. Investigative Reports

Interviews:

1. Interviews with Random Staff
2. Interviews with Medical and Mental Health Staff
3. Interview with the Warden
4. Interview with the PREA Coordinator

Findings (By Provision):

115.61 (a): The PAQ indicated that the agency requires all staff to report immediately and according to agency policy any knowledge, suspicion, or information they receive regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency; any retaliation against inmates or staff who reported such an incident; and/or any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation. 04.01.301, page 8 states that any verbal report or observance of sexual activity shall be treated as possible sexual abuse. Any report or observance of sexual abuse or harassment shall be documented on an Incident Report, DOC 0434, and reported to the facility PCM in accordance with Paragraph II.G.6. All reports shall be investigated accordingly. Page 10 (Paragraph II.G.6) states that any alleged sexual abuse or harassment shall be reported through chain of command as an unusual incident in accordance with 01.12.105. All staff who observe the alleged abuse or harassment or to whom the initial report was made shall complete a DOC 0434 and may be required to be interviewed by an investigator or other staff designated by the Chief Administrative Officer prior to leaving the facility

at the end of their shift. Interviews with thirteen staff confirm that policy requires that they report any knowledge, suspicion or information regarding an incident of sexual abuse and sexual harassment, any retaliation related to reporting sexual abuse and/or information related to any staff neglect or violation of responsibilities that contributed to the sexual abuse or retaliation. Staff stated they would report the information to the supervisor through the chain of command.

115.61 (b): The PAQ indicated that apart from reporting to designated supervisors or officials and designated state or local services agencies, 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, investigation, and other security and management decisions. 04.01.301, page 8 states that any verbal report or observance of sexual activity shall be treated as possible sexual abuse. Any report or observance of sexual abuse or harassment shall be documented on an Incident Report, DOC 0434, and reported to the facility PCM in accordance with Paragraph II.G.6. All reports shall be investigated accordingly. Page 10 (Paragraph II.G.6) states that any alleged sexual abuse or harassment shall be reported through chain of command as an unusual incident in accordance with 01.12.105. All staff who observe the alleged abuse or harassment or to whom the initial report was made shall complete a DOC 0434 and may be required to be interviewed by an investigator or other staff designated by the Chief Administrative Officer prior to leaving the facility at the end of their shift. The PREA Manual, page 32 further states that the information concerning the identity of the alleged offender victim and the specific facts of the case shall be limited to staff who need to know because of their involvement with the victim's welfare and the investigation of the incident. This is important to not only preserve the victim's privacy but to preserve maximum flexibility to investigate the allegation. Interviews with thirteen staff confirm that policy requires that they report any knowledge, suspicion or information regarding an incident of sexual abuse and sexual harassment, any retaliation related to reporting sexual abuse and/or information related to any staff neglect or violation of responsibilities that contributed to the sexual abuse or retaliation. Staff stated they would report the information to the supervisor through the chain of command.

115.61 (c): Interviews with medical and mental health care staff confirmed that at the initiation of services with an inmate they disclose limitations of confidentiality and their duty to report. Both staff stated they are required to report any knowledge, suspicion or information related an incident of sexual abuse or sexual harassment. One of the two staff members stated that she had become aware of information and reported it to security. A review of investigative reports indicated that one was reported to a mental health care staff member. The mental health care staff reported the information to security and completed a written incident report on the information.

115.61 (d): The interview with the PREA Coordinator indicated that while State law (730 ILCS 5/5-8-6) specifically prohibits anyone under the age of eighteen to be confined to the Illinois Department of Corrections; if an allegation was made regarding a youth (such as a minor child visiting an individual in custody housed at the facility), the Illinois State Police and/or the Department of Children & Family Services, as appropriate, would be contacted to notify the agency of the allegation so they may properly investigate. For allegations made by a vulnerable adult in custody, the agency would ensure access to mental health is available for immediate assessment (per our PREA protocol) as well as long-term services. Additionally, access to community confidential support services would be available and offered. The Warden stated that they do not house offenders under eighteen or vulnerable adults.

115.61 (e): 04.01.301, page 8 states that any verbal report or observance of sexual activity shall be treated as possible sexual abuse. Any report or observance of sexual abuse or harassment shall be documented on an Incident Report, DOC 0434, and reported to the facility PCM in accordance with Paragraph II.G.6. All reports shall be investigated accordingly. Page 10 (Paragraph II.G.6) states that any alleged sexual abuse or harassment shall be reported through chain of command as an unusual incident in accordance with 01.12.105. All staff who observe the alleged abuse or harassment or to whom the initial report was made shall complete a DOC 0434 and may be required to be interviewed by an investigator or other staff designated by the Chief Administrative Officer prior to leaving the facility at the end of their shift. The interview with the Warden confirmed that all allegations of sexual abuse and sexual harassment would be reported to designated facility investigators. A review of the investigative log indicated 23 investigations were referred to facility investigators. A review of investigative reports confirmed that investigations were reported verbally and in writing.

Based on a review of the PAQ, 04.01.301, 01.12.105, the PREA Manual, investigative reports and information from interviews with random staff, medical and mental health care staff, the PREA Coordinator and the Warden indicates that this standard appears to be compliant.

115.62	Agency protection duties
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Documents:
	1. Pre-Audit Questionnaire

2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
4. Incident Reports

Interviews:

1. Interview with the Agency Head
2. Interview with the Warden
3. Interviews with Random Staff

Findings (By Provision):

115.62 (a): The PAQ indicated that when the agency or facility learns that an inmate is subject to a substantial risk of imminent sexual abuse, it takes immediate action to protect the inmate (i.e., it takes some action to assess and implement appropriate protective measures without unreasonable delay). 04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be immediately provided protection from the alleged abuser and the incident shall be investigated. The PREA Manual, page 33 states that in cases where the alleged perpetrator is another offender, the Shift Supervisor shall be notified immediately. The Shift Supervisor shall ensure appropriate and immediate safeguards to protect the offender are taken. Depending on the severity, safeguards may include monitoring the situation, changing housing assignments, changing work assignments, placing the alleged victim and perpetrator in Special Housing, etc. The PREA Manual further states that if the alleged perpetrator is a staff member, all options for safeguarding the offender shall be considered as described above. Options may include reassignment to another unit or post, or other measures that will effectively separate the staff member from the offender. The PAQ stated that there were zero determinations made in the past twelve months that an inmate was at substantial risk of imminent sexual abuse. The Agency Head stated that the agency has many actions, including removing the individual from harm's way, removing the perpetrator and placing the staff member on administrative leave. He further stated that the risk would be investigated and the individual would be provided medical and mental health services. The interview with the Warden indicated if an inmate was at imminent risk of sexual abuse they would separate the individual from the potential perpetrator and move one of the individuals' housing. She stated they would take the potential victim to health care and they would initiate an investigation. Interviews with random staff indicated that if an individual in custody is determined to be at imminent risk of

	<p>sexual abuse they would separate them from the person/area and notify a supervisor.</p> <p>Based on a review of the PAQ, 04.01.301, PREA Manual and information from interviews with the Agency Head, Warden and random staff indicates that this standard appears to be compliant.</p>
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115.63	Reporting to other confinement facilities
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	<p>Auditor Overall Determination: Meets Standard</p>
	<p>Auditor Discussion</p>
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual) 4. Investigative Reports 5. Warden to Warden Notifications <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Agency Head 2. Interview with the Warden <p>Findings (By Provision):</p> <p>115.63 (a): The PAQ indicated that the agency has a policy requiring that, upon receiving an allegation that an inmate 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. 04.01.301, page 9 states that reports of sexual abuse or sexual harassment occurring while an offender was housed within a different jurisdiction, such as a municipal lockup, county jail, or correctional center in another state, shall be documented on a</p>

DOC 0434 and reported to the Chief Administrative Officer of the facility that received the allegation the allegation to the Chief Administrative Officer of the agency where the alleged abuse occurred within 72 hours. The PAQ stated there were three allegations received that an inmate was abused while confined at another facility. The PAQ indicated the response to the allegation included notification of the facility and offering the victim access to medical, mental health and outside support services. A review of documentation confirmed there were three inmates who reported sexual abuse that occurred at another facility. All three were documented with a Warden to Warden notification via email.

115.63 (b): The PAQ indicated that agency policy requires that the facility head provide such notification as soon as possible, but no later than 72 hours after receiving the allegation. 04.01.301, page 9 states that reports of sexual abuse or sexual harassment occurring while an offender was housed within a different jurisdiction, such as a municipal lockup, county jail, or correctional center in another state, shall be documented on a DOC 0434 and reported to the Chief Administrative Officer of the facility that received the allegation the allegation to the Chief Administrative Officer of the agency where the alleged abuse occurred within 72 hours. A review of documentation confirmed there were three inmates who reported sexual abuse that occurred at another facility. All three were documented with a Warden to Warden notification via email. The documentation confirmed that all three notifications were completed within 72 hours.

115.63 (c): The PAQ indicated that the agency or facility documents that it has provided such notification within 72 hours of receiving the allegation. 04.01.301, page 9 states that reports of sexual abuse or sexual harassment occurring while an offender was housed within a different jurisdiction, such as a municipal lockup, county jail, or correctional center in another state, shall be documented on a DOC 0434 and reported to the Chief Administrative Officer of the facility that received the allegation the allegation to the Chief Administrative Officer of the agency where the alleged abuse occurred within 72 hours. A review of documentation confirmed there were three inmates who reported sexual abuse that occurred at another facility. All three were documented with a Warden to Warden notification via email.

115.63 (d): The PAQ indicated that the agency or facility policy requires that allegations received from other facilities and agencies are investigated in accordance with the PREA standards. 04.01.301, page 9 states reports of sexual abuse or harassment occurring while an individual in custody was housed at a different facility shall be reported to the CAO of the facility where the incident occurred as soon as possible, but not later than 72 hours after the initial report was received. The CAO that receives such notification shall ensure the allegation is investigated in accordance with the procedures herein. The PREA Manual, pages 33-34 state that in cases where there is an allegation that sexual abuse occurred at another Department

facility, the Chief Administrative Officer of the victim’s current facility shall report the allegation to the Chief Administrative of the identified facility. In cases alleging sexual abuse by staff at another facility, the Chief Administrative Officer of the offender’s current facility shall refer the matter directly to Internal Affairs. The PAQ stated there was one allegation reported to the facility from another facility in the previous twelve months. The Agency Head stated that when notified by another agency of an allegation within an IDOC facility, the point of contact is the PC. He stated the PC would then forward it to the appropriate facility to investigate. The Agency Head indicated that the agency/facility would reach out to the other agency to obtain any follow-up information. He confirmed that they had a recent example from South Dakota and that it was forwarded from the PC to the facility for investigation. The interview with the Warden indicated if they receive a report from another facility/ agency, the PCM would get as much information as possible on the allegation and it would be referred to IA for investigation. She indicated they received one Warden to Warden notification in the previous twelve months and the allegation was referred for investigation. A review of documentation confirmed there was one Warden to Warden notification and the allegation was investigated by the facility and was determined to be unsubstantiated.

Based on a review of the PAQ, 04.01.301, the PREA Manual, investigative reports, Warden to Warden notifications and interviews with the Agency Head and Warden, this standard appears to be compliant.

115.64 Staff first responder duties	
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. PREA Checklist 4. Investigative Reports <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with First Responders

2. Interviews with Random Staff

3. Interviews with Inmates who Reported Sexual Abuse

Findings (By Provision):

115.64 (a): The PAQ indicated that the agency has a first responder policy for allegations of sexual abuse and that the policy requires that, upon learning of an allegation that an inmate was sexually abused, the first security staff member to respond to the report to separate the alleged victim and abuser. It further states that the policy requires that, upon learning of an allegation that an inmate was sexually abused, the first security staff member to respond to the report to preserve and protect any crime scene until appropriate steps can be taken to collect any evidence and if the abuse occurred within a time period that still allows for the collection of physical evidence, the first security staff member to respond to the report request that the alleged victim and ensure that the alleged perpetrator not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating.

04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be immediately provided protection from the alleged abuser and the incident shall be investigated. The victim shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5 and be evaluated by mental health or a crisis intervention team member within 24 hours to assess the need for counseling services. Policy further states that staff responding to any allegation of sexual abuse shall take steps to ensure preservation of the area in which the alleged abuse occurred, including requesting the alleged victim and abuser not to take any action that may destroy physical evidence, including changing clothes, bathing, brushing teeth, urinating, defecating drinking or eating, etc. The PREA Checklist also provides staff with a checklist of duties to ensure is completed post sexual abuse allegation. The PREA Checklist includes the required first responder duties. The PAQ stated there were six allegation of sexual abuse in the previous twelve months and zero involved the immediate separation of the alleged victim and abuser. Two occurred within a time period to collect physical evidence but none of the allegations involved the collection of physical evidence by securing of the crime scene. Both however did involve requesting the victim and ensuring the abuser not take any action to destroy any evidence. The auditor requested twelve investigative reports, six of which were abuse. Four reports were provided at the issuance of the interim report, two of which were sexual abuse. One investigative report confirmed that the allegation involved the separation of the alleged victim and abuser, securing of the crime scene and notifying the victim not to take any action to destroy evidence. The victim was transported to the hospital for a forensic medical examination. The second sexual abuse allegation was reported via Warden to Warden and as such no first responder duties were necessary. The security first responder stated he would isolate the victim from the alleged perpetrator; determine if the

victim needs medical treatment; not let them shower, change their clothes, brush teeth, etc.; secure the scene; not let the alleged perpetrator do anything it destroy evidence; secure them in a holding cell; notify the supervisor and send the victim out to the hospital for a forensic examination. The non-security first responder stated that she would isolate the victim, contact security and write a report. Interviews with four inmates who reported sexual abuse indicated three were reported verbally. Two indicated they were taken to a supervisor and/or IA after reporting. One individual stated he was then taken to medical. One individual stated he was moved to another general population housing unit while the other stated he was placed in segregated housing. A third individual stated he tried to report the allegation verbally and nothing happened so he wrote a grievance and then was taken to IA and moved to a different general population housing unit. A fourth individual stated he reported via the hotline and was taken to talk to IA and then remained in the same housing unit. Three of the four indicated actions were taken quickly and appropriately.

115.64 (b): The PAQ indicated that agency policy requires that if the first staff responder is not a security staff member, that responder shall be required to request that the alleged victim not take any actions that could destroy physical evidence. It further indicated that agency policy requires that if the first staff responder is not a security staff member, that responder shall be required to notify security staff. 04.01.301, page 8 states that a member of the security staff shall be promptly notified if the staff responding is other than security staff. The PREA Checklist also provides staff with a checklist of duties to ensure is completed post sexual abuse allegation. The PREA Checklist includes the required first responder duties. The PAQ stated there were zero allegations of sexual abuse that involved a non-security staff first responder. The auditor requested twelve investigative reports, six of which were abuse. Four reports were provided at the issuance of the interim report, two of which were sexual abuse. One investigative report confirmed that the allegation involved the separation of the alleged victim and abuser, securing of the crime scene and notifying the victim not to take any action to destroy evidence. The victim was transported to the hospital for a forensic medical examination. The second sexual abuse allegation was reported via Warden to Warden and as such no first responder duties were necessary. None were reported to a non-security staff member. The security first responder stated he would isolate the victim from the alleged perpetrator; determine if the victim needs medical treatment; not let them shower, change their clothes, brush teeth, etc.; secure the scene; not let the alleged perpetrator do anything it destroy evidence; secure them in a holding cell; notify the supervisor and send the victim out to the hospital for a forensic examination. The non-security first responder stated that she would isolate the victim, contact security and write a report. The interviews with thirteen random staff confirm that staff are aware of first responder duties.

