

# PREA Facility Audit Report: Final

**Name of Facility:** Racine Youthful Offender Correctional Facility

**Facility Type:** Prison / Jail

**Date Interim Report Submitted:** 03/14/2023

**Date Final Report Submitted:** 06/20/2023

| 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"/>                    |
| <b>Auditor Full Name as Signed:</b> Deborah Striplin  | <b>Date of Signature:</b><br>06/20/<br>2023 |

| AUDITOR INFORMATION                 |                      |
|-------------------------------------|----------------------|
| <b>Auditor name:</b>                | Striplin, Deborah    |
| <b>Email:</b>                       | dstriplin@doc.nv.gov |
| <b>Start Date of On-Site Audit:</b> | 02/06/2023           |
| <b>End Date of On-Site Audit:</b>   | 02/07/2023           |

| FACILITY INFORMATION              |  |
|-----------------------------------|--|
| <b>Facility name:</b>             | Racine Youthful Offender Correctional Facility |
| <b>Facility physical address:</b> | 1501 Albert Street, Racine, Wisconsin - 53404  |
| <b>Facility mailing address:</b>  |  |

| <b>Primary Contact</b>   |                               |
|--------------------------|-------------------------------|
| <b>Name:</b>             | Je'Leslie Taylor              |
| <b>Email Address:</b>    | JeLeslie.Taylor@wisconsin.gov |
| <b>Telephone Number:</b> | 262-638-1999                  |

| <b>Warden/Jail Administrator/Sheriff/Director</b> |                               |
|---|-------------------------------|
| <b>Name:</b>                                      | Je'Leslie Taylor              |
| <b>Email Address:</b>                             | JeLeslie.Taylor@wisconsin.gov |
| <b>Telephone Number:</b>                          | 262-638-1999                  |

| <b>Facility PREA Compliance Manager</b> |                              |
|---|------------------------------|
| <b>Name:</b>                            | Vikki Sorenson               |
| <b>Email Address:</b>                   | vikki.sorensen@wisconsin.gov |
| <b>Telephone Number:</b>                | O: 262 638-1999              |

| <b>Facility Health Service Administrator On-site</b> |                                     |
|--|-------------------------------------|
| <b>Name:</b>   | Sylvia Longrie-Pleester             |
| <b>Email Address:</b>                                | sylvia.Longripleester@wisconsin.gov |
| <b>Telephone Number:</b>                             | 262-638-1999                        |

| <b>Facility Characteristics</b>  |     |
|--|-----|
| <b>Designed facility capacity:</b>   | 500 |
| <b>Current population of facility:</b>   | 340 |
| <b>Average daily population for the past 12 months:</b>                        | 300 |
| <b>Has the facility been over capacity at any point in the past 12 months?</b> | No  |

|  |          |
|--|----------|
| <b>Which population(s) does the facility hold?</b>   | Males    |
| <b>Age range of population:</b>  | 18-24    |
| <b>Facility security levels/inmate custody levels:</b>   | medium`` |
| <b>Does the facility hold youthful inmates?</b>  | No       |
| <b>Number of staff currently employed at the facility who may have contact with inmates:</b>                       | 144      |
| <b>Number of individual contractors who have contact with inmates, currently authorized to enter the facility:</b> | 7        |
| <b>Number of volunteers who have contact with inmates, currently authorized to enter the facility:</b>             | 60       |

#### AGENCY INFORMATION

|  |   |
|--|---|
| <b>Name of agency:</b>                                       | Wisconsin Department of Corrections                     |
| <b>Governing authority or parent agency (if applicable):</b> | State of Wisconsin                                      |
| <b>Physical Address:</b>                                     | 3099 East Washington Avenue, Madison, Wisconsin - 53704 |
| <b>Mailing Address:</b>                                      | PO Box 7925, Madison, Wisconsin - 53707                 |
| <b>Telephone number:</b>                                     | (608) 240-5000  |

#### Agency Chief Executive Officer Information:

|                          |                          |
|--------------------------|--------------------------|
| <b>Name:</b>             | Kevin Carr               |
| <b>Email Address:</b>    | Kevin.Carr@wisconsin.gov |
| <b>Telephone Number:</b> | (608) 240-5065           |

#### Agency-Wide PREA Coordinator Information

|              |              |                       |                            |
|--------------|--------------|-----------------------|----------------------------|
| <b>Name:</b> | Leigha Weber | <b>Email Address:</b> | leigha.weber@wisconsin.gov |
|--------------|--------------|-----------------------|----------------------------|

## 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

- 115.73 - Reporting to 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: | 2023-02-06 |
| 2. End date of the onsite portion of the audit:   | 2023-02-07 |

#### 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<br><input type="radio"/> No       |
| a. Identify the community-based organization(s) or victim advocates with whom you communicated:   | Beleaf Survivors, Sexual Assault Services<br>Community Victim Advocate |

### AUDITED FACILITY INFORMATION

|  |  |
|--|--|
| 14. Designated facility capacity:  | 500  |
| 15. Average daily population for the past 12 months:                             | 300  |
| 16. Number of inmate/resident/detainee housing units:                            | 7  |
| 17. Does the facility ever hold youthful inmates or youthful/juvenile detainees? | <input type="radio"/> Yes<br><input checked="" type="radio"/> No<br><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**

|  |     |
|--|-----|
| <b>36. Enter the total number of inmates/residents/detainees in the facility as of the first day of onsite portion of the audit:</b>   | 427 |
| <b>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:</b>  | 0   |
| <b>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:</b> | 7   |
| <b>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:</b>  | 0   |
| <b>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:</b>   | 0   |
| <b>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:</b>  | 2   |
| <b>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:</b>   | 6   |

|   |                          |
|---|--------------------------|
| <p><b>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:</b></p>   | <p>1</p>                 |
| <p><b>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:</b></p>   | <p>1</p>                 |
| <p><b>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:</b></p>  | <p>5</p>                 |
| <p><b>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:</b></p>                                     | <p>0</p>                 |
| <p><b>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):</b></p> | <p>No text provided.</p> |
| <p><b>Staff, Volunteers, and Contractors Population Characteristics on Day One of the Onsite Portion of the Audit</b></p>   |                          |
| <p><b>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:</b></p>   | <p>85</p>                |
| <p><b>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:</b></p>   | <p>4</p>                 |

|   |   |
|---|---|
| <p><b>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:</b></p>                        | <p>0</p>  |
| <p><b>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:</b></p> | <p>The facility had non-security staff working however, the auditor was not able to capture an accurate number of all who were working.</p>   |
| <p><b>INTERVIEWS</b></p>  |   |
| <p><b>Inmate/Resident/Detainee Interviews</b></p>   |   |
| <p><b>Random Inmate/Resident/Detainee Interviews</b></p>  |   |
| <p><b>53. Enter the total number of RANDOM INMATES/RESIDENTS/DETAINEES who were interviewed:</b></p>  | <p>20</p>   |
| <p><b>54. Select which characteristics you considered when you selected RANDOM INMATE/RESIDENT/DETAINEE interviewees: (select all that apply)</b></p>   | <p> <input type="checkbox"/> Age<br/> <input checked="" type="checkbox"/> Race<br/> <input type="checkbox"/> Ethnicity (e.g., Hispanic, Non-Hispanic)<br/> <input type="checkbox"/> Length of time in the facility<br/> <input checked="" type="checkbox"/> Housing assignment<br/> <input type="checkbox"/> Gender<br/> <input type="checkbox"/> Other<br/> <input type="checkbox"/> None </p> |

|   |   |
|---|---|
| <p><b>55. How did you ensure your sample of RANDOM INMATE/RESIDENT/DETAINEE interviewees was geographically diverse?</b></p>  | <p>The facility provided offender rosters separated by housing unit. The housing unit roster did not include the offender's race or ethnicity, the audit team reviewed the roster selecting random offenders from each unit. The name and ID number of those selected were provided to the PREA Office liaison who was onsite and they reviewed and provided race/ethnicity to ensure a diverse population was interviewed.</p> |
| <p><b>56. Were you able to conduct the minimum number of random inmate/resident/detainee interviews?</b></p>  | <p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>   |
| <p><b>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):</b></p>   | <p>No text provided.</p>  |
| <p><b>Targeted Inmate/Resident/Detainee Interviews</b></p>  |   |
| <p><b>58. Enter the total number of TARGETED INMATES/RESIDENTS/DETAINEES who were interviewed:</b></p>  | <p>22</p>   |
| <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> |   |
| <p><b>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:</b></p>  | <p>0</p>  |

|   |   |
|---|---|
| <p><b>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</b></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>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).</b></p>                          | <p>The facility stated they did not have any offenders who had physical disabilities currently assigned. The audit team did not observe any offenders who were perceived to have physical disabilities during physical plant review or offender interviews.</p>   |
| <p><b>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:</b></p> | <p>7</p>  |
| <p><b>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:</b></p>  | <p>0</p>  |
| <p><b>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</b></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>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).</b></p> | <p>The facility stated they did not have any offenders who were blind or had low vision currently assigned. The audit team did not observe any offenders who appeared or were perceived to be blind or have low vision during the physical plant review or offender interviews.</p>  |
| <p><b>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:</b></p>  | <p>0</p>   |
| <p><b>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</b></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>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).</b></p> | <p>The facility stated they did not have any offenders who were deaf or hard of hearing currently assigned. The audit team did not observe any offenders who were perceived to be deaf or hard of hearing. The audit team did not observe any offenders that appeared or perceived deaf or hard of hearing during physical plant reviews or interviews with offenders.</p> |
| <p><b>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:</b></p>   | <p>2</p>   |
| <p><b>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:</b></p>                                     | <p>6</p>   |

|   |   |
|---|---|
| <p><b>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:</b></p>  | <p>1</p>  |
| <p><b>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:</b></p>  | <p>1</p>  |
| <p><b>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:</b></p>   | <p>5</p>  |
| <p><b>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:</b></p> | <p>0</p>  |
| <p><b>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</b></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>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).</b></p>  | <p>The facility stated they did not have any offenders who were deaf or hard of hearing currently assigned. The audit team did not observe any offenders who were perceived to be deaf or hard of hearing</p>   |

|   |  |
|---|--|
| <b>70. Provide any additional comments regarding selecting or interviewing targeted inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews):</b>   | No text provided.  |
| <b>Staff, Volunteer, and Contractor Interviews</b>  |  |
| <b>Random Staff Interviews</b>  |  |
| <b>71. Enter the total number of RANDOM STAFF who were interviewed:</b>   | 18   |
| <b>72. Select which characteristics you considered when you selected RANDOM STAFF interviewees: (select all that apply)</b>   | <input type="checkbox"/> Length of tenure in the facility<br><input checked="" type="checkbox"/> Shift assignment<br><input checked="" type="checkbox"/> Work assignment<br><input type="checkbox"/> Rank (or equivalent)<br><input type="checkbox"/> Other (e.g., gender, race, ethnicity, languages spoken)<br><input type="checkbox"/> None |
| <b>73. Were you able to conduct the minimum number of RANDOM STAFF interviews?</b>  | <input checked="" type="radio"/> Yes<br><input type="radio"/> No   |
| <b>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):</b>  | No text provided.  |
| <b>Specialized Staff, Volunteers, and Contractor Interviews</b>   |  |
| 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. |  |
| <b>75. Enter the total number of staff in a SPECIALIZED STAFF role who were interviewed (excluding volunteers and contractors):</b>   | 25   |

|  |  |
|--|--|
| <b>76. Were you able to interview the Agency Head?</b>   | <input checked="" type="radio"/> Yes<br><input type="radio"/> No   |
| <b>77. Were you able to interview the Warden/Facility Director/Superintendent or their designee?</b> | <input checked="" type="radio"/> Yes<br><input type="radio"/> No   |
| <b>78. Were you able to interview the PREA Coordinator?</b>  | <input checked="" type="radio"/> Yes<br><input type="radio"/> No   |
| <b>79. Were you able to interview the PREA Compliance Manager?</b>                                   | <input checked="" type="radio"/> Yes<br><input type="radio"/> No<br><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) |