Based on a review of the PAQ, 04.01.301, investigative reports, the PREA Checklist and interviews with random staff and first responders, this standard appears to

	<p>require corrective action. The auditor requested twelve investigative reports, six of which were abuse. Four reports were provided at the issuance of the interim report, two of which were sexual abuse.</p> <p>Corrective Action</p> <p>The facility will need to provide the remaining requested investigative reports.</p> <p>Verification of Corrective Action Since the Interim Audit Report</p> <p>The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.</p> <p>Additional Documents:</p> <ol style="list-style-type: none"> Investigative Reports <p>The facility provided the originally requested investigations. These illustrated that one involved first responder duties including the immediate separation of alleged victim and abuser, securing of the scene, evidence collection and a SANE exam (instructing inmate not to take actions to destroy evidence).</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.65	Coordinated response
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> Pre-Audit Questionnaire

2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Danville Correctional Center Institutional Directive (ID) 04.01.301 Sexual Abuse and Harassment Prevention and Intervention

Interviews:

1. Interview with the Warden

Findings (By Provision):

115.65 (a): The PAQ indicated that the facility 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 facility leadership. ID 04.01.301, page 7 states that any offender who alleges to be a victim of sexual abuse shall be immediately provided protection from the alleged abuser and the incident shall be investigated. The victim shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5. The decision to collect evidence shall be made on a case-by-case basis in accordance with standard investigative procedures. The victim will be evaluated by mental health or a crisis intervention team member within 24 hours to assess the need for counseling services. Policy further states that staff responding to any allegation of sexual abuse shall take steps to ensure preservation of the area in which the alleged abuse occurred, including requesting the alleged victim and abuser not to take any action that may destroy physical evidence, including changing clothes, bathing, brushing teeth, urinating, defecating drinking or eating, etc. Pages 8-9 describe medical and mental health treatment for victims of sexual abuse, pages 9-10 describes the investigative process for allegations of sexual abuse and pages 3-6 and 11-12 describe the facility leaderships responsibilities. The Warden confirmed that the facility has an institutional plan that coordinates actions among staff first responders, medical and mental health practitioners, investigators and facility leadership.

Based on a review of the PAQ, ID 04.01.301 and information from the interview with the Warden, this standard appears to be compliant.

115.66

Preservation of ability to protect inmates from contact with abusers

	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Collective Bargaining Agreements <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Agency Head <p>Findings (By Provision):</p> <p>115.66 (a): The PAQ indicated that 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. A review of a sample of the agency's collective bargaining agreements confirm that those reviewed allowed for the removal of the alleged staff abuser. Most of the agreements indicated that a written reason for the removal, discipline or termination should be provided to the union. The interview with the Agency Head confirmed that the agency has entered into or renewed any collective bargaining agreements or other agreements since August 20, 2012. He stated that depending on the severity, the agreements allow staff to be removed from contact and/or placed on administrative leave.</p> <p>115.66 (b): The auditor is not required to audit this provision.</p> <p>Based on a review of the PAQ, a sample of collective bargaining agreements and the interview with the Agency Head, this standard appears to be compliant.</p>
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115.67	Agency protection against retaliation
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. PREA Retaliation Monitor - Staff (DOC 0499)
4. PREA Retaliation Monitor - Offender (DOC 0498)
5. Investigative Reports

Interviews:

1. Interview with the Agency Head
2. Interview with the Warden
3. Interview with Designated Staff Member Charged with Monitoring Retaliation
4. Interviews with Inmates who Reported Sexual Abuse

Findings (By Provision):

115.67 (a): The PAQ indicated that the agency has a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff. 04.01.301, pages 11-12 state that for a minimum of 90 days following the initial report of sexual abuse or harassment, the Department shall monitor the conduct and treatment of offenders or staff who reported the sexual abuse and of offenders who were reported to have suffered sexual abuse to observe if there are changes that may suggest possible retaliation by offenders or staff. Policy further states that the Department shall act promptly to remedy any such retaliation. The PAQ indicated that the agency designates staff members charged with monitoring for retaliation.

115.67 (b): 04.01.301, pages 11-12 state that for a minimum of 90 days following the initial report of sexual abuse or harassment, the Department shall monitor the conduct and treatment of offenders or staff who reported the sexual abuse and of offenders who were reported to have suffered sexual abuse to observe if there are changes that may suggest possible retaliation by offenders or staff. Offender conduct and treatment shall be documented on the PREA Retaliation Monitor - Offender, DOC 0498. The review shall include, but not be limited to, disciplinary reports, housing or programming changes and facility transfers and include periodic status checks to ensure he or she displays no changes that may suggest retaliation. Staff conduct and

treatment shall be documented on the PREA Retaliation Monitor – Staff, DOC 0499. The review shall include, but not be limited to, negative performance reviews and reassignments. The auditor requested twelve investigations, six that were sexual abuse. At the issuance of the interim report only two were provided. Of the two, one involved a victim who was housed at another facility and as such there was not monitoring documents to review. The second did not have monitoring documented as the facility deemed the investigation unfounded. A review of the investigative report indicated the investigation should not have been unfounded and monitoring should have been completed. No documentation related to protective measures was provided to the auditor. Interviews with the Agency Head, Warden and staff responsible for monitoring retaliation all indicated that protective measures would be taken if an inmate or staff member expressed fear of retaliation. The Agency Head stated that the agency has options to protect individual, including transferring an individual to another facility, removing the abuser from contact with the individual and moving staff to another post or facility. The Warden stated that the facility can take protective actions including moving the staff member, changing housing assignments, transferring facilities and providing emotional support services. The interview with the staff responsible for monitoring for retaliation indicated they can take protective measures including housing changes, facility transfers, job changes, program changes, removal of staff abusers and emotional support services. The staff stated monitoring is conducted for 90 days and staff meets with the inmate at least three times. The staff stated she makes sure they feel safe and asks about retaliation. Interviews with four inmates who reported sexual abuse indicated all four felt safe and three felt protected against retaliation. The one who stated he did not feel protected stated the staff were constantly searching him and his cell and he felt this was retaliation. There were no inmates in segregated housing for risk of victimization or for reporting sexual abuse and as such no interviews were conducted.

115.67 (c): The PAQ indicated that the agency/facility monitors the conduct or treatment of inmates or staff who reported sexual abuse and of inmates who were reported to have suffered sexual abuse to see if there are any changes that may suggest possible retaliation by inmates or staff. The PAQ stated that monitoring is completed for a minimum of 90 days. The PAQ further stated that the agency/facility acts promptly to remedy any relation and that the agency/facility continues such monitoring beyond 90 days if the initial monitoring indicates a continuing need. 04.01.301, pages 11-12 state that for a minimum of 90 days following the initial report of sexual abuse or harassment, the Department shall monitor the conduct and treatment of offenders or staff who reported the sexual abuse and of offenders who were reported to have suffered sexual abuse to observe if there are changes that may suggest possible retaliation by offenders or staff. Offender conduct and treatment shall be documented on the PREA Retaliation Monitor – Offender, DOC 0498. The review shall include, but not be limited to, disciplinary reports, housing or programming changes and facility transfers and include periodic status checks to ensure he or she displays no changes that may suggest retaliation. Policy further states that the Department shall act promptly to remedy any such retaliation. The

PAQ noted there were zero incidents of retaliation reported in the previous twelve months. The interview with the Warden indicated that if retaliation is suspected or reported they initiate an investigation. The interview with the staff member responsible for monitoring retaliation indicated that she monitors for 90 days, unless further monitoring is needed. She stated maximum time would depend on the situation but they have monitored up to 120 days. The staff further stated that during the monitoring period she looks at them physically to confirm there hasn't been physical retaliation, she listens to other inmate chatter, she monitors any changes in behavior and any disciplinary issues. She further confirmed she would review housing, work and program changes for inmates and performance reviews and post changes for staff. The auditor requested twelve investigations, six that were sexual abuse. At the issuance of the interim report only two were provided. Of the two, one involved a victim who was housed at another facility and as such there was not monitoring documents to review. The second did not have monitoring documented as the facility deemed the investigation unfounded. A review of the investigative report indicated the investigation should not have been unfounded and monitoring should have been completed.

115.67 (d): 04.01.301, pages 11-12 state that for a minimum of 90 days following the initial report of sexual abuse or harassment, the Department shall monitor the conduct and treatment of offenders or staff who reported the sexual abuse and of offenders who were reported to have suffered sexual abuse to observe if there are changes that may suggest possible retaliation by offenders or staff. Offender conduct and treatment shall be documented on the PREA Retaliation Monitor - Offender, DOC 0498. The review shall include, but not be limited to, disciplinary reports, housing or programming changes and facility transfers and include periodic status checks to ensure he or she displays no changes that may suggest retaliation. The staff member responsible for monitoring stated she conducts at least three periodic status checks during the 90 days. The auditor requested twelve investigations, six that were sexual abuse. At the issuance of the interim report only two were provided. Of the two, one involved a victim who was housed at another facility and as such there were not monitoring documents to review. The second did not have monitoring documented as the facility deemed the investigation unfounded. A review of the investigative report indicated the investigation should not have been unfounded and monitoring should have been completed.

115.67 (e): 04.01.301, page 12 states that if any other individual who cooperates with an investigation expresses a fear of retaliation, the Department shall take appropriate measures to protect the individuals against retaliation. The Agency Head stated that the same protective measures would be offered to those who cooperate with an investigation or express fear for retaliation. The Warden stated that if an individual cooperates or expresses fear of retaliation they would employ the same protective measures including: housing changes, facility transfers, removal of staff abusers and emotional support services. She stated if they suspected retaliation they

would conduct an investigation.

115.67 (f): Auditor not required to audit this provision.

Based on a review of the PAQ, 04.01.301, investigative reports, DOC 0498 and interviews with the Agency Head, Warden and staff charged with monitoring for retaliation, this standard appears require corrective action. The auditor requested twelve investigations, six that were sexual abuse. At the issuance of the interim report only two were provided. Of the two, one involved a victim who was housed at another facility and as such there were not monitoring documents to review. The second did not have monitoring documented as the facility deemed the investigation unfounded. A review of the investigative report indicated the investigation should not have been unfounded and monitoring should have been completed. No documentation related to protective measures was provided to the auditor.

Corrective Action

The facility will need to provide the requested documentation. If it is not available, the facility will need to train appropriate staff on the monitoring for retaliation process. All sexual abuse allegations during the corrective action period will need to be provided to the auditor as well as corresponding monitoring for retaliation documents.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Staff Training
2. List of Sexual Abuse Allegations During the Corrective Action Period
3. Monitoring for Retaliation Documents

	<p>The facility provided training documents confirming training that was given to staff on the process for monitoring for retaliation.</p> <p>A list of sexual abuse allegations reported during the corrective action period and associated monitoring for retaliation documents were provided. There were four sexual abuse allegations reported and all four had monitoring for retaliation completed. The monitoring included periodic status checks and the required checks under provision (d).</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.68	Post-allegation protective custody
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 05.15.100 Restrictive Housing 4. Inmate Victim Housing Assignments <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Warden 2. Interview with Staff who Supervise Inmates in Segregated Housing <p>Site Review Observations:</p> <ol style="list-style-type: none"> 1. Observations of the Segregated Housing Unit <p>Findings (By Provision):</p>

115.68 (a): The PAQ indicated that the agency has a policy prohibiting the placement of inmates who allege to have suffered sexual abuse in involuntary segregated housing unless an assessment of all available alternatives has been made and a determination has been made that there is no available alternative means of separation from likely abusers. The PAQ further indicated that if an involuntary segregated housing assignment is made, the facility affords each such inmate a review every 30 days to determine whether there is a continuing need for separation from the general population. The PAQ noted there were zero inmates who alleged sexual abuse were involuntarily segregated for zero to 24 hours or longer than 30 day. 04.01.301, page 7 states that an offender identified as vulnerable shall not be housed in a segregated status for the sole purpose of providing protective custody unless no other means of separation can be arranged. The placement shall require the approval of the Deputy Director or Agency PREA Coordinator (no designee) and shall only continue until an alternative means of separation can be provided and such placement in segregation shall not ordinarily exceed a period of 30 days. Page 9 further states that any offender who alleges sexual abuse shall have their housing needs reviewed to determine appropriate placement. If the offender is transferred to another facility, the PCM of the sending facility shall promptly notify the PCM of the receiving facility of the alleged sexual abuse or harassment to ensure the offender receives proper follow-up services. Additionally, 05.15.100, page 6 states that a Restrictive Housing Review Committee (RHRC) shall be established at each facility with restrictive housing. The committee shall review the status of each individual in custody's placement into restrictive housing every seven days for the first 60 days and at least every 30 days thereafter, unless more frequently if clinically indicated. During the tour the auditor observed that the segregated housing unit included the living area and a separate small outdoor recreation area. Individuals in custody are provided recreation and showers every other day. Phones are only accessible one time during the individual in custody's segregation time. Mail is picked up by staff daily via a locked blue box. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report only two were provided. One of the two involved an allegation that was reported via Warden to Warden and as such the victim was not at the facility. The facility did not provide housing information for the second. The interview with the Warden confirmed that agency policy prohibits placing inmates who report sexual abuse in involuntary segregated housing unless an assessment of all available alternatives has been made and it is determined that there are no alternative means of separation from likely abusers. The Warden confirmed that inmates would only be placed in involuntary segregated housing until an alternative means of separation from likely abuser(s) could be arranged. She stated they would typically put the individual in the crisis area rather than segregated housing and alternative placement would be located in less than 24 hours. The Warden stated they have not placed an alleged victim in involuntary segregated housing in the previous twelve months. The interview with the staff who supervise inmates in segregated housing confirmed that that report sexual abuse who are involuntarily segregated would have would have access to programs, privileges, education and work opportunities to the extent possible. The staff

member further confirmed that any restrictions would be documented, including the reason and duration of the restrictions. The staff who supervise inmates in segregated housing indicated that inmates would only be placed in involuntary segregated housing until they could find an alternative means of separation. The staff stated they would remain there until the investigation was complete and they were not sure the exact timeframe, but it would depend on the situation. He further indicated the individual cannot remain in segregated housing longer than 30 day for investigative purposes. The interview with the staff who supervise inmates in segregated housing confirmed that inmates would be reviewed at least every 30 days for their continued need for placement in involuntary segregated housing. He stated an individual would not remain in segregated housing longer than 30 days for investigation though. There were no inmates identified to be in segregated housing due to an allegation of sexual abuse and as such no interviews were conducted.

Based on a review of the PAQ, 04.01.301, 05.15.100, housing documentation for inmates who reported sexual abuse and the interview with the Warden and staff who supervise inmates in segregated housing, this standard appears to require corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report only two were provided. One of the two involved an allegation that was reported via Warden to Warden and as such the victim was not at the facility. The facility did not provide housing information for the second.

Corrective Action

The facility will need to provide the requested investigations as well as corresponding victim housing documents in order for the auditor to determine if additional corrective action is needed.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Investigative Reports
2. Victim Housing Documents

	<p>The facility provided the originally requested investigations and associated victim housing documents. All victims remained in the same housing unit they were in at the time of the reported allegation. This confirms none were placed in involuntary segregated housing due to a report of sexual abuse.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.71	Criminal and administrative agency investigations
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 01.12.120 Investigations of Unusual Incidents 4. Administrative Directive 01.12.101 Employee Criminal Misconduct 5. Administrative Directive 01.12.112 Preservation of Physical Evidence 6. Administrative Directive 01.12.125 Uniform Investigative Reporting System 7. Administrative Directive 01.12.115 Institutional Investigative Assignment 8. Memorandum of Understanding with the Illinois State Police/Office of Executive Inspector General 9. Investigative Reports 10. Investigative Log <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with Investigative Staff 2. Interview with the Warden 3. Interview with the PREA Coordinator

4. Interview with the PREA Compliance Manager
5. Interviews with Inmates who Reported Sexual Abuse

Findings (By Provision):

115.71 (a): The PAQ indicated that the agency/facility has a policy related to criminal and administrative agency investigations. 04.01.301, page 10 states that all allegations of sexual abuse or harassment shall be investigated by trained investigators in accordance with 01.12.120. The initial investigative report shall be provided to the Chief Administrative Officer within 24 hours of the onset of the investigation. Policy further states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. 01.12.120, page 1 states the CAO shall ensure that an internal investigation is conducted by facility staff, or by staff assigned by the Chief of Investigations and Intelligence, on each unusual incident reported, if it is determined that further facts are required. Page 2 states that the facility investigation shall include, but not be limited to: obtaining statements from all involved individuals; obtaining statements from all known and any possible witnesses; securing and preserving all weapons; securing and preserving any other evidence; determining if all policies and procedures were followed; determining the quality of offender and staff supervision; conferring with local State Attorney to determine if criminal prosecution is warranted and referring individuals to the prosecuting authority for criminal prosecution, when warranted. 01.12.101, 01.12.105, 01.12.115, 01.12.112 and 01.12.125 all outline different elements to the investigative process for the agency. The interview with the facility investigator indicated that an investigation would be initiated pretty much instantly. He stated if it happen when someone (IA) wasn't there they would look at it the next day. The agency investigator stated that investigations are initiated immediately after the allegation is received. Both investigators confirmed that third party and anonymous reports are investigated the same as first person reports. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, three were timely, objective and thorough. One sexual abuse investigation did not have a date of completion for the auditor to determine if it was timely. Additionally, the investigation was deemed unfounded as the investigators indicated it was consensual, however the interview with the inmate victim and a review of the investigative report did not indicate it was consensual. As such the auditor determined the investigation was not thorough and objective.

115.71 (b): 01.12.115, page 2 states that the CAO shall ensure that each individual appointed as an investigator be registered for the next available investigator training program within ten days of temporary or permanent assignment as an investigator.

Training topics include but are not limited to: investigative techniques, including interviewing sexual abuse victims; crime scene preservation; collection and preservation of evidence, including sexual abuse evidence collection in a confinement setting; proper use of Miranda and Garrity warnings; criteria and evidence required to substantiate a case for administrative action or prosecution referral; and investigative reporting. The agency utilizes their own training for this standard; PREA for Investigators. A review of the training curriculum confirmed slides 67-118 include the following: 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 an administrative investigation. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.

115.71 (c): 04.01.301, page 10 states that for reports of sexual abuse, the crime scene shall always be protected and investigators shall collect and tag evidence from the scene in accordance with established procedures. Evidence collected shall be submitted to the State Police within ten business days of receipt. 01.12.120, page 1 states the CAO shall ensure that an internal investigation is conducted by facility staff, or by staff assigned by the Chief of Investigations and Intelligence, on each unusual incident reported, if it is determined that further facts are required. Page 2 states that the facility investigation shall include, but not be limited to: obtaining statements from all involved individuals; obtaining statements from all known and any possible witnesses; securing and preserving all weapons; securing and preserving any other evidence; determining if all policies and procedures were followed; determining the quality of offender and staff supervision; conferring with local State Attorney to determine if criminal prosecution is warranted and referring individuals to the prosecuting authority for criminal prosecution, when warranted. 01.12.101, 01.12.105, 01.12.115, 01.12.112 and 01.12.125 all outline different elements to the investigative process for the agency. The interview with the facility investigator indicated his first steps would be gathering as much information as possible. He stated he would look at the crime scene, if there is one, and he would interview the victim. The facility investigation indicated he would then speak to any witnesses, gather all additional information, review phone records, look at GTL messages, review each individual's history and then pull it all together to determine a finding. Further, the facility investigator stated he would be responsible for collecting body fluids, bed sheets, clothing, photos, GTL messages, phone records and statements. He indicated there is no video so he can't use that to corroborate. The agency investigator stated the initial investigative step would be to gather and preserve any evidence. He further stated he would remain objective during the investigation and base credibility on a case-by-case basis. He stated he would conduct a complete and thorough investigation. This is done through gathering and preserving direct and circumstantial evidence, including physical, DNA and any available video monitoring data. He confirmed he would interview the alleged victims, suspected perpetrators and any witnesses and he would review prior complaints and reports of sexual abuse involving

the perpetrator. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, all had interviews with the alleged victim, suspect and witness(es), if applicable. Two of the four involved evidence collection (DNA and staff logs).

115.71 (d): The interview with the facility investigator indicated that if it was something involving compelled interviews he would contact his boss to determine if an outside agency needed to come in to investigate. The agency investigator confirmed that before they conduct any compelled interviews they would consult with prosecutors. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, none involved compelled interviews.

115.71 (e): 04.01.301, page 10 states that alleged victims of sexual abuse shall not be required to submit to truth telling verification examinations such as voice stress analysis or polygraph exam as part of or as a condition of the investigation. The interviews with the investigators confirmed that the agency does require inmate victims of sexual abuse to submit to a polygraph tests or any other truth-telling devices in order to proceed with an investigation. Further the facility investigator stated that credibility is based on consistency, history and evidence. The agency investigator stated that credibility is assessed on an individual basis and is not determined by an person's status. Interviews with inmates who reported sexual abuse confirmed none of the four were required to take a polygraph test.

115.71 (f): 01.12.120, page 3 states that the supervisor of the internal investigation team shall submit an initial report, verbal or written, to the CAO within 48 hours of the incident and shall submit a final written report utilizing the Report of Investigation, DOC 0262, within ten working day from the conclusion of the investigation. The interview with the facility investigator indicated he documents administrative investigations in a written report and the report includes interviews, evidence gathered, recordings and any other pertinent information to the investigation. The facility investigator stated that during his investigation he would talk to witnesses to determine if staff did what they were supposed to do and if they reported it appropriately. The agency investigator further confirmed that they would review logbooks, video and interview all parties to determine if staff actions or failure to act contributed to the abuse. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four were documented in a written report with information related to the initial allegation, a description of statements/interviews with the alleged victim, perpetrator(s) and/or witnesses, if applicable, evidence obtained/reviewed and

investigatory facts and findings. One investigation documented that staff actions contributed to the incident and three staff were disciplined for violating policy and procedure.

115.71 (g): 01.12.120, page 3 states that the supervisor of the internal investigation team shall submit an initial report, verbal or written, to the CAO within 48 hours of the incident and shall submit a final written report utilizing the Report of Investigation, DOC 0262, within ten working day from the conclusion of the investigation. The interview with the agency investigator confirmed that the criminal investigation would be documented on the DOC 0262 (Report of Investigation). The report would contain a thorough description of physical, interview and documentary evidence. He stated it would also include all attachments such as: statements, video, audio, physical, etc. The facility investigator stated that criminal investigative reports would include the same elements as an administrative report. A review of the investigative log confirmed there were zero criminal investigations completed during the previous twelve months.

115.71 (h): The PAQ indicated that substantiated allegations of conduct that appear to be criminal are referred for prosecution. 04.01.301, page 11 states that upon conclusion of the investigation, if applicable, the case shall be reviewed with the appropriate State's Attorney for possible referral for prosecution. The PAQ noted there were zero allegations referred for prosecution since the last PREA audit. The interview with the agency investigator indicated that all criminal investigations are typically referred for prosecution, especially those that are substantiated. The facility investigator stated investigation are referred for criminal prosecution when they substantiate an investigation and it meets the criteria for prosecution. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, none were referred for prosecution. The investigative log indicated two sexual harassment allegations were substantiated, but none of the sexual abuse investigations, that involved any criminal elements, were substantiated.

115.71 (i): The PAQ indicated that 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. A review of a sample of historic investigations confirmed retention is being met.

115.71 (j): The interview with the facility investigator confirmed that if a staff member terminates employment or an inmate departs the facility that the investigation would

continue. He stated they would do their best to finish the investigation and they would attempt to reach out to those individuals in the community. The interview with the agency investigator confirmed that an individual in custody being released or an employee separating from the agency has no bearing on the investigation and it would proceed accordingly.

115.71 (k): The auditor is not required to audit this standard.

115.71 (l): 04.01.301 states that upon conclusion of the investigation the results shall be forwarded to the Chief of Operations who shall report the incident to the Illinois State Police, where appropriate. Additionally, the MOU with the Illinois State Police (signed in 2019) indicates that they conduct investigations related to sexual assault involving staff on staff or staff on inmate. The PREA Coordinator stated that cases which are referred to the Illinois State Police are assigned an external investigator from IDOC's Office of Investigations & Intelligence. The IDOC external investigator would ensure updates are provided to the facility and PREA Coordinator, as appropriate. The interview with the Warden indicated that Internal Affairs and Intel would communicate with the outside agency and keep her informed of the progress. The PCM stated that the outside agency would meet with the Warden. The interview with the facility investigator indicated when an outside agency investigates he will assist with whatever they need, like GTL messages, phone calls, interviews, etc. The agency investigator stated that he fully cooperates with the outside investigator and stays informed of the progress of their investigation.

Based on a review of the PAQ, 04.01.310, 01.12.101, 01.12.112, 01.12.115, 01.12.120, 01.12.125, the MOU with the State Police, investigative reports, investigative training records and information from interviews with the Warden, PREA Coordinator, PREA Compliance Manager and investigator, indicate that this standard appears to require corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the two, three were timely, objective and thorough. One sexual abuse investigation did not have a date of completion for the auditor to determine if it was timely. Additionally, the investigation was deemed unfounded as the investigators indicated it was consensual, however the interview with the inmate victim and a review of the investigative report did not indicate it was consensual. As such the auditor determined the investigation was not thorough and objective. The auditor requested documentation related to the investigators with specialized training, however at the issuance of the interim report the documentation had not yet been received.

Corrective Action

The facility will need to provide the requested investigations as well as specialized investigator training records. The facility will also need to provide clarification on the one investigation deemed inadequate. Once information is received the auditor will determine if additional corrective action is needed, including training for investigative staff.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Investigative Reports
2. Memorandum Related to Internal Affairs Lieutenant
3. List of Sexual Abuse and Sexual Harassment Allegations Reported During the Corrective Action Period
4. Memorandum Related to Credibility Assessments and Review of Prior Complaints
5. Investigator Training Records

The facility provided the originally requested investigative reports. A review of the investigations indicated they were not thorough and were lacking details related to interviews, evidence, etc. Additionally, the auditor identified that investigative outcomes were not appropriate as well based on information. As such, further corrective action was needed.

A list of sexual abuse allegations reported during the corrective action period and associated investigative reports were provided. The auditor viewed that they contained more detail and were more thorough than the prior investigations, however they were all missing information on review of prior complaints.

	<p>A memo was provided by the facility indicating the they did not have a current facility investigator. The facility investigators that completed the reviewed investigations were no longer facility investigators. The memo advised that they would train the future facility investigator on the investigative requirements, including review of prior complaints, once hired. The PC provided further information that the facility would utilize the agency external investigators for all sexual abuse and sexual harassment investigations until appropriate training could be conducted.</p> <p>The PC provided a training memo that was sent out to all Internal Affairs (facility) investigators on December 22, 2023 that provided information on credibility assessments and the need to review and document prior complaints.</p> <p>The facility provided the originally requested specialized training documents. All investigators that completed the reviewed investigations were documented with the specialized training.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.72	Evidentiary standard for administrative investigations
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Prison Rape Elimination Act (PREA) for Investigators Training Curriculum 4. Investigative Reports <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with Investigative Staff

Findings (By Provision):

115.72 (a): The PAQ stated that 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. 04.01.301, page 10 states that the Department shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated. Additionally, the PREA for Investigators Training Curriculum includes information on the elements to substantiate an investigation (preponderance of evidence). The interviews with the investigators confirmed that administrative investigations require no more than a preponderance of evidence to substantiate. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, one was substantiated, one was unfounded and two were substantiated. The auditor confirmed that the investigators did not utilize a higher standard of evidence than a preponderance of the evidence. It should be noted that one investigation was deemed unfounded and the auditor determined this was not the appropriate outcome.

Based on a review of the PAQ, 04.01.301, PREA Investigators Training Curriculum, investigative reports and information from the interview with the investigator, it is determined that this standard appears to require corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). Of the four, one was substantiated, one was unfounded and two were substantiated. The auditor confirmed that the investigators did not utilize a higher standard of evidence than a preponderance of the evidence. It should be noted that one investigation was deemed unfounded and the auditor determined this was not the appropriate outcome.

Corrective Action

The facility will need to provide the requested investigations. The facility will also need to provide clarification on the one investigation deemed inadequate. Once information is received the auditor will determine if additional corrective action is needed, including training for investigative staff.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Investigative Reports
2. Memorandum Related to Internal Affairs Lieutenant
3. List of Sexual Abuse and Sexual Harassment Allegations Reported During the Corrective Action Period

The facility provided the originally requested investigative reports. A review of the investigations indicated they were not thorough and were lacking details related to interviews, evidence, etc. Additionally, the auditor identified that investigative outcomes were not appropriate as well based on information. As such, further corrective action was needed.

A memo was provided by the facility indicating they did not have a current facility investigator. The facility investigators that completed the reviewed investigations were no longer facility investigators. The memo advised that they would train the future facility investigator on the investigative requirements, including review of prior complaints, once hired. The PC provided further information that the facility would utilize the agency external investigators for all sexual abuse and sexual harassment investigations until appropriate training could be conducted.

A list of sexual abuse allegations reported during the corrective action period and associated investigative reports were provided. The auditor viewed that there were six total allegations (four sexual abuse and two sexual harassment), five were unsubstantiated and one was substantiated. All had appropriate outcomes based on a preponderance of the evidence.

Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.

Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)
4. Investigative Reports
5. Victim Notification Memorandums

Interviews:

1. Interview with the Warden
2. Interview with Investigative Staff
3. Interviews with Inmates who Reported Sexual Abuse

Findings (By Provision):

115.73 (a): The PAQ indicated that the agency has a policy requiring that any inmate who makes an allegation that he or she suffered sexual abuse in an agency facility is informed, verbally or in writing, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation by the agency. 04.01.301, page 10 states that the alleged victim will be notified, in writing, of the outcome of the investigation. The PAQ stated there were 23 completed sexual abuse investigation in the previous twelve months and all 23 had a verbal or written victim notification. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). The two sexual abuse allegations did not have any documentation related to a victim notification. It should be noted that one was reported at another IDOC facility and as such the facility could not directly notify the inmate. The facility should have documentation though provided to the other facility to inform the inmate. The interviews with the Warden and the investigators confirm that inmates are informed of the outcome of the investigation into their allegation. Interviews with inmates who reported sexual abuse indicated one was aware he should be notified of the outcome

of the investigation. Two stated they had not received any information related to the outcome of the investigation. One individual stated he was told verbally about 30 days after the report and the fourth individual stated he was provided a paper with the outcome two weeks after reporting.

115.73 (b): The PAQ indicate that if an outside entity conducts such investigations, the agency requests the relevant information from the investigative entity in order to inform the inmate of the outcome of the investigation. The PAQ stated there were zero investigations completed by an outside agency in the previous twelve months. 04.01.301, page 10 states that the alleged victim will be notified, in writing, of the outcome of the investigation. A review of the investigative log confirmed there were zero investigations completed by an outside agency and as such no notifications under this provision were required.

115.73 (c): The PAQ indicated following an inmate's allegation that a staff member has committed sexual abuse against the inmate, the agency/facility subsequently informs the inmate (unless the agency has determined that the allegation is unfounded) whenever: the staff member is no longer posted within the inmate's unit; the staff member is no longer employed at the facility; the agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility. Additionally, the PAQ indicated that there has not been a substantiated or unsubstantiated complaint (i.e., not unfounded) of sexual abuse committed by a staff member against an inmate in an agency facility in the past 12 months. The PREA Manual, page 40 states that following an inmate's allegation that a staff member has committed sexual abuse against the inmate, the agency shall subsequently inform the inmate (unless the agency has determined that the allegation is unfounded) whenever: the staff member is no longer posted within the inmate's unit; the staff member is no longer employed at the facility; the agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility. The PREA Manual further states that an assessment shall be completed to determine if actions described above are warranted in accordance with section 115.65. The actions may not be appropriate in all cases. Offenders shall be notified only if there is a link between the listed actions in this section and an incident of sexual abuse. The timing of such notifications shall not interfere with any pending criminal or administrative investigations. Interviews with inmates who reported sexual abuse indicated two of the four had an allegation against a staff member. The inmates advised they were not informed anything about the staff member under this provision. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). A review of the investigative log indicated there were two sexual harassment investigations deemed substantiated, but neither involved a staff

member being move, terminated, convicted or indicted.