**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   |
| <b>If "Other," provide additional specialized staff roles interviewed:</b>   | Facility victim services coordinator and inmate complaint examiner  |
| <b>81. Did you interview VOLUNTEERS who may have contact with inmates/residents/detainees in this facility?</b>                          | <input checked="" type="radio"/> Yes<br><input type="radio"/> No  |
| <b>a. Enter the total number of VOLUNTEERS who were interviewed:</b>   | 3   |
| <b>b. Select which specialized VOLUNTEER role(s) were interviewed as part of this audit from the list below: (select all that apply)</b> | <input type="checkbox"/> Education/programming<br><input type="checkbox"/> Medical/dental<br><input type="checkbox"/> Mental health/counseling<br><input checked="" type="checkbox"/> Religious<br><input type="checkbox"/> Other |
| <b>82. Did you interview CONTRACTORS who may have contact with inmates/residents/detainees in this facility?</b>                         | <input type="radio"/> Yes<br><input checked="" type="radio"/> No  |
| <b>83. Provide any additional comments regarding selecting or interviewing specialized staff.</b>  | Did not have contract employees onsite.   |

## 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?**

Yes

No

**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)?**

Yes

No

**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)?**

Yes

No

**87. Informal conversations with inmates/residents/detainees during the site review (encouraged, not required)?**

Yes

No

**88. Informal conversations with staff during the site review (encouraged, not required)?**

Yes

No

|  |                          |
|--|--------------------------|
| <p><b>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).</b></p> | <p>No text provided.</p> |
|--|--------------------------|

**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.

|  |  |
|--|--|
| <p><b>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?</b></p> | <p><input checked="" type="radio"/> Yes<br/><input type="radio"/> No</p> |
|--|--|

|   |                          |
|---|--------------------------|
| <p><b>91. Provide any additional comments regarding selecting additional documentation (e.g., any documentation you oversampled, barriers to selecting additional documentation, etc.).</b></p> | <p>No text provided.</p> |
|---|--------------------------|

**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 |
|--------------------------------------|-------------------------------|------------------------------|------------------------------------|---|
| <b>Inmate-on-inmate sexual abuse</b> | 0                             | 0                            | 0                                  | 0   |
| <b>Staff-on-inmate sexual abuse</b>  | 1                             | 0                            | 1                                  | 0   |
| <b>Total</b>                         | 1                             | 0                            | 1                                  | 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 |
|---|------------------------------------|------------------------------|------------------------------------|---|
| <b>Inmate-on-inmate sexual harassment</b> | 5                                  | 0                            | 5                                  | 0   |
| <b>Staff-on-inmate sexual harassment</b>  | 0                                  | 0                            | 0                                  | 0   |
| <b>Total</b>                              | 5                                  | 0                            | 50                                 | 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 |
|--------------------------------------|---------|--------------------------|----------------------------|------------------------|-----------|
| <b>Inmate-on-inmate sexual abuse</b> | 0       | 0                        | 0                          | 0                      | 0         |
| <b>Staff-on-inmate sexual abuse</b>  | 0       | 0                        | 0                          | 0                      | 0         |
| <b>Total</b>                         | 0       | 0                        | 0                          | 0                      | 0         |

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

|                                      | Ongoing | Unfounded | Unsubstantiated | Substantiated |
|--------------------------------------|---------|-----------|-----------------|---------------|
| <b>Inmate-on-inmate sexual abuse</b> | 0       | 0         | 0               | 0             |
| <b>Staff-on-inmate sexual abuse</b>  | 0       | 0         | 1               | 0             |
| <b>Total</b>                         | 0       | 0         | 10              | 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 |
|---|---------|--------------------------|----------------------------|------------------------|-----------|
| <b>Inmate-on-inmate sexual harassment</b> | 0       | 0                        | 0                          | 0                      | 0         |
| <b>Staff-on-inmate sexual harassment</b>  | 0       | 0                        | 0                          | 0                      | 0         |
| <b>Total</b>                              | 0       | 0                        | 0                          | 0                      | 0         |

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

|   | Ongoing | Unfounded | Unsubstantiated | Substantiated |
|---|---------|-----------|-----------------|---------------|
| <b>Inmate-on-inmate sexual harassment</b> | 0       | 0         | 5               | 0             |
| <b>Staff-on-inmate sexual harassment</b>  | 0       | 0         | 0               | 0             |
| <b>Total</b>                              | 0       | 0         | 5               | 0             |

**Sexual Abuse and Sexual Harassment Investigation Files Selected for Review**

**Sexual Abuse Investigation Files Selected for Review**

|  |   |
|--|---|
| <b>98. Enter the total number of SEXUAL ABUSE investigation files reviewed/ sampled:</b> | 1 |
|--|---|

|   |   |
|---|---|
| <p><b>99. Did your selection of SEXUAL ABUSE investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?</b></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><b>Inmate-on-inmate sexual abuse investigation files</b></p>   |   |
| <p><b>100. Enter the total number of INMATE-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:</b></p>  | <p>0</p>  |
| <p><b>101. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?</b></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><b>102. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?</b></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><b>Staff-on-inmate sexual abuse investigation files</b></p>  |   |
| <p><b>103. Enter the total number of STAFF-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:</b></p>   | <p>1</p>  |
| <p><b>104. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?</b></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><b>105. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?</b></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><b>Sexual Harassment Investigation Files Selected for Review</b></p>   |  |
| <p><b>106. Enter the total number of SEXUAL HARASSMENT investigation files reviewed/sampled:</b></p>  | <p>5</p>   |
| <p><b>107. Did your selection of SEXUAL HARASSMENT investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?</b></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><b>Inmate-on-inmate sexual harassment investigation files</b></p>  |  |
| <p><b>108. Enter the total number of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:</b></p>   | <p>5</p>   |
| <p><b>109. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT files include criminal investigations?</b></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><b>110. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?</b></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> |

| <b>Staff-on-inmate sexual harassment investigation files</b>   |  |
|--|--|
| <b>111. Enter the total number of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:</b>  | 0  |
| <b>112. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include criminal investigations?</b>  | <input type="radio"/> Yes<br><input checked="" type="radio"/> No<br><input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files) |
| <b>113. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?</b>  | <input type="radio"/> Yes<br><input checked="" type="radio"/> No<br><input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files) |
| <b>114. Provide any additional comments regarding selecting and reviewing sexual abuse and sexual harassment investigation files.</b>  | No text provided.  |
| <b>SUPPORT STAFF INFORMATION</b>   |  |
| <b>DOJ-certified PREA Auditors Support Staff</b>   |  |
| <b>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.</b> | <input type="radio"/> Yes<br><input checked="" type="radio"/> No   |

| <b>Non-certified Support Staff</b>  |   |
|---|---|
| <p><b>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.</b></p> | <p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>   |
| <p><b>a. Enter the TOTAL NUMBER OF NON-CERTIFIED SUPPORT who provided assistance at any point during this audit:</b></p>  | <p>2</p>  |
| <b>AUDITING ARRANGEMENTS AND COMPENSATION</b>   |   |
| <p><b>121. Who paid you to conduct this audit?</b></p>  | <p><input type="radio"/> The audited facility or its parent agency</p> <p><input checked="" type="radio"/> My state/territory or county government employer (if you audit as part of a consortium or circular auditing arrangement, select this option)</p> <p><input type="radio"/> A third-party auditing entity (e.g., accreditation body, consulting firm)</p> <p><input type="radio"/> Other</p> |
| <p><b>Identify your state/territory or county government employer by name:</b></p>  | <p>Nevada Department of Corrections</p>   |
| <p><b>Was this audit conducted as part of a consortium or circular auditing arrangement?</b></p>  | <p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>   |

| <b>Standards</b>   |  |
|--|--|
| <b>Auditor Overall Determination Definitions</b>   |  |
| <ul style="list-style-type: none"> <li>Exceeds Standard<br/>(Substantially exceeds requirement of standard)</li> <li>Meets Standard<br/>(substantial compliance; complies in all material ways with the stand for the relevant review period)</li> <li>Does Not Meet Standard<br/>(requires corrective actions)</li> </ul>   |  |
| <b>Auditor Discussion Instructions</b>   |  |
| <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> |  |

| <b>115.11</b> | <b>Zero tolerance of sexual abuse and sexual harassment; PREA coordinator</b>   |
|---------------|---|
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>Agency PREA Director position description</li> </ul> |

- Agency Organizational Chart
- WIDOC PREA Compliance Manager Roster

Interviews conducted

- Agency PREA Director
- Facility PREA Compliance Manager
- Facility backup PREA Compliance Manager
- Random staff

(a) The agency's Zero Tolerance Policy is referenced within ED 72 and states "The Wisconsin Department of Corrections has zero tolerance for sexual abuse, sexual harassment and report-related retaliation in its facilities, including those with which it contracts for the confinement of PIOC's".

- The DOC provides a coordinated victim-centered response to reports of sexual abuse and sexual harassment. This includes providing medical and mental health services to victims, as appropriate, while investigating all allegations.
- The DOC provides multiple avenues to report allegations of sexual abuse and sexual harassment and, further, recognizes the right of staff members and PIOC's to be free from retaliation for reporting or participating in the investigation of sexual abuse and sexual harassment.
- The DOC trains all employees, contractors and volunteers to recognize, respond to and report sexual abuse and sexual harassment.
- The DOC provides PIOC's with a comprehensive orientation that details their right to be free from sexual abuse, sexual harassment and report-related retaliation.
- The DOC employs a data collection method to accurately track and aggregate sexual abuse and sexual harassment incidents, identify core causal factors and take corrective action so as to align with a zero-tolerance environment.

(b) ED #72 states "The DOC shall employ or designate a PREA Director to oversee department efforts to comply with PREA standards. This position shall have sufficient time and authority to develop, implement and oversee DOC's efforts to comply with PREA standards in all of its facilities." The agency policy, agency PREA Director position description, and specialized interview with the Agency PREA Director supported compliance with this provision to include the guidance posted on the PREA Resource Center under the Frequently Asked Questions (FAQ) dated December 18, 2015, which reads in part:

- In terms of authority, PREA Directors at the agency level must, at a minimum, have:
- Direct access to the agency's most senior leader or chief executive officer (e.g., Director, Secretary, Commissioner, Administrator, etc.);
- Direct access to the agency's executive or senior leadership team; and

- The influence necessary to create and implement agency-wide policies, procedures, and practices, without any interference from other levels of bureaucracy or supervision, and in accordance with the PREA standards and interpretative guidance issued by DOJ

WI Department of Administration DOA-15302 PREA Director Position Description Summary:

Rape Elimination Act (PREA) provisions in the Department. The scope of this position encompasses the entire Wisconsin Department of Corrections in which capacity it serves as the department expert on the PREA and provides oversight and consultation to department management. This position is responsible for the planning, coordination, implementation, and maintenance of an ongoing PREA training and education program, and will serve as a subject matter expert on PREA quality and training standards; monitor all department-wide PREA processes; and work with agencies and stakeholders in attaining consistent, quality PREA training and education.

**Pre-onsite PREA Director interview:** While the PREA Standards reference and define “PREA Coordinator”, WI DOC policy defines this position as the “PREA Director.” The PREA Director is assigned to the PREA Office in Madison (Headquarters) and reports to the Assistant Deputy Secretary with direct access to the Secretary. The PREA Director supervises four staff assigned to the PREA office who provide additional support in monitoring the agency and facilities' PREA Compliance. The PREA Director stated they have the time and authority to oversee the agency's efforts to comply with the PREA standards and have direct access to the agency's Executive Leadership. The PREA Director with support from her team coordinates the agencies and facility's efforts to comply with the PREA standards which include and not limited to quarterly status checks with the facility PREA Compliance Managers (PCM) through email, telephone, virtual meetings, and on-site visits. Should they identify areas that are not meeting compliance with standards, the PREA Director, PREA office liaison, and the facility PCM brainstorm solutions. This could include updating policy and/or procedures, staff training, looking at other facilities on improvements they have made to meet compliance, or implementing best practices.

(c) ED #72 states “The appointing authority or designee at each facility shall assign one employee as the facility-based PREA Compliance Manager with sufficient time and authority to coordinate the facility’s efforts to comply with PREA standards as set forth by DOC.”

Pre-onsite facility interviews

**PCM:** The Warden designated the facility Security Director as the PCM who has held this position for four years. They stated they have time and authority to manage the PREA responsibilities with the support of the Administrative Captain. The upper-level facility staff including the Warden, Deputy Warden, Shift Captains, Training Captain, psychological services unit, and health services unit staff work collaboratively together as a PREA team to improve the facilities policy, procedures, staff training,

|  |   |
|--|---|
|  | <p>etc.</p> <p><b>Back-up PCM:</b> The Administrative Captain has the additional responsibility of supporting the Security Director/PCM with overseeing PREA compliance. They stated they have enough time to support the PCM who designates tasks for them to address or follow up with. They are new to this position and still learning the nuances of the PREA standards as a whole, however, are knowledgeable on the facilities response and reporting for allegations of sexual abuse and sexual harassment.</p> <p><b>On-site:</b> The audit team completed a physical plant review and observed PREA information posted in all housing units, visiting room, program and work areas.</p> <p><b>Conclusion.</b> The auditor finds the facility meets compliance with this standard.</p> |
|--|---|

| <b>115.12</b> | <b>Contracting with other entities for the confinement of inmates</b>  |
|---------------|--|
|               | <p><b>Auditor Overall Determination:</b> Meets Standard</p>  |
|               | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Division of Adult Institutions (DAI) policy 410-00-01</li> <li>• WI DOC contact monitoring PREA audit log</li> <li>• DAI DOC-2845 Contract Compliance Review Report – Prison Rape Elimination Act</li> <li>• Twelve agency contract agreements</li> <li>• Three Final Audit Reports</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Agency Contracts Administrator</li> </ul> |

**Pre-on-site review:** The agency has twelve contracts with county jails for the confinement of offenders. The auditor reviewed agency policies, contract agreements, and contracted facility public websites. All contracted facilities have received at least one National PREA audit and all but one have received final audit reports at the time this final report was submitted.

Contract Facilities

- Fond Du Lac County
- Milwaukee County House
- Jefferson County
- Juneau County
- Marquette County
- Oneida County
- Ozaukee County
- Racine County
- Sauk County
- Vernon County
- Vilas County
- Rock County

(a) (b) ED #72 states “All new or renewed contracts for the confinement of the DOC PIOC’s not within a DOC-operated facility shall include a provision regarding the contractor’s obligation to adopt and comply with PREA standards. In addition, any new contract or contract renewal shall provide for contract monitoring to ensure that the contractor is complying with PREA standards”

Excerpt from the contract agreement Q. Prison Rape Elimination Act - 1 thru 5 reads:

1. The Sheriff agrees to comply with the Federal Prison Rape Elimination Act of 2003 and any subsequent standards imposed by the United States Attorney General. If the Sheriff is not in full compliance with the Federal Prison Rape Elimination Act of 2003, the Sheriff shall take all feasible and necessary steps to work toward full compliance, shall continue to do so until full compliance is achieved, and shall continue to maintain full compliance.
2. The Sheriff shall have policies and procedures in place for responding to sexual abuse and sexual harassment allegations as defined by PREA, in addition to report-related retaliation allegations, and shall further have procedures or policies for maintaining reports and records necessary for reporting data consistent with PREA. The Sheriff shall provide training for its staff, contractors, interns, volunteers, and any others who may have contact with inmates pursuant to its policy, procedures, and PREA standards. See 28 C.F.R. § 115.12. 2.
3. The Sheriff shall schedule and subject itself to a Department of Justice (DOJ) PREA Audit pursuant to 28 C.F.R. § 115.401-405 at least once every three years beginning August 20, 2013. The Sheriff shall bear the costs of

- conducting the audit. The Sheriff shall forward all interim and final facility PREA audit reports within 30 days of receipt to DOCPREData@wisconsin.gov.
4. The Sheriff agrees to timely completion of the Bureau of Justice Statistics Annual Survey of Sexual Victimization (SSV) and/or its current equivalent survey. The Sheriff will forward a copy of the SSVIAAdult Incident Form and/or SSVIJ-Juvenile Incident Form for each incident involving DOC inmates in the prior calendar year to the DOC within 30 calendar days of the date the Bureau of Justice Statistics publishes the Annual Survey on Sexual Victimization. These forms shall be forwarded to the DOC PREA Office at OCPREData@wisconsin.gov. See 28 C.F.R. § 115.87.

During the years in which the Sheriff is not audited by a US DOJ PREA auditor in accordance with 28 C.F.R. § 115.401-405, DOC shall conduct an annual compliance review to ensure that the Sheriff is compliant with PREA standards. This review may include, but is not limited to, facility tour, staff and inmate interviews, and examination of Sheriff policies, procedures, staff records, inmate records, training records, and incident records related to sexual abuse or sexual harassment allegations as defined by PREA, or report-related retaliation allegations. See 28 C.F.R. § 115.12.

The Sheriff shall notify the DOC within 24 hours of any sexual abuse or sexual harassment allegation as defined by 28 C.F.R. § 115.5-6, or any report-related retaliation allegation. The notification shall be made via email to DOCPREData@wisconsin.gov and shall include a copy of the facility's incident report. If the DOC has reason to believe that any of these incidents have occurred, it shall have immediate access to relevant Sheriff's records as defined by DOC. Section R. of the contract requires they report serious incidents committed by inmates which include any PREA allegations and/or investigations.

**Pre-on-site Agency Contracts Administrator interview:** The agency PREA contracts monitor has worked for WIDOC for 21 years and reports to the Agency PREA Director. Currently, the agency has twelve active contracts with sheriff departments in several counties that may temporarily house Wisconsin Offenders within the jail or detention center. The contract monitor conducts on-site reviews and internal audits for monitoring compliance. The contract monitor communicates regularly with these agencies and is notified of any reported incidents of sexual abuse and sexual harassment involving any WIDOC offender who is in their care. This includes the status of an investigation when the investigation has been closed and the outcome of the investigation.

**Conclusion:** Based on a review of the available evidence and interviews the facility/ agency meets compliance with this standard.

|               |  |
|---------------|--|
| <b>115.13</b> | <b>Supervision and monitoring</b>                    |
|               | <b>Auditor Overall Determination:</b> Meets Standard |

## **Auditor Discussion**

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

### Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions Policy and Procedures (DAI) #410-05-05 Chapter 410 Prison Rape Elimination Act
- Facility Staffing Plan
- PREA Director Annual Staffing Plan Review Log
- Division of Adult Institutions Policy and Procedures (DAI) #410.40.01 Unannounced Supervisory Rounds
- Sample documentation of the supervisor's unannounced rounds logbook entries

### Interviews conducted

- Warden
- PREA Compliance Manager
- PREA Director
- Targeted Supervisors who conducted announced tours
- Random Staff
- Offenders

(a) ED 72 requires, “Each facility shall develop, document and make its best efforts to comply with a staffing plan that provides for adequate levels of employees and, where applicable, video monitoring, to protect PIOC’s against sexual abuse. In calculating adequate staffing levels and determining the need for video monitoring, facilities shall consider:

1. Generally accepted correctional practices;
2. Any judicial, federal investigative, and internal/external oversight agency findings of inadequacy;
3. The facility’s physical plant including blind spots or areas where staff or PIOC’s may be isolated;
4. The composition of the PIOC population;

5. The number and placement of security staff;
6. Institution programs occurring on a particular shift;
7. The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and
8. Applicable State or local laws, regulations, standards, and other relevant factors.

DAI 410.50.05 supports ED 72 outlining the general guidelines each facility is required to follow. Additionally, the auditor reviewed the facility's most recent staffing plan report which was signed electronically by the Facility leadership which included the PCM and Agency PREA Director.

**Pre-on-site Warden interview:** The Warden is responsible for completing and submitting the annual staffing plan report to PREA Director. The Deputy Warden and Security Director/PCM are included in the discussion and provide information to the Warden. This facility has not requested any new positions through the legislative process since the last audit.

(b) ED 72 states “In circumstances where the staffing plan is not complied with, the facility shall document in written form and justify all deviations from the plan.”

(c) ED 72 requires, “Whenever necessary, but not less frequently than once each year each facility, in consultation with the PREA Director, shall assess, determine and document whether adjustments are needed to:

1. The facility’s staffing plan;
2. The facility’s deployment of video monitoring systems and other monitoring technologies; and
3. The resources the facility has available to ensure adherence to the staffing plan

**Pre-on-site PREA Director interview:** Each facility consults with the Agency PREA Director each year around April or May to review staffing plan information. This information is assessed to determine if any adjustments are needed under provision (a) of this standard. The PREA Office maintains a tracking log to ensure all facilities are complying with this standard provision.

(d) ED 72 requires that “Supervisory staff shall conduct and document unannounced rounds, covering all shifts to identify and deter employee sexual abuse and sexual harassment. The DOC employees are prohibited from alerting other employees that these supervisory rounds are occurring unless such announcement is related to the legitimate operational functions of the facility.” In accordance with ED 72, DAI 410.40.01 requires supervisors to conduct rounds at random times across all shifts and days of the week. Following the unannounced round, supervisors are required to document their name, the time, and the date of the round using one of the following three methods:

1. Maintain a designated PREA/Unannounced round logbook
2. Record the unannounced round in an existing logbook using a red pen
3. Documented in the shift commander's shift report

**Pre-on-site document review:** The facility provided samples of the unit log books and supported that the facility supervisors document and record their unannounced rounds in red pen.

**On-site interviews:** Targeted interviews were completed with security supervisors from each shift. Supervisors selected for the interview stated they conduct unscheduled rounds several times daily and document them in the unit/program log books and their daily shift reports. Supervisors stated they do not notify staff when or the location(s) they are conducting their rounds, however, staff can observe them on video surveillance. If they hear or become aware that staff is alerting others, they will address the staff member. The audit team asked the unit staff if have observed supervisors consistently touring housing units and if the supervisor is of the opposite gender, are they completing the opposite gender announcement (115.15). The audit team informally spoke to staff during the physical plant review and selected random staff from each shift for an interview, staff affirmed the supervisor's conduct and documented unannounced rounds. The audit team also informally spoke with offenders during the physical plant review and selected random and targeted offenders for formal interviews. Offenders stated they observe supervisors periodically in housing units and program/work areas.

**On-site observations:** The audit team reviewed log books in all housing units and program/work areas during the physical plant review. The log books indicated supervisors' signed the log books on all shifts supporting interview responses and policy.

**Recommendation (a) (c):** During the physical plant review, the audit team identified areas that did not have video surveillance and less supervision where offenders and staff could be isolated. These areas were discussed during the site review, and exit brief with the understanding due to the fiscal impact, the auditor can not require new video surveillance/cameras. Installing video monitoring in these areas would support the detection and prevention of instances of sexual abuse and sexual harassment and the overall safety of offenders and staff within these areas. Additionally, video monitoring provides evidence supporting the administrative and criminal investigatory processes.

**Conclusion:** The auditor finds the facility meets compliance with this standard.

|               |  |
|---------------|--|
| <b>115.14</b> | <b>Youthful inmates</b>                              |
|               | <b>Auditor Overall Determination:</b> Meets Standard |
|               | <b>Auditor Discussion</b>                            |

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency movement memo date 12/19/2016
- Division of Adult Institutions (DAI) Policy and Procedure #302.00.20

While the name of this facility is Racine Youthful Offender Correctional Facility, the offenders are between the ages of 18 and 24 1/2

The agency has policies related to this standard Effective December 19, 2016, the Wisconsin Department of Corrections, Division of Adult Institutions moved all youthful inmates out of the adult institutions. Youthful inmates are now housed within Division of Juvenile Corrections (DJC) facilities.