115.73 (d): The PAQ indicated following an inmate's allegation that he or she has been sexually abused by another inmate in an agency facility, the agency subsequently informs the alleged victim whenever: the agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility. The PREA Manual, page 40 states that following an inmate's allegation that he or she has been sexually abused by another inmate, the agency shall subsequently inform the alleged victim whenever: the agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility. Interviews with inmates who reported sexual abuse indicated two were inmate-on-inmate allegations. Both stated that they had not been notified of anything related to the other inmate under this provision. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). A review of the investigative log indicated there were two sexual harassment investigations deemed substantiated, but neither involved an inmate being convicted or indicted.

115.73 (e): The PAQ indicated the agency has a policy that all notifications to inmates described under this standard are documented. 04.01.301, page 10 states that the alleged victim will be notified, in writing, of the outcome of the investigation. The PAQ stated there were 22 notifications made pursuant to this standard. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). The two sexual abuse allegations did not have any documentation related to a victim notification. It should be noted that one was reported at another IDOC facility and as such the facility could not directly notify the inmate. The facility should have documentation though provided to the other facility to inform the inmate.

115.73 (f): This provision is not required to be audited.

Based on a review of the PAQ, 04.01.301, the PREA Manual, investigative reports, victim notification memos and information from interviews with the Warden and the investigator indicate that this standard requires corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). The two sexual abuse

allegations did not have any documentation related to a victim notification. It should be noted that one was reported at another IDOC facility and as such the facility could not directly notify the inmate. The facility should have documentation though provided to the other facility to inform the inmate.

Corrective Action

The facility will need to provide the requested victim notifications as well as the remaining investigative reports and associated victim notifications. If the documentation is not available, the facility will need to ensure appropriate staff are educated on the victim notification process. All sexual abuse allegation reported during the corrective action period will need to be provided as well as the corresponding victim notifications.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Investigative Reports
2. List of Sexual Abuse Allegations During the Corrective Action Period
3. Victim Notifications
4. Staff Training

The facility provided the originally requested investigative reports. Of the six total sexual abuse allegations, four had a victim notification. One was not at the facility when the allegation was made and one was not provided to the auditor. A review of the notifications indicated three of the four had notifications made months after the investigation was completed.

The facility provided the list of sexual abuse allegations during the corrective action period and the associated victim notifications. All four sexual abuse allegations had

	<p>victim notification documented. Three of the four were months after the investigation was completed. While the standard does not outline a timeframe for victim notification, the auditor advised the facility that timely notifications are required.</p> <p>The facility provided staff training that was completed on the policy and procedure related to victim notifications under this standard and the need for timely notifications (i.e. within 30 days of the conclusion of the investigation).</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.76	Disciplinary sanctions for staff
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Administrative Directive 03.01.120 Employee Review Hearing 4. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual) 5. Investigative Reports 6. Investigative Log <p>Findings (By Provision):</p> <p>115.76 (a): The PAQ indicated that staff is subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies. 04.01.301, page 11 states that all terminations for violating the 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</p>

bodies. The PREA Manual, page 41 states that staff shall be subject to disciplinary sanctions up to and including termination for violating agency sexual abuse and sexual harassment policies. A review of investigative log and investigative reports confirmed there was one substantiated staff on inmate sexual harassment allegation. Three staff were disciplined, not terminated. One was disciplined for the sexual harassment (standard of conduct), while two others were disciplined for failure to report and lying.

115.76 (b): The PREA Manual, page 41 states termination shall be the presumptive disciplinary sanction for staff who have engaged in sexual abuse. It further states that administrative discipline shall be conducted using the Employee Review Hearing Process and the collective bargaining agreement. Any decision made on the proposal shall be in accordance with all applicable laws, rules and regulations. The PAQ indicated there were zero staff members who violated the sexual abuse or sexual harassment policies in the previous twelve months and zero staff members who was terminated (or resigned prior to termination) for violating the agency's sexual abuse or sexual harassment policies. A review of investigative log and investigative reports confirmed there was one substantiated staff on inmate sexual harassment allegation. Three staff were disciplined, not terminated. One was disciplined for the sexual harassment (standard of conduct), while two others were disciplined for failure to report and lying.

115.76 (c): The PAQ indicated that 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. The PAQ indicated there were zero staff that were disciplined short of termination for violating the sexual abuse or sexual harassment policies. The PREA Manual, page 41 states that disciplinary sanctions for violations of agency policy relating to sexual abuse or sexual harassment 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. 03.01.120 further describes the employee disciplinary review process. A review of investigative log and investigative reports confirmed there was one substantiated staff on inmate sexual harassment allegation. Three staff were disciplined, not terminated. One was disciplined for the sexual harassment (standard of conduct), while two others were disciplined for failure to report and lying.

115.76 (d): The PAQ indicated that 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.

	<p>04.01.301, page 11 states that all terminations for violating the 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. The PAQ indicated there were no staff members who were reported to law enforcement or licensing boards following their termination (or resignation prior to termination) for violating agency sexual or sexual harassment policies. A review of investigative log and investigative reports confirmed there was one substantiated staff on inmate sexual harassment allegation. Three staff were disciplined, not terminated. One was disciplined for the sexual harassment (standard of conduct), while two others were disciplined for failure to report and lying.</p> <p>Based on a review of the PAQ, 04.01.301, 03.01.120, the PREA Manual, the investigative log and investigative reports, this standard appears to be compliant.</p>
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115.77	Corrective action for contractors and volunteers
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Investigative Reports 4. Investigative Log <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Warden <p>Findings (By Provision):</p> <p>115.77 (a): The PAQ indicated that 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 and that</p>

any contractor or volunteer who engages in sexual abuse be prohibited from contact with inmates. 04.01.301, page 11 states that any contractor or volunteer who engages in sexual abuse shall be prohibited from contact with offenders and shall be reported to law enforcement agencies unless the activity was clearly not criminal, and to relevant licensing bodies. The PAQ indicated that there have been no contractors or volunteers who violated the sexual abuse or sexual harassment policies within the previous twelve months and as such none were reported to law enforcement or relevant licensing bodies. A review of the investigative log and investigative reports confirmed there were zero contractors or volunteers who violated the agency's sexual abuse or sexual harassment policies.

115.77 (b): The PAQ indicated that the facility takes appropriate remedial measures and considers whether to prohibit further contact with inmates in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer. 04.01.301, page 11 states that any contractor or volunteer who engages in sexual abuse shall be prohibited from contact with offenders and shall be reported to law enforcement agencies unless the activity was clearly not criminal, and to relevant licensing bodies. The interview with the Warden indicated that if a volunteer or contractor violated the sexual abuse and/or the sexual harassment policies they would contact IA to conduct an investigation and she would also contact the Deputy on direction on how long to keep the volunteer or contractor out of the facility and what to do during the investigation, pending the outcome. She confirmed they would prohibit contact with inmates while the individual was under investigation.

Based on a review of the PAQ, 04.01.301, investigative log, investigative reports and information from the interview with the Warden, this standard appears to be compliant.

115.78	Disciplinary sanctions for inmates
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Illinois Administrative Code 20.504 4. PREA Sexual Abuse and Harassment Prevention and Intervention Program

Manual (PREA Manual)

5. Investigative Reports

Interviews:

1. Interview with the Warden
2. Interviews with Medical and Mental Health Staff

Findings (By Provision):

115.78 (a): The PAQ indicated that inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following an administrative finding and/or a criminal finding that an inmate engaged in inmate-on-inmate sexual abuse. 04.01.301, page 10 states that upon conclusion of the investigation disciplinary reports shall be completed, served and processed, where warranted. 20.504, page 2 states that no offender shall be found guilty of any violation without a hearing before the Adjustment Committee or Program Unit. 20.504 further describes the formal disciplinary process required. The PAQ stated there were zero administrative finding of inmate-on-inmate sexual abuse and zero criminal findings of inmate-on-inmate sexual abuse. A review of the investigative log and investigative reports indicated there were zero substantiated inmate-on-inmate sexual abuse allegations. The auditor did observe that there was one substantiated inmate-on-inmate sexual harassment investigation. The auditor requested information on the investigative report, however at the issuance of the interim report the auditor had not yet received the documentation.

115.78 (b): 20.507, pages 2-3 stated that in determining the appropriate sanctions, the Adjustment Committee or Program Unit, the CAO and the Director shall consider, among other matters, mitigating or aggravating factors including; the offenders age, medical and mental health state, if the offender was determined to be mentally ill, the extent and degree of participation in the commission of the offense and the offender's prior disciplinary record. The interview with the Warden indicated if an individual in custody violates the sexual abuse or sexual harassment policies they would be charged with sexual misconduct or insolence. She indicated sanctions can include a loss of privileges, restrictive housing time and change in grade. The Warden confirmed that sanctions are consistent in the disciplinary process and that sanctions would be commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories.

115.78 (c): 20.507, pages 2-3 stated that in determining the appropriate sanctions, the Adjustment Committee or Program Unit, the CAO and the Director shall consider, among other matters, mitigating or aggravating factors including; the offenders age, medical and mental health state, if the offender was determined to be mentally ill, the extent and degree of participation in the commission of the offense and the offender's prior disciplinary record. The interview with the Warden confirmed that the disciplinary process considers whether the inmate's mental disabilities or mental illness contributed to his or her behavior when determining what type of sanction, if any, should be imposed.

115.78 (d): The PAQ indicated the facility does not offer therapy, counseling, or other interventions designed to address and correct the underlying reasons or motivations for abuse. It further stated the sex offender therapy is offered at Taylorville and Big Muddy River Correctional Centers. Interviews with medical and mental health staff indicated that they do not have sex offender treatment at the facility and as such do not provide those types of services.

115.78 (e): The PAQ indicated that the agency disciplines inmates for sexual conduct with staff only upon finding that the staff member did not consent to such contact.

115.78 (f): The PAQ indicated that the agency prohibits disciplinary action for a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred, even if an investigation does not establish evidence sufficient to substantiate the allegation. The PREA Manual, page 42 states that the maintenance of an effective sexual abuse prevention policy, and general secure and orderly running of a facility, requires that offenders be held responsible for manipulative behavior and intentionally making false allegations. Allegations of false reports shall be considered by staff in accordance with the procedures and standards found within Illinois Administrative Code 507, Administration of Discipline. A review of documentation indicated that the facility deemed an allegation of inmate-on-inmate sexual abuse consensual and both inmates were disciplined for consensual sexual activity. During the review the auditor determined that based on the information provided in the investigation the determination of consensual sexual activity was not supported.

115.78 (g): The PAQ indicated that the agency prohibits all sexual activity between inmates. It further indicated that if the agency prohibits all sexual activity between inmates and disciplines inmates for such activity, the agency deems such activity to constitute sexual abuse only if it determines that the activity is coerced. A review of

documentation indicated that the facility deemed an allegation of inmate-on-inmate sexual abuse consensual and both inmates were disciplined for consensual sexual activity.

Based on a review of the PAQ, 04.01.301, 20.507, the PREA Manual, investigative reports and information from interviews with the Warden and medical and mental health care staff, this standard appears to require corrective action. A review of documentation indicated that the facility deemed an allegation of inmate-on-inmate sexual abuse consensual and both inmates were disciplined for consensual sexual activity. During the review the auditor determined that based on the information provided in the investigation the determination of consensual sexual activity was not supported.

Corrective Action

The facility will need to provide additional information related to the investigation deemed consensual sexual activity. If documentation is not available, the facility will need to remove the discipline issues to the victim and provide confirmation. The facility will then need to train appropriate staff, to include investigators on the prohibition of disciplining individuals for filing sexual abuse made in good faith. A copy of the training will need to be provided. Sexual abuse investigations made during the corrective action period will need to be provided to the auditor as well as any corresponding discipline.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. Updated Information on Sexual Abuse Allegation
2. Investigative Report

The facility provided updated information that contradicted the information contained

	<p>in the investigative report. The information indicated that the alleged inmate victim advised the activity was consensual. The auditor advised that this information should have been included in the investigative report and is addressed under 115.71.</p> <p>The facility also provided the investigative report for the substantiated inmate-on-inmate sexual harassment allegation. The inmate perpetrator was disciplined under policy and procedure related to sexual harassment.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.81	Medical and mental health screenings; history of sexual abuse
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Standard Operating Procedural (SOP) Manual for Mental Health 4. Screening for Potential Sexual Victimization or Sexual Abuse (DOC 0494) 5. Medical/Mental Health Documents <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with Staff Responsible for Risk Screening 2. Interviews with Medical and Mental Health Staff 3. Interviews with Inmates who Disclose Sexual Victimization at Risk Screening <p>Site Review Observations:</p> <ol style="list-style-type: none"> 1. Observations of Risk Screening Area 2. Observation of Inmate Medical and Classification Files

Findings (By Provision):

115.81 (a): The PAQ indicated that all inmates at this facility who have disclosed any prior sexual victimization during a screening pursuant to §115.41 are offered a follow-up meeting with a medical or mental health practitioner and the follow-up meeting was offered within fourteen days. The PAQ further indicated that medical and mental health staff maintain secondary materials (e.g., form, log) documenting compliance with the above required services. 04.01.301, page 6 states that if it is determined that the offender was previously a victim of sexual abuse, the facility PCM shall notify medical and mental health staff within fourteen days of the screening. The PAQ noted that 100% of those inmates who reported prior victimization were seen within fourteen days by medical or mental health. The interview with the staff responsible for the risk screening indicated that inmates are offered a follow-up with mental health care staff. The risk screening staff (who was mental health) stated she would put the individual on the case load and see them at least once a month. Interviews with three inmates who disclosed sexual victimization during the risk screening indicated all three were offered a follow-up with medical or mental health care staff. One inmate stated he declined services while the other two saw mental health. One individual stated he did not disclose the risk to staff but did see mental health about it. The auditor requested documentation for six inmates identified with disclosing prior sexual victimization during the risk screening. Four of the inmates declined services when offered the mental health follow-up while two accepted services. At the issuance of the interim report the facility had not provided documentation confirming the two that accepted were provided follow-up services within fourteen days.

115.81 (b): The PAQ indicated that all prison inmates who have previously perpetrated sexual abuse, as indicated during the screening pursuant to § 115.41, are offered a follow-up meeting with a mental health practitioner and the follow-up meeting was offered within fourteen days. The PAQ further indicated that medical and mental health staff maintain secondary materials (e.g., form, log) documenting compliance with the above required services. 04.01.301, page 7 states that if it is determined that the offender previously perpetrated sexual abuse, the facility PCM shall notify mental health staff within fourteen days of the screening. The PAQ noted that 100% of those inmates who reported prior perpetration were seen within fourteen days by medical or mental health. The interview with the staff responsible for the risk screening indicated that inmates are offered a follow-up with mental health care staff. The risk screening staff (who was mental health) stated she would put the individual on the case load and see them at least once a month. During documentation review the auditor identified three inmates who were identified with prior sexual abusiveness. All three were offered a follow-up with mental health, two of which declined. At the issuance of the interim report the facility had not provided documentation confirming the one inmate who accepted services was provided a

follow-up with mental health within fourteen days.

115.81 (c): The facility is not a jail and as such this provision does not apply.

115.81 (d): The PAQ indicated that information related to sexual victimization or abusiveness that occurred in an institutional setting is not strictly limited to medical and mental health practitioners, however it stated that the information is only shared with staff to assist with security and management decisions. 04.01.301, page 5 states that access to information related to sexual abuse occurring in an correctional setting shall be treated as confidential and limited to staff directly related to the assessment, treatment, placement or investigations of the offender to the extent possible when ensuring the safety and security of the offender. Medical and mental health records are all paper and the records area is staffed 7am-4pm Monday through Friday. The records door is locked when not staffed and only medical and mental health care staff have access to the room. Records staff stated that security staff only have access to medical and mental health records for audit purposes and a records staff member has to be present with them. Risk screening information is maintained in the electronic Offender 360 program and in the master file. The auditor had a security staff member pull up the electronic system to see what was able to be viewed. The staff was able to view the questions and responses on each inmate's risk assessment. The auditor observed that the inmate records room is staffed Monday through Friday during officer hours. The master file is available to anyone with a need to know during those hours (have to request it through records staff and have a reason for the request). After hours the door is locked and only administrative staff have access. Investigative files are paper and electronic. Only investigative staff have access to the investigations in the electronic database. Paper files are maintained in the Warden's locked conference room.

15.81 (e): The PAQ indicated that medical and mental health practitioners obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of eighteen. 04.01.301, page 5 states that informed consent shall be required before utilizing information regarding a sexual victimization that occurred outside of a correctional setting. The SOP Manual for Mental Health, page 46 clinicians should clearly specify any limits of confidentiality. Offender disclosures are considered to be confidential and privileged with the following exceptions: threats to physically harm self-and/or others, threats to escape or otherwise disrupt or breach the security of the institution and information about an identifiable minor child or elderly/disabled person who has been the victim of physical or sexual abuse. Interviews with medical and mental health staff indicated that they obtain informed consent prior to reporting any sexual abuse that did not occur in an institutional setting. Both staff stated they do not house anyone under eighteen.

Based on a review of the PAQ, 04.01.301, SOP Manual for Mental Health, DOC 0494, medical and mental health documents, information from interviews with staff who perform the risk screening, medical and mental health care staff and inmates who disclosed victimization during the risk screening indicate that this standard requires corrective action. The auditor requested documentation for six inmates identified with disclosing prior sexual victimization during the risk screening. Four of the inmates declined services when offered the mental health follow-up while two accepted services. At the issuance of the interim report the facility had not provided documentation confirming the two that accepted were provided follow-up services within fourteen days. During documentation review the auditor identified three inmates who were identified with prior sexual abusiveness. All three were offered a follow-up with mental health, two of which declined. At the issuance of the interim report the facility had not provided documentation confirming the one inmate who accepted services was provided a follow-up with mental health within fourteen days. Risk screening information is maintained in the electronic Offender 360 program and in the master file. The auditor had a security staff member pull up the electronic system to see what was able to be viewed. The staff was able to view the questions and the response of each inmate's risk assessment.

Corrective Action

The facility will need to provide the requested mental health documentation. If it is not available, the facility will need to provide a list of those who disclose prior victimization and those identified with prior sexual abusiveness during the corrective action plan and their corresponding mental health follow-ups. Additionally, the facility will need to provide a random sample of risk assessments for those received during the corrective action period and any corresponding mental health follow-ups. Further the facility will need to make appropriate modifications to limited the access to the risk screening information to those with a need to know. Confirmation of the restriction will need to be provided.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. List of Inmates Arrived During Corrective Action Period
2. Mental Health Documentation
3. Offender 360 Restricted Access Documentation
4. Staff Training

The facility did not provide the originally requested documents. Rather, the facility provided a list of inmates that arrived during the corrective action period. A review of a systematic sample indicated there were eight inmates that disclosed prior sexual victimization. All eight were offered a mental health follow-up. Six of the eight accepted the mental health services. Three of the six were provided the follow-up within fourteen days. Further examples were provided during the corrective action period for three inmates identified with prior sexual victimization that accepted mental health services. All three were seen by mental health within fourteen days.

A review of documents identified one inmate with prior sexual abusiveness. The inmate was offered mental health services, accepted the services and was seen within fourteen days. Two additional inmates identified with prior sexual abusiveness that accepted a mental health follow-up were provided. Both were seen by mental health within fourteen days.

The facility provided training documents confirming staff received and understood policies and procedures for mental health follow-ups due to disclosure of prior sexual victimization and/or identified with prior sexual abusiveness during the risk screening. The training went over the fourteen day follow-up timeframe requirement.

The facility provided documentation indicating that the agency implemented security roles for the Offender 360 risk screening information. The agency restricted access to only a few security roles and all other staff are required to request access to the risk screening information through the agency PC. The PC also provided screenshots of different staff's views in Offender 360. The auditor confirmed the staff did not have access to the risk screening.

Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.

Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Medical and Mental Health Documents

Interviews:

1. Interviews with Medical and Mental Health Staff
2. Interviews with First Responders
3. Interviews with Inmates who Reported Sexual Abuse

Site Review Observations:

1. Observations of Medical and Mental Health Areas

Findings (By Provision):

115.82 (a): The PAQ indicated that inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services and that the nature of scope of services are determined by medical and mental health practitioners according to their professional judgment. The PAQ further indicates that medical and mental health staff maintain secondary materials (e.g., form, log) documenting the timeliness of emergency medical treatment and crisis intervention services that were provided; the appropriate response by non-health staff in the event health staff are not present at the time the incident is reported; and the provision of appropriate and timely information and services concerning contraception and sexually transmitted infection prophylaxis. 04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5 and shall be evaluated by mental health services or a crisis intervention team member within 24 hours to assess the need for counseling services. During the tour, the auditor observed that health services included a small reception area with benches, exam rooms, treatment rooms, an emergency room and

an infirmary. Exam and treatment rooms provided privacy through doors with windows and curtains. The emergency room was a larger room with a door and privacy curtains. Interviews with medical and mental health care staff confirmed that inmates receive timely and unimpeded access to emergency medical treatment and crisis intervention service. Both staff stated that services would be provided immediately (as soon as it is reported). Staff confirmed that services would be based on their professional judgment (or the doctors professional judgement). Interviews with inmates who reported sexual abuse indicated all four were provided medical and mental health services. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four victims were documented with medical and mental health services.

115.82 (b): 04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5 and shall be evaluated by mental health services or a crisis intervention team member within 24 hours to assess the need for counseling services. Page 9 (Paragraph II.G.5) further states that treatment shall be provided by a certified SAFE or SANE at a local emergency room and that the medical examination provided by Department facilities shall include a general physical examination for recent sexual abuse. The security first responder stated he would isolate the victim from the alleged perpetrator; determine if the victim needs medical treatment; not let them shower, change their clothes, brush teeth, etc.; secure the scene; not let the alleged perpetrator do anything that destroy evidence; secure them in a holding cell; notify the supervisor and send the victim out to the hospital for a forensic examination. The non-security first responder stated that she would isolate the victim, contact security and write a report.

115.82 (c): The PAQ indicated that inmate victims of sexual abuse while incarcerated are offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate. 04.01.301, page 9 states that a general physical examination for recent sexual abuse shall include, but not be limited to: a blood test (RPR for Syphilis); culture smears for seminal fluid, Gonorrhea, Chlamydia and other Sexually Transmitted Diseases (STD) as appropriate; Hepatitis C antibody test and Hepatitis B surface antigen and antibody blood test and an HIV test and counseling shall be offered. Interviews with medical and mental health care staff confirm that inmates receive timely information and access to emergency contraception and sexually transmitted infection prophylaxis. The interviews with inmates who reported sexual abuse indicated one involved penetration or touching that would require information and access to sexually transmitted infection prophylaxis. The individual stated these services were provided at the hospital. The auditor requested twelve investigative reports, six of which were sexual abuse, and

corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). One of the sexual abuse allegations involved penetration. The auditor did not receive documentation related to information and access to sexually transmitted infection prophylaxis.

115.82 (d): The PAQ indicated that 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. 04.01.301, page 9 states that offenders shall not be charged a co-payment for medical treatment, including forensic medical examinations, obtained for alleged sexual abuse.

Based on a review of the PAQ, 04.01.301, medical and mental health documents and information from interviews with medical and mental health care staff indicate that this standard appears to require corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). One of the sexual abuse allegations involved penetration. The auditor did not receive documentation related to information and access to sexually transmitted infection prophylaxis.

Corrective Action

The facility will need to provide the requested investigative reports and corresponding medical and mental health documents. Additionally, the facility will need to provide documentation related to sexually transmitted infection prophylaxis for any victims alleging sexual abuse that involve penetration. If documentation is not available, the facility will need to provide all sexual abuse allegations during the corrective action period and associated medical and mental health documentation. Further the facility will need to train appropriate staff on services and provide a copy of the training.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

	<p>Additional Documents:</p> <ol style="list-style-type: none"> 1. Investigative Reports 2. Mental Health Documentation <p>The facility provided the originally requested investigative reports and associated medical and mental health documents. All sexual abuse victims were provided medical and mental health services. Two of the inmates had an allegation involving penetration and both were provided prophylaxis.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.83	Ongoing medical and mental health care for sexual abuse victims and abusers
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual) 4. Medical and Mental Health Documents <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interviews with Medical and Mental Health Staff 2. Interviews with Inmates who Reported Sexual Abuse <p>Site Review Observations:</p> <ol style="list-style-type: none"> 1. Observations of Medical Treatment Areas

Findings (By Provision):

115.83 (a): The PAQ indicated the facility offers medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility. 04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5 and shall be evaluated by mental health services or a crisis intervention team member within 24 hours to assess the need for counseling services. Additionally, 04.01.301, page 6 states that if it is determined that the offender was previously a victim of sexual abuse, the facility PCM shall notify medical and mental health staff within fourteen days of the screening. During the tour, the auditor observed that health services included a small reception area with benches, exam rooms, treatment rooms, an emergency room and an infirmary. Exam and treatment rooms provided privacy through doors with windows and curtains. The emergency room was a larger room with a door and privacy curtains. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four victims were documented with medical and mental health services. The auditor requested documentation for six inmates identified with disclosing prior sexual victimization during the risk screening. Four of the inmates declined services when offered the mental health follow-up while two accepted services. At the issuance of the interim report the facility had not provided documentation confirming the two that accepted were provided follow-up services within fourteen days.

115.83 (b): 04.01.301, page 8 states that any offender who alleges to be a victim of sexual abuse shall be referred to health services for examination, treatment and evidence collection in accordance with Paragraph II.G.5 and shall be evaluated by mental health services or a crisis intervention team member within 24 hours to assess the need for counseling services. Interviews with inmates who reported sexual abuse indicated three were provided follow-up services with medical and/or mental health. Interviews with medical and mental health care staff confirmed that they provide on-going and follow-up services to inmate victims of sexual abuse. A few of the services include prophylaxis, testing, contact information for the local support services, talk therapy and additional treatment plans. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four victims were documented with medical and mental health services.

115.83 (c): The facility provides access to medical and mental health staff on-site and also transports inmates to the local hospital for treatment that is not available at the facility. All medical and mental health care staff are required to have the appropriate licensure and credentials. Interviews with medical and mental health care staff confirm that the services they provide are consistent with the community level of care. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four victims were documented with medical and mental health services.

115.83 (d): The PAQ updated information indicated this provision does not apply as the facility does not house female inmates. 04.10.301, page 10 states female victims of sexual abusive vaginal penetration while incarcerated shall be offered pregnancy tests. If pregnancy results from the sexual abuse, such victims shall receive timely and comprehensive information about and timely access to all lawfully pregnancy-related medical services.

115.83 (e): The PAQ updated information indicated that this provision does not apply as the facility does not house female inmates. 04.10.301, page 10 states female victims of sexual abusive vaginal penetration while incarcerated shall be offered pregnancy tests. If pregnancy results from the sexual abuse, such victims shall receive timely and comprehensive information about and timely access to all lawfully pregnancy-related medical services. The PREA Manual, page 45 states that if pregnancy results from the conduct described in paragraph (d) of this section (sexually abusive vaginal penetration), such victims shall receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services. It further states that Department healthcare providers shall deliver comprehensive prenatal counseling and care for pregnant female offenders.

115.83 (f): The PAQ indicated that inmate victims of sexual abuse while incarcerated are offered tests for sexually transmitted infections as medically appropriate. 04.01.301, page 9 states that a general physical examination for recent sexual abuse shall include, but not be limited to: a blood test (RPR for Syphilis); culture smears for seminal fluid, Gonorrhea, Chlamydia and other Sexually Transmitted Diseases (STD) as appropriate; Hepatitis C antibody test and Hepatitis B surface antigen and antibody blood test and an HIV test and counseling shall be offered. Interviews with medical and mental health care staff confirm that inmates receive timely information and access to test for sexually transmitted infections. The interviews with inmates who reported sexual abuse indicated one involved penetration or touching that would require information and access to testing. The individual stated these services were

provided at the hospital. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). One of the sexual abuse allegations involved penetration. The auditor did not receive documentation related to information and access to tests for sexually transmitted infections.

115.83 (g): The PAQ indicated that 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. 04.01.301, page 9 states that offenders shall not be charged a co-payment for medical treatment, including forensic medical examinations, obtained for alleged sexual abuse. The interviews with inmates who reported sexual abuse indicated none were required to pay for their medical and mental health services after the report of sexual abuse.

115.83 (h): The PAQ indicated that the facility attempts to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offers treatment when deemed appropriate by mental health practitioners. The PREA Manual, page 46 states that all prisons shall attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners. Interviews with medical and mental health staff indicate that mental health would see the inmate abuser and attempt an evaluation within fourteen days. There were zero inmate-on-inmate sexual abuse allegations that were deemed substantiated and as such there were no confirmed inmate-on-inmate abusers who required an evaluation under this provision.

Based on a review of the PAQ, 04.01.301, the PREA Manual, medical and mental health documents, observations made during the tour and information from interviews with medical and mental health care staff, this standard appears to require corrective action. The auditor requested twelve investigative reports, six of which were sexual abuse, and corresponding medical and mental health documentation. At the issuance of the interim report, the auditor had received four of the requested investigations (two sexual abuse and two sexual harassment). All four victims were documented with medical and mental health services. The auditor requested documentation for six inmates identified with disclosing prior sexual victimization during the risk screening. Four of the inmates declined services when offered the mental health follow-up while two accepted services. At the issuance of the interim report the facility had not provided documentation confirming the two that accepted were provided follow-up services within fourteen days.

Corrective Action

The facility will need to provide the requested mental health documentation. If it is not available, the facility will need to provide a list of those who disclose prior victimization and those identified with prior sexual abusiveness during the corrective action plan and their corresponding mental health follow-ups. Additionally, the facility will need to provide a random sample of risk assessments for those received during the corrective action period and any corresponding mental health follow-ups. Further the facility will need to make appropriate modifications to limited the access to the risk screening information to those with a need to know. Confirmation of the restriction will need to be provided. The facility will need to provide the requested investigative reports and corresponding medical and mental health documents. Additionally, the facility will need to provide documentation related to sexually transmitted infection prophylaxis for any victims alleging sexual abuse that involve penetration. If documentation is not available, the facility will need to provide all sexual abuse allegations during the corrective action period and associated medical and mental health documentation. Further the facility will need to train appropriate staff on services and provide a copy of the training.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. List of Inmates Arrived During Corrective Action Period
2. Mental Health Documentation
1. Investigative Reports

The facility provided the originally requested investigative reports and associated medical and mental health documents. All sexual abuse victims were provided medical and mental health services. Two of the inmates had an allegation involving penetration and both were provided STI testing.

The facility provided a list of inmates that arrived during the corrective action period.

	<p>A review of a systematic sample indicated there were eight inmates that disclosed prior sexual victimization. All eight were offered a mental health follow-up. Six of the eight accepted the mental health services. Three of the six were provided the follow-up within fourteen days. Further examples were provided during the corrective action period for three inmates identified with prior sexual victimization that accepted mental health services. All three were seen by mental health within fourteen days.</p> <p>The facility provided training documents confirming staff received and understood policies and procedures for mental health follow-ups due to disclosure of prior sexual victimization and/or identified with prior sexual abusiveness during the risk screening. The training went over the fourteen day follow-up timeframe requirement.</p> <p>Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.</p>
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115.86 Sexual abuse incident reviews	
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. Investigative Reports 4. Sexual Abuse Incident Reviews (DOC 0593) <p>Interviews:</p> <ol style="list-style-type: none"> 1. Interview with the Warden 2. Interview with the PREA Compliance Manager 3. Interview with Incident Review Team <p>Findings (By Provision):</p>

115.86 (a): The PAQ indicated that 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. 04.01.301, page 11 states that the facility shall conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, unless the allegation was determined to be unfounded. Such reviews shall ordinarily occur within 30 days of the conclusion of the investigation. The PAQ stated there were four criminal and/or administrative investigation of alleged sexual abuse completed at the facility excluding only unfounded incidents. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review.