(a) (b) (c) ED 72 states, “Youthful inmates shall not be placed in a housing unit in which they have sight, sound or physical contact with any adult PIOC through use of a shared dayroom or other common space, shower area or sleeping quarters. In areas outside of housing units, DOC shall either: maintain sight and sound separation between youthful inmates and adult PIOC or provide direct staff supervision when youthful inmates and adult PIOC have sight, sound, or physical contact. Adult facilities shall make best efforts to avoid isolating youthful inmates to comply with this provision. Absent exigent circumstances, adult facilities shall not deny youthful inmates daily large muscle exercise and any legally required special education services to comply with this provision. Youthful inmates shall also have access to other programs and work opportunities to the extent possible. Such exigent circumstances leading to the denial of large-muscle exercise, legally required education services, and/or other programming shall be documented.

DAI #302.00.20 states, “The Division of Adult Institutions shall not house juveniles in adult correctional facilities. the placement of adjudicated juveniles or juveniles sentenced as adults.” The policy includes definitions and procedures which clearly state that Adjudicated Juveniles who are less than 18 years of age shall not be admitted to a Division of Adult Institutions (DAI) facility or Wisconsin Resource Center (WRC).

**Conclusion:** This auditor finds the facility meets compliance with this standard.

**115.15 Limits to cross-gender viewing and searches**

**Auditor Overall Determination:** Meets Standard

**Auditor Discussion**

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 500.70.24 Clinical Observation
- Division of Adult Institutions (DAI) Policy and Procedures 306.17.02 Searches of Inmates
- Division of Adult Institutions (DAI) Policy and Procedures 306.16.01 Use of Body Cameras
- Division of Adult Institutions (DAI) Policy and Procedures 410.40.02 Opposite Gender Viewing and Announcing
- Division of Adult Institution (DAI) Policy and Procedures 500.70.27 Transgender Management Care
- DOC-544 Lesson Plan - Personal Searches: pat Searches and Strip Searches

Interviews conducted

- Random Staff
- Random Offenders
- Targeted Offenders

(a) ED 72 states “Adult facilities shall not permit cross-gender strip or body cavity searches of PIOC’s except in exigent circumstances or when performed by medical practitioners. Exigent circumstances shall be documented.”

DAI 306.17.02 states “Staff directly observing the inmate during a strip search shall be required to be the same sex as the inmate. A second staff shall only observe the staff performing the strip search” and “All body cavity searches, and certain body content searches must be conducted by off-site health professionals.” In, accordance with this policy, DAI 306.16.01 addresses the use of body-worn cameras (BWC) during a strip search or staff-assisted strip search.

DAI 306.17.02 prohibits cross-gender strip searches, except in exigent circumstances or when performed by medical practitioners. If a strip search is required for a non-compliant inmate, the staff member shall be the same gender as the inmate, except in exigent circumstances.

**Onsite random staff interviews:** Staff selected for interview affirmed compliance with the agency policy refraining from conducting cross-gender searches or cavity body searches.

(b) ED 72 states “Except in exigent circumstances, adult facilities shall not permit cross-gender pat-down searches of female PIOC. Exigent circumstances shall be documented.”

- This provision does not apply to this facility audit as the facility does not house female offenders.

(c) ED states “All cross-gender strip and body cavity searches, in addition to cross-gender pat-down searches of females, shall be documented.” DAI 306.17.05 requires Inmate searches to be documented utilizing DOC-1523, including documenting exigent circumstances of exigent circumstance where cross-gender strip, body cavity, or body contents searches are performed.

(d) ED 72 states “In order to enable PIOC to shower, perform bodily functions and change clothing without nonmedical staff members of the opposite gender viewing their breasts, buttocks or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks, staff members of the opposite gender shall announce their presence when entering a PIOC housing unit. If the opposite gender status quo changes during that shift then another announcement is required. Facilities shall not restrict access to regularly available programming or other out-of-cell or housing unit opportunities in order to comply with this provision.”

#### Cross-gender viewing

DAI policy 500.70.24 defines cross-gender constant observation as a constant observation that is conducted by a staff member with gender identity (male or female) that varies from inmate sex assigned at birth (or gender recognized by DOC, if different than the sex assigned at birth).

The policy outlines the procedures when an inmate has been placed on constant observation status. “Cross-gender constant observation may be conducted when privacy accommodations are provided for toileting, showering, and changing clothing. Exceptions are allowed in exigent circumstances.

#### Cross-gender announcements

DAI 410.40.02 requires each facility to develop and be responsible for implementing local procedures to ensure that a consistent announcement is made each time a staff member, contractor, or volunteer of the opposite gender enters a housing unit. At a minimum, the announcement must be made when an opposite-gender staff member

enters the housing unit and there are no other opposite-gender staff members present in the housing unit. When an opposite-gender staff member is entering a housing unit and it is unknown to him/her whether the opposite-gender announcement has been made on his or her behalf, the entering staff member shall be responsible for making an announcement.

The policy lists three available options of generally accepted practices for executing such announcements

1. A designated tone, sign, and/or light that is used only for the purpose of announcing a member of the opposite gender entering housing units
2. An announcement made by the staff working the control desk via the intercom or alternate system
3. The opposite-gender staff person makes an audible announcement of their presence

In accordance with DAI 300.00.35 and 300.0061 policy, facilities shall develop an alternative or supplementary notification method for deaf or blind inmates.

**Onsite interviews and observations:** When the audit team entered offender housing units during the physical plant review and when entering the unit to conduct interviews, the opposite gender tone was initiated for the lead auditor and escorting female staff. The audit team observed at least one female security employee in most of the housing units and shift rosters that were provided to the auditor. Some offenders interviewed stated the "alert tone" was not initiated consistently, however, also stated they are not able to hear if they have their headphones on when the tone was activated. The audit team discussed offender responses and determined the facility was meeting substantial compliance.

(e) ED 72 states "Facilities may not search or physically examine a transgender or intersex PIOC for the sole purpose of determining the PIOC's genital status. If the PIOC's genital status is unknown, it may be determined during conversations with the PIOC, 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." In accordance with ED 72, DAI 306.17.02 states "Staff shall not physically examine or search a transgender or intersex inmate for the sole purpose of determining the inmate's genital status. If unknown, an inmate's genital status may be determined through the following methods:

1. Conversation with the inmate
2. Review of medical records
3. As part of a broader medical examination conducted in private by an ACP

**Onsite interviews:** The audit team interviewed random staff and one Transgender Offender. Staff interviewed stated they do not search a Transgender or Intersex Offender for the sole purpose of determining the offender's genital status. The interview with the Transgender Offender affirmed information learned during staff

interviews.

(f) ED 72 states “All security staff shall be trained on how to conduct cross-gender pat-down searches and searches of transgender and intersex PIOC’s to ensure professionalism and to utilize the least intrusive manner possible consistent with security needs.” In addition to ED 72 outlined training requirements, DAI Policy 500.70.27 page 5 provision H Pat searches states. “Staff shall use the back of hand or bladed hand for the chest and groin area in a professional and respectful manner, and in the least intrusive manner as possible, consistent with security needs.” The auditor reviewed the agency lesson plan to ascertain the training provided to staff on how to search Transgender offenders professionally. The agency has adopted a “universal” pat search that they use for all offenders regardless of gender using the back/blade of the hand around the breast area and never coming down over the areola.

**Pre-on-site document review:** The auditor received Principles of Subject Control Training class sign-in sheets which include pat search training.

**Onsite interviews and observations:** All security staff interviewed stated they had received training on how to conduct proper pat searches of Transgender and Intersex Offenders and were able to describe how they conduct pat searches for all offenders including those who identify as Transgender female or Intersex. The Transgender Offender stated staff conduct professional and appropriate clothed searches.

**Corrective action (d):** During the physical plant review the audit team observed areas that required a level of coverage on offender restroom windows for privacy/modesty. The facility presented a plan of action mutually agreed upon between the facility and the auditor.

1. Movement Control Station (MCS), Gym, and Property/Stores area: Some of the offender restroom doors had long windows needing a level of coverage. The amount of coverage was discussed and agreed that the level of privacy would minimize incidental viewing by persons walking by, while still allowing the ability for security staff to view the restroom for safety and security. **Follow-up:** This action was completed before the issuance of the interim report and the facility provided a photo of each location to the auditor supporting the action taken.
2. Restrictive Housing Unit (RHU): The cells in RHU had large windows and a clear view of the toilets. The facility had previously corrected direct view from the officer's station, however, the auditor and Security Director discussed providing a section of coverage across the window for a level of privacy. The only cell(s) exempt are those designed for suicide watch requiring direct observation. **Follow-up:** The facility presented a plan to apply tinting on a portion of the cell windows and provided updates on the status of the project. In June, 2023 the facility completed the application of the tint and provided photos of the cells that supported offenders to have a level of modesty/privacy when using the toilet and changing clothing.

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|  | <p><b>Conclusion:</b> After receiving and reviewing additional and relevant evidence the facility meets compliance with this standard.</p> |
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| <p><b>115.16</b></p> | <p><b>Inmates with disabilities and inmates who are limited English proficient</b></p>   |
|                      | <p><b>Auditor Overall Determination:</b> Meets Standard</p> <hr/> <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Executive Directive 71 (excerpt reference): WIDOC Sexual Abuse and Sexual Harassment Prevention and Intervention, Resources for Inmates (Large Print)</li> <li>• Division of Adult Institutions Policy and Procedures (DAI) 300.00.35 Americans with Disabilities Act</li> <li>• Agency ASL/LEP Video Contract</li> <li>• Agency ASL In-Person Contract</li> <li>• Agency LEP Written Contracts</li> <li>• Agency LEP In-Person Contracts</li> <li>• Agency LEP Telephone Interpretation Services</li> <li>• WIDOC Sexual Abuse and Sexual Harassment Prevention and Intervention, Resources for Inmates (Large Print)</li> <li>• WIDOC Sexual Abuse and Sexual Harassment Prevention and Intervention, Resources for Inmates (Spanish)</li> <li>• Agency Posted Language Policy Notice (English and Spanish)</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Assistant Deputy Secretary</li> <li>• Targeted Offender</li> <li>• Random Staff</li> </ul> |

(a) (b) ED 72 states “PIOCs with disabilities or who have limited English proficiency shall have an equal opportunity to participate in or benefit from all aspects of the DOC’s efforts to prevent, detect and respond to sexual abuse and sexual harassment. This includes providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary, in addition to the provision of PIOC education in formats accessible to all. Written materials shall be provided in formats or methods that ensure effective communication with PIOCs with disabilities.” In accordance with ED 72, (DAI) 300.00.35 outlines procedures facilities will take to identify and provide accommodations for inmates with disabilities including during intake and when they transfer to another facility.

(c) ED 72 states “The facility shall not rely on PIOC interpreters, PIOC readers or other types of PIOC assistants except in exigent circumstances where an extended delay in obtaining an effective interpreter could compromise the PIOC’s safety, the performance of first responder duties or the investigation of the PIOC’s allegations. The exigent circumstances in which PIOC assistants are used shall be documented.”

**Pre-onsite:** The auditor interviewed the Assistant Deputy Secretary who described the agency policy and available services for offenders who require ADA accommodations and translation services for offenders who are limited English proficient, deaf/limited hearing, or blind/low vision. The auditor sent an email request to the PCM and PREA Office liaison for a list of offenders requiring translation and/or interpretation services during this audit time frame and an updated roster on day one of the onsite audit.

**On-site:** The audit team observed PREA posters in the housing units and around the facility in Spanish and interviewed random staff who were aware that the facility had bilingual staff (Spanish) including the audit team interviewing staff who were bilingual. If bilingual staff were not available, they would utilize the I-Speak information and contact a supervisor. The audit team selected offenders to the best of their ability by race/ethnicity from each housing unit including those who fell under the criteria for target interviews. PSU and HSU were available to assist the PREA Office liaison and the audit team in selecting target offender interviews. The lead auditor utilized "Interpreters Unlimited" when interviewing one offender whose primary language was Spanish who affirmed the facility has bilingual staff and has used the translation services.

**Conclusion:** Based on relevant and available evidence and interviews with both staff and offenders, the facility meets compliance with this standard.

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| <b>115.17</b> | <b>Hiring and promotion decisions</b>                |
|               | <b>Auditor Overall Determination:</b> Meets Standard |
|               | <b>Auditor Discussion</b>                            |

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines "Person In Our Care (PIOC)" means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency Executive Directive #42: Police Contact, Arrest, and Conviction Policy for Current Employees
- Division of Adult Institutions (DAI) Policy and Procedures 309.06.03: Volunteers, Pastoral Visitors, Program Guests, and Interns
- Division of Adult Institutions (DAI) 309.06.03 Volunteer Application
- Agency Human Resources Policy 200.30.507 Reference Checks
- Agency Human Resources Background check procedure
- Agency Human Resources Fingerprint Procedures
- DOC-2430 Facility Security Clearance Background Check
- DOC-1098D Background Check Authorization Form
- DOC-1098R Candidate Reference Check Form
- DOC-2674 DAI Volunteer Application (blank)
- DOC-2786 PREA Sexual Abuse and Sexual Harassment in Confinement Training Contractor acknowledgment form
- Sexual abuse and sexual harassment in confinement: A guide for volunteers and contractors (brochure)

Interviews conducted

- Human Resources Director
- Corrections Programs Supervisor

(a) (b) ED 72 Hiring and Promotion Decisions states, "The DOC shall not hire or promote anyone who has engaged in sexual abuse in a confinement facility; has been convicted of engaging or attempting to engage in non-consensual sexual activity in the community, or has been civilly or administratively adjudicated to have engaged in activity described above. The DOC shall consider any incidents of sexual harassment when determining whether to hire, promote or enlist the services of any employee." In accordance with ED 72, the Agency Human Resources Policy 200.30.507 Reference Checks outlines procedures for HR staff to follow when completing background and reference checks.

(c) (d) (h) ED 72 states, "Prior to hiring new staff members and enlisting the services

of any employee who may have contact with offenders, the DOC shall perform a criminal background records check” and “The DOC shall make its best effort to obtain (and, when requested, provide) reference information from all prior institutional employers on substantiated allegations of sexual abuse or sexual harassment or any resignation during a pending investigation of a sexual abuse allegation.” In accordance with ED 72, the Agency Human Resources Policy 200.30.507 Reference Checks outlines procedures for HR staff to follow when completing background and reference checks.

(d) DAI 309.06.03 requires the agency to conduct criminal background checks for all volunteers. The policy additionally requires a new background check if the prior review was completed more than one year ago. Any volunteers who have been inactive at all facilities for more than one year shall reapply as new volunteers. August of 2022 DOC-2674 DAI Volunteer Application was revised to include an acknowledgment of their understanding of all DOC and DAI policies, Wisconsin and Federal laws, and the DOCs zero tolerance regarding sexual abuse and sexual harassment, as well as their responsibilities for adhering to PREA as a volunteer.

**Pre-onsite:** PREA audit team was required to complete the 1098D background check as a contractor in compliance with the standard provision. Additionally, the auditor reviewed random volunteer background check information.

(e) ED 72 states, “The DOC shall conduct a criminal background records check every five years for current employees.”

(f) (g) ED 72 page five requires all applicants to disclose instances of sexual misconduct and applicants who fail to disclose such information shall be ineligible for hire for the current vacancy and, if applicable, may be grounds for termination.

Pre-onsite interviews:

**Human Resources Director:** The facility's HR Director oversees the HR assistants who perform background checks for new hires and promotional candidates and current employees' five-year background checks. Candidates complete DOC 1098D which requires them to answer questions outlined above (a–b) of this standard. HR assistants utilize Portal 100, livescan fingerprints, and review Wisconsin Circuit Court (CCAP) to complete criminal background checks. If the candidate notes prior confinement employment the HR assistant will be completed the 1098R candidate reference check. HRs assistants are also responsible for conducting five-year background checks on current employees by generating a monthly report to identify which staff are due for a five-year background. After completing background checks information is documented in the People soft database

**Corrections Program Supervisor (CPS):** This position is responsible for conducting background checks for volunteers, and persons of interest background checks and PREA training (115.32). Contractors are required to complete and sign the DOC-2674 background release form which also requires them to answer questions outlined above (a - b) of this standard. The CPS utilizes Portal 100, FBI fingerprints, and reviews Wisconsin Circuit Court (CCAP) to complete criminal background checks.

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|  | <p><b>Pre and Post onsite document review:</b> In conjunction with standards 115.31, 115.32, 115.34, and 115.35, the auditor selected random staff and utilized the PREA Audit Employee Files/Records review guide. The auditor was provided with screenshots of the database which reflected the dates background checks were completed for staff, contract employees, and volunteers.</p> <p><b>Conclusion:</b> Based upon the available evidence, this auditor finds they meet compliance with this standard.</p> |
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| <b>115.18</b> | <b>Upgrades to facilities and technologies</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard   |
|               | <b>Auditor Discussion</b>  |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• DOC-2635 Maintenance Project Request for Approval (blank)</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Assistant Deputy Secretary</li> <li>• Warden</li> </ul> <p>(a) ED 72 states, “When designing or acquiring any new facility and in planning any substantial expansion or modification of existing facilities, the DOC shall consider the effect of the design, acquisition, expansion or modification upon the DOC’s ability to protect PIOC’s from sexual abuse.”</p> <p>(b) ED 72 states, “When installing or updating a video monitoring system, electronic surveillance system, or other monitoring technology, the DOC shall consider how such technology may enhance the DOC’s ability to protect PIOC’s from sexual abuse.”</p> |

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|  | <p><b>Pre-on-site interviews:</b> The Deputy Assistant Secretary stated this facility has not had any substantial plant modifications. Should a facility be approved for modifications they ensure to follow correctional practices including those outlined in the PREA standards. They will consider staffing, blind spots, and areas video surveillance would be installed. Interviewing the Warden, they stated they have not had any substantial expansions or modifications and the facility is not anticipating any modifications in the near future. The facility has installed new/updated monitoring technology since the last PREA audit and before installing the Warden, Security Director, PCM, and other security staff reviewed areas of concern and prioritized areas where blind spots were identified.</p> <p><b>On-site observations:</b> The facility did not have any areas that had been renovated, modified, or expanded. During the physical plant review, the audit team identified cameras in all housing units and some of the program areas. The audit team viewed video monitors and requested staff pull up specific locations. In conjunction with standard 115.13 (a) (c) the audit team identified areas that did not have video surveillance and had less supervision where offenders and staff could be isolated. A recommendation was made should the facility request /receive funding for cameras/ video monitoring in the future these areas should be prioritized.</p> <p><b>Conclusion:</b> The auditor finds the facility meets compliance with this standard.</p> |
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| 115.21 | Evidence protocol and forensic medical examinations   |
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|        | <p><b>Auditor Overall Determination:</b> Meets Standard</p>   |
|        | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 500.30.19 Health Services Unit Procedure</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 305.00.14 Protection, Gathering, and Preservation of Evidence</li> </ul> |

- Excerpt from the Agency Healthcare Manual Reference
- Excerpt from ED 72 XVI. Initial Response and Care
- Excerpt from the Inmate Handbook
- Sample Facility sexual abuse report and response
- MOU between WIDOC and Sexual Assault Service Provider
- Support Services Workshop - WIDOC Victim Services Coordinators Agenda
- Agency Victim Accompaniment Guide
- Agency Victim Services Coordinator Sexual Abuse and Sexual Harassment Reference Guide
- Agency Victim Services Coordinator Response Checklist (DOC-2767)
- Agency Law Enforcement Compliance Request

Interviews conducted

- PREA Compliance Manager
- Random Staff
- Sexual Assault Nurse Examiner
- Community Victim Advocate
- Office of Internal Affairs (IA) Investigator
- Facility Investigator
- Facility Victim Services Coordinator (VSC)
- Target Offender

(a) (b) ED #72 states “The DOC shall follow a uniform evidence protocol that maximizes the potential for preserving and/or collecting usable physical evidence for administrative proceedings and criminal prosecutions. Such protocol shall be developmentally appropriate for youth, where applicable, and adapted from a comprehensive and authoritative protocol developed after 2011.”

(c) ED #72 states, “The DOC’s medical response shall include the timely dissemination of information and access to emergency contraception and sexually transmitted infections prophylaxis. Further, all victims shall be offered access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiary or medically appropriate. Such examinations shall be performed by Sexual Assault Nurse Examiners (SANEs) where possible. If SANEs cannot be made available, the examination can be performed by other qualified medical practitioners. The facility shall document its efforts to provide SANEs

(d) (e) (h) ED #72 states, The facility shall attempt to make available to the victim an advocate from a local sexual assault service provider to accompany and support the victim through the forensic medical examination process and investigatory interviews. As requested by the victim, such a person shall also provide emotional support, crisis intervention, information, and referrals. If a sexual assault service provider is not available to provide victim advocate services, the DOC shall make available a member who has been screened for appropriateness to serve in this role and has received education concerning sexual assault and forensic examination issues. Facilities shall document efforts to secure services from a local sexual assault

service provider [

(f) When the DOC is not responsible for investigating allegations of sexual abuse, the DOC shall request that the investigating law enforcement agency follow the requirements outlined in §115.21(a-e)

ED #72 included the requirement that the institution/facility appointing authority or designee will assign one employee as the facility-based Victim Services Coordinator (VSC). The VSC is responsible for connecting victims of sexual abuse in confinement to outside support services and monitoring incarcerated victims of sexual abuse in accordance with the PREA standards. The VSC utilizes DOC-2767. meet with the victim and explain their role, provide community victim advocate information, and offer a referral to mental health and medical services.

Pre-onsite interviews

**Sexual Assault Nurse Examiner (SANE):** The lead auditor contacted Wheaton Franciscan Health Care - All Saints Emergency Room and spoke with the charge nurse. This hospital does not have Sexual Assault Nurse Examiners (SANE) on shift 24/7 and would contact the SANE to respond if an offender is brought into the ER for a sexual assault forensic exam. At the time of this interview, they only have one certified SANE and if they were not able to respond the charge nurse would contact another hospital to determine if they had a SANE who could conduct the exam. A victim advocate from Sexual Assault Services would respond to support the victim during the forensic exam.

**Community Victim Advocate:** The lead auditor contacted Sexual Assault Services, BeLEAF Survivors, and spoke with the primary victim advocate who provides services for victim offenders from this facility. At the time of this interview, they stated they have not been contacted to respond to support a victim-offender during a sexual assault forensic exam.

**PCM:** The PCM stated that should an offender victim of sexual abuse the facility VSC is responsible for making initial contact with the victim of sexual abuse and as requested by the victim would contact the victim advocate to support the offender victim during the forensic exam.

**Facility (VSC):** The Warden has designated one of the Psychological Services Unit (PSU) employees as the VSC. The PSU/VSC employee was new to this position and described the process after they receive notification of a reported incident of sexual abuse including meeting with the victim. The VSC was aware of the community victim advocate organization, however, had not communicated victim advocate. While not a compliance issue, the lead auditor recommended that the VSC make contact with the community victim advocate for initial introductions.

**IA and Facility Investigator:** Reported incidents of sexual abuse or sexual harassment with possible criminal violations are referred to local law enforcement. As requested by the victim-offender they will attempt to contact the community victim advocate or facility VSC to be present during the investigator interview.