115.86 (b): The PAQ indicated that the facility ordinarily conducts a sexual abuse incident review within 30 days of the conclusion of the criminal or administrative sexual abuse investigation. The PAQ further stated that in the past twelve months there were four sexual abuse incident review completed within 30 days of the conclusion of the investigation. 04.01.301, page 11 states that the facility shall conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, unless the allegation was determined to be unfounded. Such reviews shall ordinarily occur within 30 days of the conclusion of the investigation. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review.

115.86 (c): The PAQ indicated that the sexual abuse incident review team includes upper-level management officials and allows for input from line supervisors, investigators, and medical or mental health practitioners. 04.01.301, page 11 states that the review team, at minimum, shall include: Assistant Chief Administrative Officer; Shift Commander or Lieutenant; a representative from Internal Affairs; the PCM, a representative from medical and a representative from mental health. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review. The interview with the Warden confirmed that the facility has a sexual abuse incident review team and the team consists of upper level management officials, line supervisor, investigators, medical staff and mental health care staff.

115.86 (d): The PAQ indicated that 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 section and any

recommendations for improvement, and submits such report to the facility head and PREA Compliance Manager. 04.01.301, page 11 states that the review, including any reports of findings or any recommendation for improvement, shall be documented on the DOC 0593, Sexual Abuse Incident Review. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review. Interviews with the Warden, PCM and incident review team member confirmed that these reviews are being completed and they include all the required elements under this provision. The Warden stated that they use information from the sexual abuse incident reviews to figure out ways to ensure the incident does not happen again. The PCM stated that she is part of the sexual abuse incident review team and that she has not noticed any trends. She stated they have not taken any action related to the sexual abuse incident reviews but they have recommended cameras during the reviews but have not been able to get them yet.

115.86 (e): The PAQ indicated that the facility implements the recommendations for improvement or documents its reasons for not doing so. 04.01.301, page 11 states that the DOC 0593 shall be forwarded to the Chief Administrative Officer so recommendations for improvement may be considered. Any recommendation not implemented shall be documented on the DOC 0593 including justification for not doing so. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review.

Based on a review of the PAQ, 04.01.301, investigative report, sexual abuse incident reviews (DOC 0593) and information from interviews with the Warden, the PCM and a member of the sexual abuse incident review team, this standard appears to require corrective action. The auditor requested documentation for twelve investigations, six which were sexual abuse. The auditor was provided two sexual abuse investigations at the issuance of the interim report. Neither of the investigations included a sexual abuse incident review.

Corrective Action

The facility will need to provide the requested investigative reports as well as any corresponding sexual abuse incident reviews. If the reviews are not available, the facility will need to ensure they are completed for all investigations during the

corrective action period. All sexual abuse allegations reported during the corrective action period will need to be provided as well as the corresponding sexual abuse incident reviews.

Verification of Corrective Action Since the Interim Audit Report

The auditor gathered and analyzed the following additional evidence provided by the facility during the corrective action period relevant to the requirements in this standard.

Additional Documents:

1. List of Sexual Abuse Allegations During Corrective Action Period
2. Sexual Abuse Incident Reviews
3. Staff Training

The facility provided three originally completed sexual abuse incident reviews. Two of the three were completed within 30 days of the conclusion of the investigation. All three were completed by staff as outlined under provision (c) and were completed on the DOC 0593. All three were checklist style only and did not include detailed information. Both included a recommendation for cameras.

The facility provided a list of allegations reported during the corrective action period. Four sexual abuse incident reviews were completed. One of the four sexual abuse incident reviews was completed within 30 days of the conclusion of the investigation. A review of the sexual abuse incident reviews indicated three of the four were a checklist and did not include incident specific information (it should be noted that the one sexual abuse incident review completed correctly was after the training completed by the PC).

The PC provided training with the sexual abuse incident review team members and provided an example of what information needs to be included in the sexual abuse incident reviews and the 30 day timeframe. The facility then went back and updated the sexual abuse incident reviews completed during the corrective action period to include incident specific information for each section required under this standard.

	Based on the documentation provided the facility has corrected this standard and as such appears to be compliant.
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115.87	Data collection
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. PREA Checklist 4. Investigative Reports 5. Annual PREA Report 6. Survey of Sexual Victimization <p>Findings (By Provision):</p> <p>115.87 (a): The PAQ indicated that 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. 04.01.301, pages 12-13 state that the Chief Administrative Officer and the facility PCM shall conduct an annual evaluation of the Sexual Abuse and Harassment Prevention and Intervention Program at their respective facility and submit to the PC a written report of the findings. The report should at minimum include: a review of each incident of sexual abuse or harassment that occurred during the reporting period; program and procedural changes implemented based on recommendations of the review team; training needs to ensure future safety and security; record of referrals to outside community resources; record of referrals for post-release service and statistical data. Policy further states that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an</p>

assessment of the Department's progress in addressing sexual abuse or harassment overall. A review of investigative reports and the PREA Checklist confirm that information/data related to each sexual abuse and sexual harassment allegation is reported and documented. The PREA Checklist is then forwarded to the PC to assist with compiling statistical data to identify trends.

115.87 (b): The PAQ indicated that the agency aggregates the incident-based sexual abuse data at least annually. 04.01.301, pages 12-13 state that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an assessment of the Department's progress in addressing sexual abuse or harassment overall. A review of the Annual PREA Report indicates that it includes agency accomplishments, facilities audited during the year, statistical data and corrective actions. The report compares data from 2014 through the current year.

115.87 (c): The PAQ indicated that the standardized instrument includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence (SSV) conducted by the Department of Justice. A review of the agency's most recent Survey of Sexual Victimization (formerly known as Survey of Sexual Violence) confirms that the agency collects appropriate information using a standardized instrument and reports the appropriate information via the SSV.

115.87 (d): The PAQ indicated that the agency maintains, reviews, and collects data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews. 04.01.301, pages 12-13 state that the Chief Administrative Officer and the facility PCM shall conduct an annual evaluation of the Sexual Abuse and Harassment Prevention and Intervention Program at their respective facility and submit to the PC a written report of the findings. The report should at minimum include: a review of each incident of sexual abuse or harassment that occurred during the reporting period; program and procedural changes implemented based on recommendations of the review team; training needs to ensure future safety and security; record of referrals to outside community resources; record of referrals for post-release service and statistical data. Policy further states that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of

concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an assessment of the Department's progress in addressing sexual abuse or harassment overall.

115.87 (e): The PAQ indicated that the agency obtains incident-based and aggregated data from every private facility with which it contracts for the confinement of inmates and that data from private facilities complies with SSV reporting regarding content. 04.01.301, pages 12-13 state that the Chief Administrative Officer and the facility PCM shall conduct an annual evaluation of the Sexual Abuse and Harassment Prevention and Intervention Program at their respective facility and submit to the PC a written report of the findings. The report should at minimum include: a review of each incident of sexual abuse or harassment that occurred during the reporting period; program and procedural changes implemented based on recommendations of the review team; training needs to ensure future safety and security; record of referrals to outside community resources; record of referrals for post-release service and statistical data. Policy further states that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an assessment of the Department's progress in addressing sexual abuse or harassment overall. A review of the Annual PREA Report indicates that it includes agency accomplishments, facilities audited during the year, statistical data and corrective actions. The report compares data from 2014 through the current year. The data included information from the contracted private facilities.

115.87 (f): The PAQ indicated that the agency provided the Department of Justice with data from the previous calendar year upon request. 04.01.301, page 13 states that upon request, the report shall be submitted to the Department of Justice.

Based on a review of the PAQ, 04.01.301, investigative reports, the PREA Checklist, the Survey of Sexual Victimization and the Annual PREA Report this standard appears to be compliant.

115.88	Data review for corrective action
	Auditor Overall Determination: Meets Standard

Auditor Discussion

Documents:

1. Pre-Audit Questionnaire
2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program
3. Annual PREA Report

Interviews:

1. Interview with the Agency Head
2. Interview with the PREA Coordinator
3. Interview with the PREA Compliance Manager

Findings (By Provision):

115.88 (a): The PAQ indicated that the agency reviews data collected and aggregated pursuant to §115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, response policies, and training, including: 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 facility, as well as the agency as a whole. 04.01.301, pages 12-13 state that the Chief Administrative Officer and the facility PCM shall conduct an annual evaluation of the Sexual Abuse and Harassment Prevention and Intervention Program at their respective facility and submit to the PC a written report of the findings. The report should at minimum include: a review of each incident of sexual abuse or harassment that occurred during the reporting period; program and procedural changes implemented based on recommendations of the review team; training needs to ensure future safety and security; record of referrals to outside community resources; record of referrals for post-release service and statistical data. Policy further states that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an assessment of the Department's progress in addressing sexual abuse or harassment overall. A review of the Annual PREA Report indicates that it includes agency

accomplishments, facilities audited during the year, statistical data and corrective actions. The report compares data from 2014 through the current year. The interview with the Agency Head indicated that the agency collects data on a quarterly basis and they do trend analysis on the data. He stated that the data assist with identifying hot spots and other variables and they determine action plans for each facility and agency as whole. He further confirmed they utilize the data to determine measures to put in place to correct any issues. The PC confirmed that the agency reviews data that is collected in order to assess and improve the effectiveness of the sexual abuse prevention, detection and response policies. He stated the Agency Head approves the report and that the information is published on the agency website. He further stated that trends are analyzed and appropriate corrective action is taken based off of this information. The interview with the PCM indicated that facility data is taken into consideration and it is utilized to take into account for places that incidents are occurring or modification that need to be made. She further stated the data is utilized to determine contributing factors of sexual abuse.

115.88 (b): The PAQ indicated that the annual report includes a comparison of the current year's data and corrective actions with those from prior years and that the annual report provides an assessment of the agency's progress in addressing sexual abuse. 04.01.301, pages 12-13 state that the Chief Administrative Officer and the facility PCM shall conduct an annual evaluation of the Sexual Abuse and Harassment Prevention and Intervention Program at their respective facility and submit to the PC a written report of the findings. The report should at minimum include: a review of each incident of sexual abuse or harassment that occurred during the reporting period; program and procedural changes implemented based on recommendations of the review team; training needs to ensure future safety and security; record of referrals to outside community resources; record of referrals for post-release service and statistical data. Policy further states that upon receipt of the reports from each facility, the agency PC shall assess the overall effectiveness of the Department's Sexual Abuse and Harassment Prevention and Intervention Program and submit a written report to the Director that has at minimum: statistical data and corrective action by facility; aggregated incident based sexual abuse or harassment data for the Department; perceived areas of concern and recommended or implemented improvements; a comparison of the current year's statistical data and corrective action with those of previous reporting periods; and an assessment of the Department's progress in addressing sexual abuse or harassment overall. A review of the Annual PREA Report indicates that it includes agency accomplishments, facilities audited during the year, statistical data and corrective actions. The report compares data from 2014 through the current year.

115.88 (c): The PAQ indicated that the agency makes its annual report readily available to the public at least annually through its website and that the annual reports are approved by the Agency Head. 04.01.301, page 13 states that the annual report shall be made available on the Department's website no later than June 30th of

the year subsequent to the reporting period. The interview with the Agency Head confirmed that he reviews and approves the annual report. A review of the website confirmed that the current annual report as well as prior annual reports are available for review.

115.88 (d): The PAQ indicated that 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 and that the agency indicates the nature of material redacted. 04.01.301, page 13 states that the final report shall not contain any personal identifiers. The Department may redact information on the posted report if said information would present a clear and specific threat to the safety and security of a facility or the Department. A review of Annual PREA Report confirmed there was no personal identifying information included nor any security related information. The report did not contain any redacted information. The interview with the PC indicated that confidential and sensitive individual in custody or staff information is redacted. In consultation with the Legal Department, a determination would be made regarding what information would be redacted and justification for such redaction would be provided.

Based on a review of the PAQ, 04.01.301, the Annual PREA Report, the website and information obtained from interviews with the Agency Head, PC and PCM, this standard appears to be compliant.

115.89	Data storage, publication, and destruction
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Documents:</p> <ol style="list-style-type: none"> 1. Pre-Audit Questionnaire 2. Administrative Directive 04.01.301 Sexual Abuse and Harassment Prevention and Intervention Program 3. PREA Sexual Abuse and Harassment Prevention and Intervention Program Manual (PREA Manual)

Interviews:

1. Interview with the PREA Coordinator

Findings (By Provision):

115.89 (a): The PAQ indicated that the agency ensures that incident-based and aggregate data are securely retained. The PREA Manual, page 50 states that the agency shall ensure that data collected pursuant to 115.87 are securely retained. The interview with the PREA Coordinator indicated that all identifying information regarding PREA allegations is treated as confidential and maintained in secure databases and secured drives. Any hard-copy documents are maintained via double-locked storage.

115.89 (b): The PAQ indicated that agency policy requires that aggregated sexual abuse data from facilities under its direct control and private facilities with which it contracts be made readily available to the public at least annually through its website. 04.01.301, page 14 states the annual report shall be made available on the Department's website no later than June 30th of the year subsequent that of the reporting period. A review of the website confirmed that the current annual report, which includes aggregated data, as well as prior annual reports are available for review.

115.89 (c): The PAQ indicated that before making aggregated sexual abuse data publicly available, the agency removes all personal identifiers. 04.01.301, page 13 states that the final report shall not contain any personal identifiers. A review of the Annual PREA Report confirmed there was no personal identifying information included nor any security related information. The report did not contain any redacted information.

115.89 (d): The PAQ indicated that the agency maintains sexual abuse data collected pursuant to Standard 115.87 for at least ten years after the date of initial collection, unless federal, state or local law requires otherwise. 04.01.301, page 13 states that all reports and statistical data shall be retained for a period of no less than ten years. A review of prior Annual PREA Reports confirmed that data is available from 2014 to current.

Based on a review of the PAQ, 04.01.301, the Annual PREA Report, the agency website and information obtained from the interview with the PREA Coordinator, this

	standard appears to be compliant.
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115.401	Frequency and scope of audits
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>Findings (By Provision):</p> <p>115.401 (a): The facility is part of the Illinois Department of Corrections. All facilities were audited in the previous three-year audit cycle and audit report are found on the agency's website.</p> <p>115.401 (b): The facility is part of the Illinois Department of Corrections. The Department has a schedule for all their facilities to be audited within the three-year cycle, with one third being audited in each cycle. The facility is being audited in the third year of the three-year cycle.</p> <p>115.401 (h) - (m): The auditor had access to all areas of the facility; was permitted to review any relevant policies, procedure or documents and was permitted to conduct private interviews.</p> <p>115.401 (n): The facility provided photos of the audit announcement posted around the facility six weeks prior to the audit. During the tour the auditor observed the audit announcement in each housing unit on blue letter size paper. The audit announcements were in English and Spanish and were posted on bulletin boards and by the phones in the housing units. The auditor also observed the audit announcement in common areas. The audit noticed advised the inmates that correspondence with the auditor would remain confidential unless the inmate reported information such as sexual abuse, harm to self or harm to others. The detainees were able to send correspondence via special mail. The auditor received correspondence from three inmates at the facility.</p>

115.403	Audit contents and findings
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Findings (By Provision):

115.403 (f): The agency has audit reports published to their website for all audits completed during the previous three, three year audit cycles.

Appendix: Provision Findings		
115.11 (a)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment?	yes
	Does the written policy outline the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment?	yes
115.11 (b)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Has the agency employed or designated an agency-wide PREA Coordinator?	yes
	Is the PREA Coordinator position in the upper-level of the agency hierarchy?	yes
	Does the PREA Coordinator have sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities?	yes
115.11 (c)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	If this agency operates more than one facility, has each facility designated a PREA compliance manager? (N/A if agency operates only one facility.)	yes
	Does the PREA compliance manager have sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards? (N/A if agency operates only one facility.)	yes
115.12 (a)	Contracting with other entities for the confinement of inmates	
	If this agency is public and it contracts for the confinement of its inmates with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.)	yes
115.12 (b)	Contracting with other entities for the confinement of inmates	
	Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure	yes

	that the contractor is complying with the PREA standards? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.)	
115.13 (a)	Supervision and monitoring	
	Does the facility have a documented staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Generally accepted detention and correctional practices?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any judicial findings of inadequacy?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from Federal investigative agencies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from internal or external oversight bodies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: All components of the facility's physical plant (including "blind-spots" or areas where staff or inmates may be isolated)?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The composition of the inmate population?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The number and placement of supervisory staff?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The institution programs occurring on a particular shift?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into	yes

	consideration: Any applicable State or local laws, regulations, or standards?	
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The prevalence of substantiated and unsubstantiated incidents of sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any other relevant factors?	yes
115.13 (b)	Supervision and monitoring	
	In circumstances where the staffing plan is not complied with, does the facility document and justify all deviations from the plan? (N/A if no deviations from staffing plan.)	yes
115.13 (c)	Supervision and monitoring	
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The facility's deployment of video monitoring systems and other monitoring technologies?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The resources the facility has available to commit to ensure adherence to the staffing plan?	yes
115.13 (d)	Supervision and monitoring	
	Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment?	yes
	Is this policy and practice implemented for night shifts as well as day shifts?	yes
	Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility?	yes

115.14 (a)	Youthful inmates	
	Does the facility place all youthful inmates in housing units that separate them from sight, sound, and physical contact with any adult inmates through use of a shared dayroom or other common space, shower area, or sleeping quarters? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (b)	Youthful inmates	
	In areas outside of housing units does the agency maintain sight and sound separation between youthful inmates and adult inmates? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	In areas outside of housing units does the agency provide direct staff supervision when youthful inmates and adult inmates have sight, sound, or physical contact? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (c)	Youthful inmates	
	Does the agency make its best efforts to avoid placing youthful inmates in isolation to comply with this provision? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Does the agency, while complying with this provision, allow youthful inmates daily large-muscle exercise and legally required special education services, except in exigent circumstances? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Do youthful inmates have access to other programs and work opportunities to the extent possible? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.15 (a)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners?	yes
115.15 (b)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting cross-gender pat-down searches of female inmates, except in exigent circumstances? (N/A if the facility does not have female inmates.)	yes
	Does the facility always refrain from restricting female inmates' access to regularly available programming or other out-of-cell opportunities in order to comply with this provision? (N/A if the	yes

	facility does not have female inmates.)	
115.15 (c)	Limits to cross-gender viewing and searches	
	Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches?	yes
	Does the facility document all cross-gender pat-down searches of female inmates (N/A if the facility does not have female inmates)?	yes
115.15 (d)	Limits to cross-gender viewing and searches	
	Does the facility have policies that enables inmates 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?	yes
	Does the facility have procedures that enables inmates 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?	yes
	Does the facility require staff of the opposite gender to announce their presence when entering an inmate housing unit?	yes
115.15 (e)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from searching or physically examining transgender or intersex inmates for the sole purpose of determining the inmate's genital status?	yes
	If an inmate's genital status is unknown, does the facility determine genital status during conversations with the inmate, 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?	yes
115.15 (f)	Limits to cross-gender viewing and searches	
	Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes
	Does the facility/agency train security staff in how to conduct searches of transgender and intersex inmates in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes

115.16 (a)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency take appropriate steps to ensure that inmates with 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, including: inmates who are deaf or hard of hearing?	yes
	Does the agency take appropriate steps to ensure that inmates with 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, including: inmates who are blind or have low vision?	yes
	Does the agency take appropriate steps to ensure that inmates with 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, including: inmates who have intellectual disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with 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, including: inmates who have psychiatric disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with 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, including: inmates who have speech disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with 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, including: Other (if "other," please explain in overall determination notes.)	yes
	Do such steps include, when necessary, ensuring effective communication with inmates who are deaf or hard of hearing?	yes
	Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication	yes

	with inmates with disabilities including inmates who: Have intellectual disabilities?	
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have limited reading skills?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: are blind or have low vision?	yes
115.16 (b)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency 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 inmates who are limited English proficient?	yes
	Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes
115.16 (c)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations?	yes
115.17 (a)	Hiring and promotion decisions	
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who 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)?	yes
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who 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?	yes
	Does the agency prohibit the hiring or promotion of anyone who	yes

	may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the two bullets immediately above?	
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who 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)?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who 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?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the two bullets immediately above?	yes
115.17 (b)	Hiring and promotion decisions	
	Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with inmates?	yes
	Does the agency consider any incidents of sexual harassment in determining whether to enlist the services of any contractor who may have contact with inmates?	yes
115.17 (c)	Hiring and promotion decisions	
	Before hiring new employees who may have contact with inmates, does the agency perform a criminal background records check?	yes
	Before hiring new employees who may have contact with inmates, does the agency, 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?	yes
115.17 (d)	Hiring and promotion decisions	
	Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates?	yes

115.17 (e)	Hiring and promotion decisions	
	Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with inmates or have in place a system for otherwise capturing such information for current employees?	yes
115.17 (f)	Hiring and promotion decisions	
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions?	yes
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees?	yes
	Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct?	yes
115.17 (g)	Hiring and promotion decisions	
	Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination?	yes
115.17 (h)	Hiring and promotion decisions	
	Does the agency 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? (N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.)	yes
115.18 (a)	Upgrades to facilities and technologies	
	If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse? (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.)	na
115.18 (b)	Upgrades to facilities and technologies	

	If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance the agency's ability to protect inmates from sexual abuse? (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.)	na
115.21 (a)	Evidence protocol and forensic medical examinations	
	If the agency is responsible for investigating allegations of sexual abuse, does the agency 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.)	yes
115.21 (b)	Evidence protocol and forensic medical examinations	
	Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
	Is this protocol, as appropriate, 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? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
115.21 (c)	Evidence protocol and forensic medical examinations	
	Does the agency 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?	yes
	Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible?	yes
	If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)?	yes

	Has the agency documented its efforts to provide SAFEs or SANEs?	yes
115.21 (d)	Evidence protocol and forensic medical examinations	
	Does the agency attempt to make available to the victim a victim advocate from a rape crisis center?	yes
	If a rape crisis center is not available to provide victim advocate services, does the agency make available to provide these services a qualified staff member from a community-based organization, or a qualified agency staff member? (N/A if the agency always makes a victim advocate from a rape crisis center available to victims.)	na
	Has the agency documented its efforts to secure services from rape crisis centers?	yes
115.21 (e)	Evidence protocol and forensic medical examinations	
	As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews?	yes
	As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals?	yes
115.21 (f)	Evidence protocol and forensic medical examinations	
	If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating agency follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.)	yes
115.21 (h)	Evidence protocol and forensic medical examinations	
	If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? (N/A if agency always makes a victim advocate from a rape crisis center available to victims.)	yes
115.22 (a)	Policies to ensure referrals of allegations for investigations	

	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse?	yes
	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment?	yes
115.22 (b)	Policies to ensure referrals of allegations for investigations	
	Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior?	yes
	Has the agency published such policy on its website or, if it does not have one, made the policy available through other means?	yes
	Does the agency document all such referrals?	yes
115.22 (c)	Policies to ensure referrals of allegations for investigations	
	If a separate entity is responsible for conducting criminal investigations, does the policy describe the responsibilities of both the agency and the investigating entity? (N/A if the agency/facility is responsible for criminal investigations. See 115.21(a).)	yes
115.31 (a)	Employee training	
	Does the agency train all employees who may have contact with inmates on its zero-tolerance policy for sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures?	yes
	Does the agency train all employees who may have contact with inmates on inmates' right to be free from sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the right of inmates and employees to be free from retaliation for reporting sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the dynamics of sexual abuse and sexual harassment in confinement?	yes

	Does the agency train all employees who may have contact with inmates on the common reactions of sexual abuse and sexual harassment victims?	yes
	Does the agency train all employees who may have contact with inmates on how to detect and respond to signs of threatened and actual sexual abuse?	yes
	Does the agency train all employees who may have contact with inmates on how to avoid inappropriate relationships with inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities?	yes
115.31 (b)	Employee training	
	Is such training tailored to the gender of the inmates at the employee's facility?	yes
	Have employees received additional training if reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa?	yes
115.31 (c)	Employee training	
	Have all current employees who may have contact with inmates received such training?	yes
	Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures?	yes
	In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies?	yes
115.31 (d)	Employee training	
	Does the agency document, through employee signature or electronic verification, that employees understand the training they have received?	yes
115.32 (a)	Volunteer and contractor training	

	Has the agency ensured that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures?	yes
115.32 (b)	Volunteer and contractor training	
	Have all volunteers and contractors who have contact with inmates been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with inmates)?	yes
115.32 (c)	Volunteer and contractor training	
	Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received?	yes
115.33 (a)	Inmate education	
	During intake, do inmates receive information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment?	yes
	During intake, do inmates receive information explaining how to report incidents or suspicions of sexual abuse or sexual harassment?	yes
115.33 (b)	Inmate education	
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from sexual abuse and sexual harassment?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from retaliation for reporting such incidents?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Agency policies and procedures for responding to such incidents?	yes
115.33 (c)	Inmate education	
	Have all inmates received the comprehensive education referenced in 115.33(b)?	yes

	Do inmates receive education upon transfer to a different facility to the extent that the policies and procedures of the inmate's new facility differ from those of the previous facility?	yes
115.33 (d)	Inmate education	
	Does the agency provide inmate education in formats accessible to all inmates including those who are limited English proficient?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are deaf?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are visually impaired?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are otherwise disabled?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who have limited reading skills?	yes
115.33 (e)	Inmate education	
	Does the agency maintain documentation of inmate participation in these education sessions?	yes
115.33 (f)	Inmate education	
	In addition to providing such education, does the agency ensure that key information is continuously and readily available or visible to inmates through posters, inmate handbooks, or other written formats?	yes
115.34 (a)	Specialized training: Investigations	
	In addition to the general training provided to all employees pursuant to §115.31, does the agency ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators receive training in conducting such investigations in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.34 (b)	Specialized training: Investigations	
	Does this specialized training include techniques for interviewing sexual abuse victims? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
	Does this specialized training include proper use of Miranda and	yes

	Garrity warnings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	
	Does this specialized training include sexual abuse evidence collection in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
	Does this specialized training include the criteria and evidence required to substantiate a case for administrative action or prosecution referral? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.34 (c)	Specialized training: Investigations	
	Does the agency maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.35 (a)	Specialized training: Medical and mental health care	
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to detect and assess signs of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to preserve physical evidence of sexual abuse? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to respond effectively and professionally to victims of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how and to whom to report allegations or	yes

	suspicious of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	
115.35 (b)	Specialized training: Medical and mental health care	
	If medical staff employed by the agency conduct forensic examinations, do such medical staff receive appropriate training to conduct such examinations? (N/A if agency medical staff at the facility do not conduct forensic exams or the agency does not employ medical staff.)	na
115.35 (c)	Specialized training: Medical and mental health care	
	Does the agency maintain documentation that medical and mental health practitioners have received the training referenced in this standard either from the agency or elsewhere? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
115.35 (d)	Specialized training: Medical and mental health care	
	Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.31? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners employed by the agency.)	yes
	Do medical and mental health care practitioners contracted by or volunteering for the agency also receive training mandated for contractors and volunteers by §115.32? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners contracted by or volunteering for the agency.)	yes
115.41 (a)	Screening for risk of victimization and abusiveness	
	Are all inmates assessed during an intake screening for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
	Are all inmates assessed upon transfer to another facility for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
115.41 (b)	Screening for risk of victimization and abusiveness	
	Do intake screenings ordinarily take place within 72 hours of arrival at the facility?	yes
115.41 (c)	Screening for risk of victimization and abusiveness	
	Are all PREA screening assessments conducted using an objective	yes

	screening instrument?	
115.41 (d)	Screening for risk of victimization and abusiveness	
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (1) Whether the inmate has a mental, physical, or developmental disability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (2) The age of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (3) The physical build of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (4) Whether the inmate has previously been incarcerated?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (5) Whether the inmate's criminal history is exclusively nonviolent?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (6) Whether the inmate has prior convictions for sex offenses against an adult or child?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (7) Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the inmate about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the inmate is gender non-conforming or otherwise may be perceived to be LGBTI)?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (8) Whether the inmate has previously experienced sexual victimization?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (9) The inmate's own perception of vulnerability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (10)	yes

	Whether the inmate is detained solely for civil immigration purposes?	
115.41 (e)	Screening for risk of victimization and abusiveness	
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior acts of sexual abuse?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior convictions for violent offenses?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: history of prior institutional violence or sexual abuse?	yes
115.41 (f)	Screening for risk of victimization and abusiveness	
	Within a set time period not more than 30 days from the inmate's arrival at the facility, does the facility reassess the inmate's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening?	yes
115.41 (g)	Screening for risk of victimization and abusiveness	
	Does the facility reassess an inmate's risk level when warranted due to a referral?	yes
	Does the facility reassess an inmate's risk level when warranted due to a request?	yes
	Does the facility reassess an inmate's risk level when warranted due to an incident of sexual abuse?	yes
	Does the facility reassess an inmate's risk level when warranted due to receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness?	yes
115.41 (h)	Screening for risk of victimization and abusiveness	
	Is it the case that inmates are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section?	yes
115.41 (i)	Screening for risk of victimization and abusiveness	
	Has the agency implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive	yes

	information is not exploited to the inmate's detriment by staff or other inmates?	
115.42 (a) Use of screening information		
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments?	yes
115.42 (b) Use of screening information		
	Does the agency make individualized determinations about how to ensure the safety of each inmate?	yes
115.42 (c) Use of screening information		
	When deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns inmates to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)?	yes
	When making housing or other program assignments for transgender or intersex inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would	yes

	present management or security problems?	
115.42 (d)	Use of screening information	
	Are placement and programming assignments for each transgender or intersex inmate reassessed at least twice each year to review any threats to safety experienced by the inmate?	yes
115.42 (e)	Use of screening information	
	Are each transgender or intersex inmate's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments?	yes
115.42 (f)	Use of screening information	
	Are transgender and intersex inmates given the opportunity to shower separately from other inmates?	yes
115.42 (g)	Use of screening information	
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: lesbian, gay, and bisexual inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: transgender inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing	yes

	solely for the placement of LGBT or I inmates pursuant to a consent degree, legal settlement, or legal judgement.)	
115.43 (a)	Protective Custody	
	Does the facility always refrain from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers?	yes
	If a facility cannot conduct such an assessment immediately, does the facility hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment?	yes
115.43 (b)	Protective Custody	
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Programs to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Privileges to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Education to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Work opportunities to the extent possible?	yes
	If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the opportunities that have been limited? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the duration of the limitation? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the reasons for such limitations? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
115.43 (c)	Protective Custody	