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|  | <p><b>Document review:</b> In conjunction with standard 115.22 the facility received two reported incidents of sexual abuse during this audit time frame, however, the incidents as reported did not require a sexual assault forensic exam.</p> <p><b>On-site interviews:</b> The audit team interviewed random and target staff which intertwines with standards 115.64 and 115.65. The responsibility of security staff is to secure the crime scene and notify the supervisor who will initiate and follow the coordinated response plan. The facility only had one offender onsite who had reported sexual abuse, the lead auditor met with the victim who stated staff responded immediately, accepted their report and the security supervisor conducted the interview timely. The report did not require response protocols for the preservation of physical evidence.</p> <p><b>Conclusion:</b> The auditor finds the facility meets compliance with this standard.</p> |
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| 115.22 | Policies to ensure referrals of allegations for investigations  |
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|        | <p><b>Auditor Overall Determination:</b> Meets Standard</p>   |
|        | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 303.00.05 Law Enforcement referrals</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 306.00.15 Inmate Investigations (restricted)</li> <li>• WI Department of Corrections Human Resources Policy 200.30.304</li> <li>• Screenshot of the agency website</li> <li>• Facility Law Enforcement Contacts log for the audit time frame</li> </ul> |

- Investigations

Interviews conducted

- Assistant Deputy Secretary
- Office of Internal Affairs (IA) Investigator
- Facility Investigator
- PREA Director

(a) (d) ED 72 states, "The DOC shall ensure that an investigation is completed for all allegations of sexual abuse and sexual harassment, including those received from third-parties and anonymous sources. DOC shall maintain a policy(ies) that governs the conduct of such investigations."

(b) (c) ED 72 requires allegations of sexual abuse or sexual harassment involving potentially criminal behavior to be referred for investigation to local law enforcement. All referrals to law enforcement shall be documented. The policy describing such referrals, in addition to the investigative responsibilities of the DOC and local law enforcement, shall be published and maintained on the DOC's website. In accordance with provision (b) and ED 72, DAI 306.00.15 and policy 200.030.304 requires reports of sexual abuse and sexual harassment that may involve criminal behavior to be reported to law enforcement by the PCM or designee.

**Pre-onsite:** this auditor reviewed and verified the agency's public website DOC Prison Rape Elimination Act (wi.gov) includes ED 72 for public view.

(d) In accordance with ED 72 the agency has policies governing the conduct of these investigations. DAI 303.00.05 under LE referrals requires the Warden or designee to refer allegations of sexual abuse or sexual harassment as defined in ED 72 that involve criminal behavior (WI Sexual Assault Statute 940.025)

**Assistant Deputy Secretary:** All allegations of sexual abuse and sexual harassment will be investigated and procedures have been implemented to ensure prompt investigations.

**IA and Facility Investigator:** Criminal investigations are conducted by local law enforcement. The assigned IA or facility investigator will make attempts to communicate with outside LE on the status of the incident referred for criminal investigation. The investigator or designee will document contact and status of the criminal investigation in SINC.

**PREA Director:** The agency policy requires all allegations of sexual abuse or sexual harassment to be referred to local law enforcement if the allegation involves potential criminal behavior. The agency administrative investigator is responsible for conducting staff on offender sexual abuse and sexual harassment administrative investigation.

**Document review:** In conjunction with standard 115.71, the facility received five

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|  | <p>allegations of sexual harassment and one allegation of sexual abuse during this audit time frame. The facility completed administrative investigations for all reported incidents and contacted local law enforcement for the reported incident of sexual abuse involving potential criminal violations.</p> <p><b>Conclusion:</b> Based on relevant documentation, interviews, and review of selected investigations the facility meets compliance with this standard</p> |
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| <b>115.31</b> | <b>Employee training</b>  |
|               | <p><b>Auditor Overall Determination:</b> Meets Standard</p> <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Agency Training Pre-Service Curriculum</li> <li>• Agency Training Module All-Staff (screenshot)</li> <li>• Agency Training Module (Staff PREA refresher odd years)</li> <li>• Agency Newsletter for years employees do not receive staff fresher</li> <li>• WCCS Staff Orientation Checklist</li> <li>• Agency DOC form 1558 Employment Statement to Acknowledgment</li> <li>• PREA Facility Staff Training Report</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Random Staff</li> </ul> <p>(a-d) ED 72 states “The DOC shall train all new staff members on the department’s zero-tolerance policy for sexual abuse and sexual harassment. All staff members shall receive training every two years; in years in which a staff member does not receive such refresher training, the DOC shall provide refresher information on current sexual abuse and sexual harassment policies. The training shall include but is not limited to the subparts listed below. Each staff member shall acknowledge and certify to the</p> |

DOC, through signature or electronic verification, that they understand the training they received.”

1. The DOC’s zero-tolerance policy for sexual abuse and sexual harassment;
2. How to fulfill employee responsibilities under the DOC sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures; PIOC’s right to be free from sexual abuse and sexual harassment;
3. The right of PIOC’s and staff members to be free from retaliation for reporting sexual abuse and sexual harassment;
4. The dynamics of sexual abuse and sexual harassment in confinement;
5. The common reactions of sexual abuse and sexual harassment victims;
6. How to detect and respond to signs of threatened and actual sexual abuse;
7. How to avoid inappropriate relationships with PIOC’s;
8. How to communicate effectively and professionally with PIOC’s, including lesbian, gay, bisexual, transgender, intersex or gender nonconforming PIOC’s;
9. How to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities;
10. Relevant laws regarding the applicable age of consent;
11. Instruction tailored to male and female PIOC’s; and
12. Instruction specific to the unique needs and attributes of juveniles

In years employees do not receive refresher training the agency newsletters include PREA topics from updated policy and procedures, quick links to resources, and guides that provide updates to staff on policy and procedure revisions, statistics on reporting incidents, investigations, the progress of National PREA audits, etc. Newsletters were uploaded into the OAS and were reviewed before the onsite review.

**Pre-onsite:** In conjunction with standard 115.17, this auditor selected a random sampling of staff from the roster provided. The auditor reviewed the training curricula and information sent to staff during years they do not attend PREA refresher. To support the staff training requirement, the auditor reviewed the computer-based electronic verification report reflecting the date staff completed training. Due to the pandemic causing a significant impact on the facility operations, they allowed staff to complete PREA refresher up to the end of February 2022. At the time of this audit, the facility had not started the 2023 calendar year PREA training as such information was not available for review.

**Onsite interviews:** The audit team selected and interviewed random security and non-security staff who all affirmed they have received and understood the PREA training provided. Staff was asked how they communicate with all offenders, especially those who identify as Transgender with staff stating they use the offender's last name.

**Conclusion:** After reviewing relevant and available information including interviews with staff, the facility meets compliance with this standard.

**115.32 Volunteer and contractor training**

**Auditor Overall Determination:** Meets Standard

**Auditor Discussion**

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institution (DAI) 309.06.03 Volunteers, Pastoral Visitors, Program Guests, and Interns
- Agency Volunteer Orientation
- A Guide for Volunteers and Contractors Brochure
- DAI Volunteer, Pastoral Visitor, Program Guest & Intern Orientation
- Agency Contractor & Volunteer Training
- Volunteer Manual
- Agency Contractor Acknowledgment form (blank)
- Screenshot of the agency documentation process
- Agency DOC 2809 form - Volunteer Orientation Roster Attendance Record
- Revised DOC 2674 DAI Volunteer Application

Interviews conducted

- Corrections Program Supervisor
- Volunteers

(a) ED 72 states, “All volunteers and contractors who have contact with PIOC’s shall be trained, in accordance with the type of service and level of contact they have with PIOC’s, on the DOC’s zero-tolerance policy as it relates to sexual abuse and sexual harassment. They shall, additionally, be trained on their responsibilities under the DOC’s sexual abuse and sexual harassment prevention, detection, and response policies and procedures. Each volunteer or contractor shall acknowledge and certify to the DOC, through signature or electronic verification, that they understand the training they received.” In conjunction with ED 72, DAI 309.06.03 further outlines volunteer and contractor training procedures.

(b) DAI 309.06.03 states, “Volunteers are required to complete an orientation prior to

facility entry and inmate interaction, based upon type, frequency, and level of inmate contact. The following are the minimum expectations for all DAI volunteers:

1. Full orientation shall be required for any volunteer entering any DAI facility (one or any combination of sites) five or more times per year.
2. Brief orientation shall be required for any volunteer entering any facility four or fewer times per year.
3. Persons changing status to increase facility entry to five or more times per year shall be required to complete the full orientation.
4. Warden/designee may:
  - Require full orientation on a case-by-case basis at any time;
  - Limit volunteer one-to-one contact with inmates
  - Provide direct/line-of-sight staff supervision.

(c) DAI 309.06.03 requires volunteers to sign DOC 2809 to verify attendance for all brief and full orientations and annual orientation updates. Facilities are required to maintain a copy of the acknowledgment form and sent the original paper form to the facility PREA Compliance Manager. The agency recently revised DOC-2674 DAI Volunteer Application, including Pastoral Visitor, and Program Guests. The revised form included and was not limited to acknowledgment and understanding of PREA reporting, fraternization policy and procedures, confidentiality, mandatory reporting, and first responder responsibilities.

**Pre-onsite interview:** The CPS is responsible for ensuring volunteers receive PREA training during volunteer orientation. Volunteer orientation is primarily completed in person however if needed the CPS will coordinate virtual training. The CPS provides an annual refresher orientation and documents dates of completed training in share point.

**On-site:** The audit team interviewed volunteers scheduled to be onsite and affirmed they have received training including how to report incidents of sexual abuse and sexual harassment.

**Post-onsite:** The auditor received PREA training DOC 2809 forms for all volunteers interviewed onsite.

**Conclusion:** The auditor finds the facility meets compliance with this standard.

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| <b>115.33</b> | <b>Inmate education</b>                              |
|               | <b>Auditor Overall Determination:</b> Meets Standard |
|               | <b>Auditor Discussion</b>                            |

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) 410.20.01 Inmate PREA Education
- Agency Offender Education Video and Braille Reference
- Offender ID Card (PREA) reporting options on the back
- Agency Offender PREA Education Facilitator Guide
- Agency Offender Handbook (English & Spanish)
- Agency Handbook Addendum
- POC-99 Acknowledgment of Receipt of PREA education
- POC-99S Acknowledgment of Receipt of PREA education (Spanish)
- Inmate Education Directive from the agency PREA Director
- PREA RHU Education
- Offender education log during the audit time frame
- Offender education/orientation documentation reviewed

Interviews conducted

- Target Staff
- Random Offender
- Targeted Offenders

(a) ED 72 states “At intake, PIOC’s shall receive information detailing the DOC’s zero tolerance policy regarding sexual abuse and sexual harassment and how to report such incidents or suspicions.” In accordance with ED 72, DAI 410.20.01 procedure outlines general intake guidelines for ensuring inmates receive PREA education during intake explaining the agency’s “zero tolerance” policy regarding sexual abuse and sexual harassment, including retaliation reporting, methods to make a report, and the agency response. DAI 410.20.01 states, “At the intake facility, inmates shall acknowledge they received POC-0041, POC-0041B, and comprehensive education by signing the Acknowledgement of PREA Education offender standard form in WICS using an electronic signature pad.”

- POC-0041 - Sexual Abuse and Sexual Harassment Prevention and Intervention: A Resource for Inmates

- POC-0041B – Sexual Abuse in Confinement

This auditor reviewed the Agency Inmate Handbook which included and was not limited to:

1. The agency's "zero tolerance" policy,
2. Methods and how to report,
3. Definitions of sexual abuse, sexual harassment, retaliation, confidentiality, consent,
4. Tools to help keep safe (prevention)
5. Protection, support, and recovery for victims of sexual abuse
6. Investigatory process after a reporting sexual abuse
7. In addition to the offender handbook, the PREA reporting options are printed on the back of the offender ID card

(b) ED 72 states "Within 30 days of intake at adult facilities and within 10 days at juvenile facilities, the facility shall provide comprehensive education to PIOC's either in person or through video regarding:

1. The DOC's zero-tolerance policy, including PIOC's' right to be free of sexual abuse, sexual harassment, and disclosure-related retaliation; and
2. The DOC's policies and procedures for responding to such incidents.

In accordance with ED 72, DAI 410.20.01 general intake guidelines require "upon transfer to a facility, each inmate shall receive POC-0041 and POC-0041B complete with local sexual assault service provider contact information. And within 30 days of intake, each inmate shall be provided comprehensive PREA education, which includes:

1. Viewing the video "Sexual Abuse and Sexual Harassment Prevention and Intervention."
2. Following the video a staff-facilitated discussion shall occur and include:
  - The facility's cross-gender announcement procedure.
  - Local sexual assault service provider contact information.
  - Notable facility-specific PREA procedures.
3. Facilities shall use POC-0041C to guide their comprehensive education

The auditor reviewed POC-0041C Inmate PREA Education Facilitator Guide as referenced in DAI 410.20.01 Inmate PREA Education. The guide may be modified to suit each facility.

(c) WIDOC began implementing PREA in 2015 and completed PREA inmate education to all inmates who were currently incarcerated and began providing inmate PREA education to all inmates during the intake process. ED 72 states "Upon transfer to another facility, PIOC's shall receive education specific to the facility's sexual abuse,

sexual harassment, and report-related retaliation policies and procedures to the extent they differ from the previous facility” In accordance with ED 72, DAI 410.20.01 general transfer guidelines state “upon transfer to a facility, each inmate shall receive POC-0041 and POC-0041B complete with local sexual assault service provider contact information. Within 30 days of intake, each inmate shall be provided comprehensive PREA education, which includes, at minimum, a staff-facilitated discussion of:

1. The agency’s zero tolerance for sexual abuse, sexual harassment, and report-related retaliation.
2. Sexual abuse and sexual harassment reporting options.
3. The facility’s cross-gender announcement procedure.
4. Local sexual assault service provider contact information.
5. The facility’s response procedure.
6. Notable facility-specific PREA procedures.

The auditor reviewed POC-0041C Inmate PREA Education Facilitator Guide as referenced in DAI 410.20.01 Inmate PREA Education. The guide may be modified to suit each facility.

(d) ED 72 states “PIOCs with disabilities or who have limited English proficiency shall have an equal opportunity to participate in or benefit from all aspects of the DOC’s efforts to prevent, detect and respond to sexual abuse and sexual harassment. This includes providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary, in addition to the provision of PIOC education in formats accessible to all. Written materials shall be provided in formats or methods that ensure effective communication with PIOCs with disabilities.” In accordance with ED 72, DAI 410.20.01 states, “Inmates with disabilities or who have limited English proficiency shall be provided with access to interpreters or alternate formats to assist them with comprehension of the information in accordance with DAI Policies 300.00.35 and 300.00.61. Alternate formats of education may include:

- POC-0041 Audio recording (obtain from PREA Office)
- POC-0041 Braille translation (obtain from PREA Office).
- POC-0041S, POC-0041BS Spanish translation.
- Spanish and subtitled versions of the PREA education video
- Special education teacher or similar to facilitate education.

When a facility uses alternate formats or resources to educate inmates with disabilities or for those who are limited English proficient, the facilitator shall at minimum document such provision in a DOC-2466 and denote “PREA” and “Informational”. On October 24, 2022, the agency updated WICS to include a section staff will use for offenders who are Limited English Proficient (Spanish) to document their acknowledgment and receipt of education.

(e) ED 72 states “Each facility shall maintain documentation of PIOC participation in

these education sessions.” DAI 410.20.01 states, “This acknowledgment shall be completed at the receiving site in WICS each time an inmate transfers.”

(f) ED 72 states Each facility shall ensure that key information is continuously and readily available or visible to PIOC’s through posters, handbooks, or other written formats.” In accordance with ED 72, DAI 410.20.01 page 3. IV. Accessibility of PREA Education and Information requires information about reporting and receiving support shall be continuously and readily available or visible to inmates through posters, handbooks, and other written formats. Facilities shall have a copy of POC-0041 in the library and if equipped, make an effort to regularly play the video, “Sexual Abuse and Sexual Harassment Prevention and Intervention” on the institution channel.

**Pre-onsite document review:** The lead auditor reviewed the WICS offender PREA education report and found the facility has maintained substantial compliance over the 12-month audit time frame.

**Onsite target staff interview:** The audit support member interviewed the staff member who is responsible for providing PREA offender education. They described the education process including offenders signing the acknowledgment of the information received.

**Onsite offender interviews:** The facility provided the audit team with an offender roster for each housing unit. The audit team selected a diverse population of random and targeted offenders to the best of their ability by race/ethnicity from each housing unit to ensure a diverse population was interviewed. The offenders interviewed stated they understood the PREA education provided and had received information (red book) when they arrived if they did not have the one provided upon intake at Dodge. In conjunction with standard 15.16, the audit team interviewed offenders for target interviews and affirmed they received education and understood the information provided.

**Post-onsite document review:** The facility provided the offender with signed education documents for all offenders who were interviewed onsite.

**Conclusion:** Reviewing available evidence, documentation, and interviews the auditor finds the facility meets compliance with this standard

| 115.34 | Specialized training: Investigations   |
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|        | <b>Auditor Overall Determination:</b> Meets Standard   |
|        | <b>Auditor Discussion</b>  |
|        | The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual |

Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency directory of staff who completed investigator training
- Agency investigation training curricula
- Agency investigation resource guide

Interviews conducted

- Office of Internal Affairs (IA) Investigator
- Facility Investigator

(a - d) ED 72 states “Employees who investigate incidents of sexual abuse and sexual harassment shall receive specialized training on techniques for interviewing sexual abuse victims, proper use of Garrity/Oddsden warnings, sexual abuse evidence collection in confinement settings and the criteria and evidence required to substantiate a case for administrative action or prosecutorial referral. The DOC shall maintain documentation of training completion”

**Pre-on-site document review:** The lead auditor reviewed the agency investigator training curriculum and investigator directory. The investigator directory lists all staff who have received training on how to investigate reports of sexual abuse and sexual harassment in confinement. The auditor verified who was authorized to conduct investigations at this facility to ensure any investigations (if applicable) were completed by staff who had attended the specialized training. Additionally, this information supported document review utilizing the PRC PREA Audit document review – Employee & Investigations guide (if applicable)

**Pre-on-site interviews:** The auditor interviewed one IA and one facility investigator. The investigators were able to provide knowledge and understanding of the training received when describing the investigatory process. The investigators understood the Miranda Warning, however, they are not criminal investigators and do not have the legal authority to read Miranda Rights to offenders or staff. Staff conducting investigations are fact finders with the final resolution determined by the appointing authority and submitted to the PREA Office for final review. While the investigators do not determine the resolution/finding, they were able to define Substantiated, Unsubstantiated, and Unfounded. Generally, when an incident of sexual abuse or sexual harassment has been reported the investigation will be assigned the same day or the next business day depending on the time and day of the report. Should the PREA Office identify elements not meeting the investigatory process for a thorough

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|  | <p>investigation, the investigation will be referred back to the investigator for corrections.</p> <p><b>Conclusion:</b> Reviewing available evidence, documentation, and interviews with staff, the auditor finds the facility meets compliance with this standard</p> |
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| <b>115.35</b> | <b>Specialized training: Medical and mental health care</b>   |
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|               | <p><b>Auditor Overall Determination:</b> Meets Standard</p>   |
|               | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• PREA for Healthcare Staff Curricula (Specialized PREA Training)</li> <li>• Completed Health Care Training Staff Roster</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Health Services Unit (HSU) Staff</li> <li>• Psychological Services Unit (PSU) Staff</li> </ul> <p>(a) ED 72 states, “All medical and mental health care practitioners who work regularly in a DOC facility(ies) shall be trained on the subparts below.”</p> <ul style="list-style-type: none"> <li>• How to detect and assess signs of sexual abuse and sexual harassment;</li> <li>• How to preserve physical evidence of sexual abuse;</li> <li>• How to respond effectively and professionally to victims of sexual abuse and sexual harassment; and</li> <li>• How and to whom to report allegations or suspicions of sexual abuse and sexual harassment.</li> </ul> <p>(b) This provision is not applicable. All sexual abuse victims are transported to a</p> |

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|  | <p>community hospital</p> <p>(c-d) Ed 72 states “The DOC shall maintain documentation that such training has been received”</p> <p><b>Pre-onsite Health Services Unit (HSU) and Psychological Services Unit (PSU) employee interviews:</b> Both the HSU and PSU staff affirmed they had completed PREA training and the additional specialized training. They were able to describe the training received and the action they would take if they received a report and/or responded to an incident of sexual abuse.</p> <p><b>Pre-onsite document review:</b> The auditor reviewed the Health Care for Staff curricula. The objectives outlined course instruction which included: First Responder, Initial Assessment, Reporting, Preserve Evidence, Provider Care, and Response. Upon completion of the course, the staff is required to take a quiz with a passing score of 80%. The facility training roster provided supported all HSU and PSU staff who completed specialized training for responding to sexual abuse in confinement.</p> <p><b>Conclusion:</b> The auditor finds the facility meets compliance with this standard.</p> |
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| 115.41 | Screening for risk of victimization and abusiveness  |
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|        | <p><b>Auditor Overall Determination:</b> Meets Standard</p> <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 410.30.01 (PREA) Screening for Risk of Sexual Abusivcness and Sexual Victimization.</li> <li>• Agency Risk Screening Directive (3/2016)</li> <li>• Agency Wisconsin Integrated Corrections System (WICS) User Guides A, B, C, and D (confidential)</li> <li>• DOC-2781B PREA Screening Tool - Adult Male Facility</li> </ul> |

- Onsite review of offender information
- Facility PREA admission screening report for the pre-audit time frame
- Sample Offender Risk Screening Assessment

Interviews conducted

- Target Staff
- Random Offender
- Target Offender
- PREA Director

(a - e) ED 72 states “PIOCs shall be assessed during an intake screening within 72 hours of arrival at the facility, and again within 72 hours of transfer to another facility, for risk of being sexually abused by other PIOCs or sexually abusive towards other PIOCs. The objective screening instrument shall include, at minimum, the following criteria:

1. The presence of a mental, physical or developmental disability;
2. Level of emotional and cognitive development (juveniles facilities only)
3. Age;
4. Physical build;
5. Previous incarcerations;
6. Exclusively nonviolent criminal history;
7. Prior convictions for sex offenses against an adult or child;
8. Is, or is perceived to be, gay, lesbian, bisexual, transgender, intersex or gender nonconforming;
9. Previously experienced sexual victimization;
10. Prior acts of sexual abuse, prior convictions for violent offenses and/or history of prior institutional violence or sexual abuse; and
11. PIOC’s perception of vulnerability”

The agency policy includes risk screening factors for juvenile settings as referenced above( #2). This risk factor is not applicable to this facility audit as it is an adult confinement facility. In accordance with ED 72, DAI 410.30.01 outlines definitions, forms, and procedures for conducting the risk screening process. The auditor reviewed DOC-2781-B, and the WICS user guide (confidential), which provides step-by-step instructions for staff who conduct inmate PREA risk screening assessments.

(f)(g) ED 72 requires In addition to the intake screenings within 30 days of arrival the facility shall reassess the PIOC’s risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the last screening. A PIOC’s risk level shall be reassessed when warranted due to a referral, request, incident of sexual abuse or receipt of additional information that bears on the PIOC’s risk of sexual victimization or abusiveness.” In accordance with ED 72, DAI 410.30.01 page 4. Screening (c) outlines requirements for when an inmate will be reassessed and referred for a follow-up rescreening based on new information.

(h) ED 72 states “PIOCs may not be disciplined for refusing to answer or for failing to disclose information in regards to the screening questions.”

(i) ED 72 states “Appropriate controls shall be placed on the dissemination of information gathered from the screenings to ensure that sensitive information is not exploited to the PIOC’s detriment by staff or other PIOC’s.” In accordance with ED 72, DAI 410.30.01 the WICS user guide (confidential), and use of the risk screening database requires staff to use their unique ID number and includes a warning section outlining confidentiality requirements.