	Does the facility assign inmates at high risk of sexual victimization to involuntary segregated housing only until an alternative means of separation from likely abusers can be arranged?	yes
	Does such an assignment not ordinarily exceed a period of 30 days?	yes
115.43 (d) Protective Custody		
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The basis for the facility's concern for the inmate's safety?	yes
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The reason why no alternative means of separation can be arranged?	yes
115.43 (e) Protective Custody		
	In the case of each inmate who is placed in involuntary segregation because he/she is at high risk of sexual victimization, does the facility afford a review to determine whether there is a continuing need for separation from the general population EVERY 30 DAYS?	yes
115.51 (a) Inmate reporting		
	Does the agency provide multiple internal ways for inmates to privately report: Sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Retaliation by other inmates or staff for reporting sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Staff neglect or violation of responsibilities that may have contributed to such incidents?	yes
115.51 (b) Inmate reporting		
	Does the agency also provide at least one way for inmates to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency?	yes
	Is that private entity or office able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials?	yes
	Does that private entity or office allow the inmate to remain	yes

	anonymous upon request?	
	Are inmates detained solely for civil immigration purposes provided information on how to contact relevant consular officials and relevant officials at the Department of Homeland Security? (N/A if the facility never houses inmates detained solely for civil immigration purposes.)	na
115.51 (c)	Inmate reporting	
	Does staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties?	yes
	Does staff promptly document any verbal reports of sexual abuse and sexual harassment?	yes
115.51 (d)	Inmate reporting	
	Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates?	yes
115.52 (a)	Exhaustion of administrative remedies	
	Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address inmate grievances regarding sexual abuse. This does not mean the agency is exempt simply because an inmate does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse.	no
115.52 (b)	Exhaustion of administrative remedies	
	Does the agency permit inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.)	yes
	Does the agency always refrain from requiring an inmate to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse? (N/A if agency is exempt from this standard.)	yes
115.52 (c)	Exhaustion of administrative remedies	
	Does the agency ensure that: An inmate who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from	yes

	this standard.)	
	Does the agency ensure that: Such grievance is not referred to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.)	yes
115.52 (d)	Exhaustion of administrative remedies	
	Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by inmates in preparing any administrative appeal.) (N/A if agency is exempt from this standard.)	yes
	If the agency claims the maximum allowable extension of time to respond of up to 70 days per 115.52(d)(3) when the normal time period for response is insufficient to make an appropriate decision, does the agency notify the inmate in writing of any such extension and provide a date by which a decision will be made? (N/A if agency is exempt from this standard.)	yes
	At any level of the administrative process, including the final level, if the inmate does not receive a response within the time allotted for reply, including any properly noticed extension, may an inmate consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.)	yes
115.52 (e)	Exhaustion of administrative remedies	
	Are third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.)	yes
	Are those third parties also permitted to file such requests on behalf of inmates? (If a third party files such a request on behalf of an inmate, the facility may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process.) (N/A if agency is exempt from this standard.)	yes
	If the inmate declines to have the request processed on his or her behalf, does the agency document the inmate's decision? (N/A if agency is exempt from this standard.)	yes
115.52 (f)	Exhaustion of administrative remedies	

	Has the agency established procedures for the filing of an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)	yes
	After receiving an emergency grievance alleging an inmate is subject to a substantial risk of imminent sexual abuse, does the agency immediately forward the grievance (or any portion thereof that alleges the substantial risk of imminent sexual abuse) to a level of review at which immediate corrective action may be taken? (N/A if agency is exempt from this standard.)	yes
	After receiving an emergency grievance described above, does the agency provide an initial response within 48 hours? (N/A if agency is exempt from this standard.)	yes
	After receiving an emergency grievance described above, does the agency issue a final agency decision within 5 calendar days? (N/A if agency is exempt from this standard.)	yes
	Does the initial response and final agency decision document the agency's determination whether the inmate is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)	yes
	Does the initial response document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)	yes
	Does the agency's final decision document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)	yes
115.52 (g)	Exhaustion of administrative remedies	
	If the agency disciplines an inmate for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the inmate filed the grievance in bad faith? (N/A if agency is exempt from this standard.)	yes
115.53 (a)	Inmate access to outside confidential support services	
	Does the facility provide inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations?	yes
	Does the facility provide persons detained solely for civil immigration purposes mailing addresses and telephone numbers,	na

	including toll-free hotline numbers where available of local, State, or national immigrant services agencies? (N/A if the facility never has persons detained solely for civil immigration purposes.)	
	Does the facility enable reasonable communication between inmates and these organizations and agencies, in as confidential a manner as possible?	yes
115.53 (b)	Inmate access to outside confidential support services	
	Does the facility inform inmates, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws?	yes
115.53 (c)	Inmate access to outside confidential support services	
	Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide inmates with confidential emotional support services related to sexual abuse?	yes
	Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements?	yes
115.54 (a)	Third-party reporting	
	Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment?	yes
	Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate?	yes
115.61 (a)	Staff and agency reporting duties	
	Does the agency 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 a facility, whether or not it is part of the agency?	yes
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment?	yes
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual	yes

	abuse or sexual harassment or retaliation?	
115.61 (b)	Staff and agency reporting duties	
	Apart from reporting to designated supervisors or officials, does staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions?	yes
115.61 (c)	Staff and agency reporting duties	
	Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section?	yes
	Are medical and mental health practitioners required to inform inmates of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services?	yes
115.61 (d)	Staff and agency reporting duties	
	If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws?	yes
115.61 (e)	Staff and agency reporting duties	
	Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators?	yes
115.62 (a)	Agency protection duties	
	When the agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the inmate?	yes
115.63 (a)	Reporting to other confinement facilities	
	Upon receiving an allegation that an inmate was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred?	yes
115.63 (b)	Reporting to other confinement facilities	
	Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation?	yes

115.63 (c)	Reporting to other confinement facilities	
	Does the agency document that it has provided such notification?	yes
115.63 (d)	Reporting to other confinement facilities	
	Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards?	yes
115.64 (a)	Staff first responder duties	
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: 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, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: 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, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes
115.64 (b)	Staff first responder duties	
	If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff?	yes
115.65 (a)	Coordinated response	
	Has the facility developed a written institutional plan to coordinate actions among staff first responders, medical and mental health practitioners, investigators, and facility leadership taken in	yes

	response to an incident of sexual abuse?	
115.66 (a)	Preservation of ability to protect inmates from contact with abusers	
	Are both the agency and any other governmental entities responsible for collective bargaining on the agency's behalf prohibited from entering into or renewing any collective bargaining agreement or other agreement that limit the agency's ability to remove alleged staff sexual abusers from contact with any inmates pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted?	yes
115.67 (a)	Agency protection against retaliation	
	Has the agency established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff?	yes
	Has the agency designated which staff members or departments are charged with monitoring retaliation?	yes
115.67 (b)	Agency protection against retaliation	
	Does the agency employ multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations?	yes
115.67 (c)	Agency protection against retaliation	
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of	yes

	sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Act promptly to remedy any such retaliation?	
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor any inmate disciplinary reports?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate housing changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate program changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff?	yes
	Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need?	yes
115.67 (d)	Agency protection against retaliation	
	In the case of inmates, does such monitoring also include periodic status checks?	yes
115.67 (e)	Agency protection against retaliation	
	If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation?	yes
115.68 (a)	Post-allegation protective custody	
	Is any and all use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse subject to the requirements of § 115.43?	yes
115.71 (a)	Criminal and administrative agency investigations	
	When the agency conducts its own investigations into allegations	yes

	of sexual abuse and sexual harassment, does it do so promptly, thoroughly, and objectively? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).)	
	Does the agency conduct such investigations for all allegations, including third party and anonymous reports? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).)	yes
115.71 (b)	Criminal and administrative agency investigations	
	Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.34?	yes
115.71 (c)	Criminal and administrative agency investigations	
	Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data?	yes
	Do investigators interview alleged victims, suspected perpetrators, and witnesses?	yes
	Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator?	yes
115.71 (d)	Criminal and administrative agency investigations	
	When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution?	yes
115.71 (e)	Criminal and administrative agency investigations	
	Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmate or staff?	yes
	Does the agency investigate allegations of sexual abuse without requiring an inmate who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding?	yes
115.71 (f)	Criminal and administrative agency investigations	
	Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse?	yes

	Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings?	yes
115.71 (g)	Criminal and administrative agency investigations	
	Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible?	yes
115.71 (h)	Criminal and administrative agency investigations	
	Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?	yes
115.71 (i)	Criminal and administrative agency investigations	
	Does the agency retain all written reports referenced in 115.71(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years?	yes
115.71 (j)	Criminal and administrative agency investigations	
	Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation?	yes
115.71 (l)	Criminal and administrative agency investigations	
	When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? (N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.72 (a)	Evidentiary standard for administrative investigations	
	Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated?	yes
115.73 (a)	Reporting to inmates	
	Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded?	yes

115.73 (b)	Reporting to inmates	
	If the agency did not conduct the investigation into an inmate's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency in order to inform the inmate? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.)	yes
115.73 (c)	Reporting to inmates	
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer posted within the inmate's unit?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer employed at the facility?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been indicted on a charge related to sexual abuse in the facility?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility?	yes
115.73 (d)	Reporting to inmates	
	Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility?	yes
	Following an inmate's allegation that he or she has been sexually	yes

	abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility?	
115.73 (e)	Reporting to inmates	
	Does the agency document all such notifications or attempted notifications?	yes
115.76 (a)	Disciplinary sanctions for staff	
	Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies?	yes
115.76 (b)	Disciplinary sanctions for staff	
	Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse?	yes
115.76 (c)	Disciplinary sanctions for staff	
	Are disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) 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?	yes
115.76 (d)	Disciplinary sanctions for staff	
	Are 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, reported to: Law enforcement agencies (unless the activity was clearly not criminal)?	yes
	Are 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, reported to: Relevant licensing bodies?	yes
115.77 (a)	Corrective action for contractors and volunteers	
	Is any contractor or volunteer who engages in sexual abuse prohibited from contact with inmates?	yes
	Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies (unless the activity was clearly not criminal)?	yes

	Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies?	yes
115.77 (b)	Corrective action for contractors and volunteers	
	In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with inmates?	yes
115.78 (a)	Disciplinary sanctions for inmates	
	Following an administrative finding that an inmate engaged in inmate-on-inmate sexual abuse, or following a criminal finding of guilt for inmate-on-inmate sexual abuse, are inmates subject to disciplinary sanctions pursuant to a formal disciplinary process?	yes
115.78 (b)	Disciplinary sanctions for inmates	
	Are sanctions commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories?	yes
115.78 (c)	Disciplinary sanctions for inmates	
	When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether an inmate's mental disabilities or mental illness contributed to his or her behavior?	yes
115.78 (d)	Disciplinary sanctions for inmates	
	If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming and other benefits?	yes
115.78 (e)	Disciplinary sanctions for inmates	
	Does the agency discipline an inmate for sexual contact with staff only upon a finding that the staff member did not consent to such contact?	yes
115.78 (f)	Disciplinary sanctions for inmates	
	For the purpose of disciplinary action does a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish	yes

	evidence sufficient to substantiate the allegation?	
115.78 (g)	Disciplinary sanctions for inmates	
	If the agency prohibits all sexual activity between inmates, does the agency always refrain from considering non-coercive sexual activity between inmates to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between inmates.)	yes
115.81 (a)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison).	yes
115.81 (b)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.)	yes
115.81 (c)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a jail inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a jail).	na
115.81 (d)	Medical and mental health screenings; history of sexual abuse	
	Is any information related to sexual victimization or abusiveness that occurred in an institutional setting strictly limited to medical and mental health practitioners and other staff as necessary to inform treatment plans and security management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law?	yes
115.81 (e)	Medical and mental health screenings; history of sexual abuse	
	Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior	yes

	sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18?	
115.82 (a)	Access to emergency medical and mental health services	
	Do inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment?	yes
115.82 (b)	Access to emergency medical and mental health services	
	If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.62?	yes
	Do security staff first responders immediately notify the appropriate medical and mental health practitioners?	yes
115.82 (c)	Access to emergency medical and mental health services	
	Are inmate victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate?	yes
115.82 (d)	Access to emergency medical and mental health services	
	Are treatment services 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
115.83 (a)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility?	yes
115.83 (b)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody?	yes
115.83 (c)	Ongoing medical and mental health care for sexual abuse	

	victims and abusers	
	Does the facility provide such victims with medical and mental health services consistent with the community level of care?	yes
115.83 (d)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (e)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If pregnancy results from the conduct described in paragraph § 115.83(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (f)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate?	yes
115.83 (g)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are treatment services 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
115.83 (h)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If the facility is a prison, does it attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners? (NA if the facility is a jail.)	yes

115.86 (a)	Sexual abuse incident reviews	
	Does the facility 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?	yes
115.86 (b)	Sexual abuse incident reviews	
	Does such review ordinarily occur within 30 days of the conclusion of the investigation?	yes
115.86 (c)	Sexual abuse incident reviews	
	Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners?	yes
115.86 (d)	Sexual abuse incident reviews	
	Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse?	yes
	Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility?	yes
	Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse?	yes
	Does the review team: Assess the adequacy of staffing levels in that area during different shifts?	yes
	Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff?	yes
	Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.86(d)(1)-(d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager?	yes
115.86 (e)	Sexual abuse incident reviews	
	Does the facility implement the recommendations for improvement, or document its reasons for not doing so?	yes

115.87 (a)	Data collection	
	Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions?	yes
115.87 (b)	Data collection	
	Does the agency aggregate the incident-based sexual abuse data at least annually?	yes
115.87 (c)	Data collection	
	Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice?	yes
115.87 (d)	Data collection	
	Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews?	yes
115.87 (e)	Data collection	
	Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates? (N/A if agency does not contract for the confinement of its inmates.)	yes
115.87 (f)	Data collection	
	Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.)	yes
115.88 (a)	Data review for corrective action	
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas?	yes
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis?	yes
	Does the agency review data collected and aggregated pursuant	yes

	to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Preparing an annual report of its findings and corrective actions for each facility, as well as the agency as a whole?	
115.88 (b)	Data review for corrective action	
	Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse?	yes
115.88 (c)	Data review for corrective action	
	Is the agency's annual report 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?	yes
115.88 (d)	Data review for corrective action	
	Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility?	yes
115.89 (a)	Data storage, publication, and destruction	
	Does the agency ensure that data collected pursuant to § 115.87 are securely retained?	yes
115.89 (b)	Data storage, publication, and destruction	
	Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities 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?	yes
115.89 (c)	Data storage, publication, and destruction	
	Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available?	yes
115.89 (d)	Data storage, publication, and destruction	
	Does the agency maintain sexual abuse data collected pursuant to § 115.87 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise?	yes
115.401 (a)	Frequency and scope of audits	

	During the prior three-year audit period, did the agency ensure that each facility operated by the agency, or by a private organization on behalf of the agency, was audited at least once? (Note: The response here is purely informational. A "no" response does not impact overall compliance with this standard.)	yes
115.401 (b)	Frequency and scope of audits	
	Is this the first year of the current audit cycle? (Note: a "no" response does not impact overall compliance with this standard.)	yes
	If this is the second year of the current audit cycle, did the agency ensure that at least one-third of each facility type operated by the agency, or by a private organization on behalf of the agency, was audited during the first year of the current audit cycle? (N/A if this is not the second year of the current audit cycle.)	na
	If this is the third year of the current audit cycle, did the agency ensure that at least two-thirds of each facility type operated by the agency, or by a private organization on behalf of the agency, were audited during the first two years of the current audit cycle? (N/A if this is not the third year of the current audit cycle.)	na
115.401 (h)	Frequency and scope of audits	
	Did the auditor have access to, and the ability to observe, all areas of the audited facility?	yes
115.401 (i)	Frequency and scope of audits	
	Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)?	yes
115.401 (m)	Frequency and scope of audits	
	Was the auditor permitted to conduct private interviews with inmates, residents, and detainees?	yes
115.401 (n)	Frequency and scope of audits	
	Were inmates permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel?	yes
115.403	Audit contents and findings	

(f)		
	The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports. The review period is for prior audits completed during the past three years PRECEDING THIS AUDIT. The pendency of any agency appeal pursuant to 28 C.F.R. § 115.405 does not excuse noncompliance with this provision. (N/A if there have been no Final Audit Reports issued in the past three years, or, in the case of single facility agencies, there has never been a Final Audit Report issued.)	yes