#### Pre-onsite interviews and document review

**PREA Director and PCM:** Each facility designates the staff who can view risk screening information and is based on their scope of work and the need and right to have access. At the initiation of the risk screening process, there is a warning on the sensitive information, confidentiality, and actions that will be taken if there is a breach/release of information. The Agency PREA Director has the authority to review all staff authorized to use WICS and remove access if necessary.

**Document review:** The lead auditor reviewed the WICS offender PREA risk screening assessment admission report for offenders received during this audit time frame and the random sample of the risk screening assessments. The facility met substantial compliance for completing both the intake and 30-day follow-up risk screening assessments.

#### Onsite interviews, observations, and document review

**Target staff interview and observation:** The facility has designated PSU staff to conduct offender PREA intake and 30-day follow-up risk screening assessment. A target interview with a PSU employee was completed by one of the audit support members and after the interview, they observed the PSU employee complete an offender risk screening.

**Offender interviews and document review:** The audit team selected a diverse population of offenders from each housing unit, including those identified for target interviews. Most of the offenders selected for an interview stated they had been asked the “PREA” questions when they arrived and again within a few weeks after arrival. Some of the offenders stated they were asked the risk screening questions upon arrival, but could not remember being asked questions a second time. With PSU employees designated for conducting intake and follow-up risk screening questions, it was learned through discussions with the offenders some thought the risk screening follow-up questions were related to their treatment plan.

**Post-onsite document review:** The facility provided copies of the intake and 30-day follow-up risk screening assessments for all offenders who were interviewed onsite.

**Conclusion:** Reviewing available evidence, documentation, and interviews the auditor finds the facility meets compliance with this standard

**115.42 Use of screening information**

**Auditor Overall Determination:** Meets Standard

**Auditor Discussion**

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures (PREA) 410.30.01 Screening for Risk of Sexual Abusivicness and Sexual Victimization.
- Division of Adult Institutions (DAI) 306.00.72 (Security) Screening for Risk of Sexual Abusivicness and Sexual Victimization.
- Division of Adult Institutions (DAI) 306.00.23 (Security) (Restricted) Special Placement Needs of Inmates
- Division of Adult Institution (DAI) 500.70.27 Transgender Management and Care (4/4/22)
- Division of Adult Institutions (DAI) policy and procedures 325.00.04 Temporary Release Under Supervision
- Agency Risk Screening Directive (3/2016)
- Agency Wisconsin Integrated Corrections System (WICS) User Guide
- DOC-2781B PREA Screening Tool - Adult Male Facility
- DOC-2570 Inmate Offsite Review
- DOC-3793 Transgender Housing Evaluation form
- Revised Agency Inmate Classification Report and Process
- Agency Pre-Hearing Classification process (email)

Interviews conducted

- PREA Director
- Facility PREA Compliance Manager
- Targeted Staff
- Gay and Bi-sexual Offenders
- Transgender Offender

(a) ED 72 states “Appropriate controls shall be placed on the dissemination of

information gathered from the screenings to ensure that sensitive information is not exploited to the PIOC's detriment by staff or other PIOC's" Auditor reviewed DOC-2781-B, and the WICS user guide (confidential), which provides step-by-step instructions for staff who conduct inmate PREA risk screening assessments. In accordance with ED 72, DAI 410.30.01 and DAI 306.00.72 outline the use of screening information. In making housing and bed assignments, there is the expectation to keep inmates who score as a high risk of being sexually victimized separate from those scoring as a high risk of being sexually abusive. Depending on the type of housing unit those placed in a dormitory setting who are at risk of victimization or risk of abusiveness, and who cannot otherwise be separated by housing unit, shall be bunked at opposite sides of the dormitory. Those at risk of victimization shall be bunked in areas more likely to receive additional staff supervision. For work, education, and program assignments, the expectation is to supervise or separate inmates who score as a high risk of being sexually victimized from those scoring as a high risk of being sexually abused.

(b) ED 72 states "Individualized placement determinations shall be made for each offender." In accordance with ED 72, DAI 410.30.01 requires facilities to ensure individualized determinations are made for each inmate.

(c) ED 72 states "When making facility, cell/unit housing and programmatic assignments for transgender or intersex PIOC's the DOC shall consider on a case-by-case basis whether a placement would ensure the PIOC's health and safety and whether the placement would present management or security problems." In accordance with ED 72, DAI 500.70.27 revised effective April 4, 2022, outlines procedures for completing case-by-case reviews to include but are not limited to:

- Accommodations for Transgender and Intersex Offenders,
- approved sites (facilities)
- Placement Review
- Operations at a Receiving Facility Consistent with Gender Identity
- Removal from Receiving Facility Consistent with Gender Identity
- Medical and Psychological Treatment for Gender Dysphoria (GD)
- Transfer to Work Release Facilities
- Release Planning
- Transgender Committee
- Transgender Housing Committee, and
- Committee Roles

**Pre-onsite:** The auditor interviewed the Warden, PCM, backup PCM, and psychological services unit (PSU) supervisor who stated that they have not had any Transgender Offenders assigned to this facility during the 12-month audit time frame. The auditor was informed a few days before the onsite review they received a Transgender Offender.

(d) D 72 states "Placement and programming assignments for each transgender or intersex PIOC shall be reassessed at least once each year to review any threats to the

safety experienced by the PIOC.” In accordance with ED 72, DAI 500.70.27 includes the same requirements included in ED 72.

(e) ED 72 states that in addition to requirements listed under provision (c) of the standard they will take into serious consideration of the PIOC’s own views with respect to their own safety.” In accordance with ED 72, DAI 500.70.27 states the assigned social worker/treatment specialist shall inquire about the PIOC’s perception of safety in housing and programming assignments and document the response in the Reclassification Report (if response reflects significant safety risk, notify security supervisor).

(f) ED 72 states “Transgender and intersex PIOC’s shall be given the opportunity to shower separately from other PIOC’s.” In accordance with ED 72, DAI 410.30.01 and DAI 500.70.27 include facilities that will give Transgender and intersex PIOC shall be given the opportunity to shower separately from other PIOC.

(g) ED 72 states “Lesbian, gay, bisexual, transgender or intersex offenders shall not be placed in dedicated facilities, wings or units solely on the basis of such identification or status.”

**Pre-onsite:** The auditor interviewed the Assistant Deputy Secretary and PREA Director and discussed the updated agency policy DAI 500.70.27, Transgender Management and Care. Both are well informed and described the process the agency and facilities follow when a Transgender Offender requests to be housed in a facility they identify vs their gender assigned at birth. The Secretary will review all information that is provided and will make the final determination on whether to approve or deny the request. A denial by the Secretary will not be based on the gender assigned at birth.

**On-site interviews:** In continuation with staff interviewed under standard 115.41, they stated they will not house offenders who are assessed as a high risk of victimization (ROV) with those assessed as high risk of aggressiveness (ROA). Staff stated they will recall Transgender Offenders twice a year for placement review and gave an example of shower plans they have provided in the past for Transgender Offenders. The facility recently received one Transgender Offender who stated PSU has met with them and discussed their perception of safety in the housing unit and programming assignments. The audit team interviewed a diverse selection of targeted offenders who stated they are not housed in dedicated units or living areas.

**Conclusion:** Reviewing available evidence, documentation, and interviews the auditor finds the facility meets compliance with this standard

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| <b>115.43</b> | <b>Protective Custody</b>                            |
|               | <b>Auditor Overall Determination:</b> Meets Standard |
|               | <b>Auditor Discussion</b>                            |

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines "Person In Our Care (PIOC)" means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 306.05.01 Protective Confinement
- Division of Adult Institutions (DAI) 306.00.72 (Security) Screening for Risk of Sexual Abusivicness and Sexual Victimization.
- DOC-30 Review of Inmate in Restrictive Housing
- DOC-68 Review of Inmate in Temporary Lockup

Interviews conducted

- Warden
- Target Staff who work in restrictive housing

(a) ED 72 states "Adult PIOC's at high risk for sexual victimization shall not be separated from the general population 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. If an assessment cannot be conducted immediately, the facility may separate the PIOC involuntarily from the general population for less than 24 hours while completing the assessment." In accordance with ED 72, DAI 306.0072 states "If an assessment cannot be conducted immediately, the facility may separate the inmate involuntarily from the general population for less than 24 hours while completing the assessment."

(b) ED 72 states "Offenders separated from the general population for this purpose shall have access to programs, privileges, education or work opportunities to the extent possible. If the facility restricts access to programs, privileges, education or work opportunities the facility shall document the opportunities limited, the reason for such limitations, and the duration of the limitation."

(c) ED 72 states "Involuntary separation of adult PIOC's from the general population shall only be until alternative means of separation from likely abusers can be arranged and shall not ordinarily exceed 30 calendar days" In accordance with ED 72, DAI 306.00.72 states "Involuntary separation from the general population shall only be until alternative means of separation from likely abusers can be arranged and shall

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|  | <p>not ordinarily exceed 30 calendar days.”</p> <p>(d) ED 72 states “If a PIOC is involuntarily separated from the general population the facility shall document the basis for the facility’s concern for the PIOC’s safety and the reason an alternate placement cannot be arranged.”</p> <p>(e) ED 72 states “Every 30 days, the facility shall review the PIOC’s circumstances to determine whether there is a continuing need for separation from the general population and document accordingly.” In accordance with ED 72, DAI 306.05.01 and DAI 306.0072 require the facility to ensure the inmate’s protective confinement placement is reviewed every 30 days to determine if placement remains necessary. The facility will document reviews of protective confinement placement on DOC-30.</p> <p><b>Pre-on-site Warden interview:</b> The facility has not placed any victim offenders of sexual abuse or those who expressed imminent fear of sexual abuse in involuntary restrictive housing. If a victim is placed in restrictive housing it would be less than 24 hours and the facility would document the reason for the short-term placement until an alternative placement can be arranged.</p> <p><b>On-site review:</b> The audit support staff interviewed security staff assigned to restrictive housing. If an offender victim of sexual abuse or an offender who expresses imminent threat or fear of sexual abuse may be placed in temporary restrictive housing while the facility researches alternate housing placement. Staff will make every effort not to restrict them from access to programs, privileges, education, and/or work opportunities. If there were any restrictions staff would document the reasoning in the shift log. The auditor interviewed an offender who reported sexual abuse before this audit time frame and who stated they were not placed in restrictive housing.</p> <p><b>Conclusion:</b> Based on the relevant information available, interviews conducted and onsite observations, the auditor finds the facility meets compliance with this standard</p> |
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| <b>115.51</b> | <b>Inmate reporting</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> |

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency Inmate Handbook in English and Spanish
- Agency PREA Poster (English and Spanish) – Reporting options
- PREA Posters in English and Spanish
- Agency Third-Party Poster (English and Spanish)

Interviews conducted

- PREA Compliance Manager
- Back up PREA Compliance Manager
- Random Staff
- Random Offenders
- Targeted Offenders

(a) (b) ED 72 states “The DOC shall provide multiple ways for PIOC’s to privately report sexual abuse and sexual harassment, retaliation by other PIOC’s or staff for reporting sexual abuse and harassment, and staff neglect or violation of responsibilities that may have contributed to such incidents. In addition, the DOC shall provide at least one way for PIOC’s to report sexual abuse and sexual harassment to a public or private entity that is not part of the DOC.” In accordance with ED 72, offenders are provided with the inmate handbook as referenced in standard 115.33 which includes reporting options. Offender posters include the option to report outside of WI DOC and do not require the offender to use their unique ID number.

- The agency does not detain offenders solely for civil immigration purposes.

(c) ED 72 states “Staff members shall accept reports made verbally, in writing, anonymously, and from third parties; promptly document any verbal reports.”

(d) ED 72 states “Reports shall be immediately reported to a supervisor who is not the subject of the allegation unless reporting to such person compromises the safety of the alleged victim, witness(es) or reporter. In those instances, a private report shall be made to the PREA Office or submitted electronically via the DOC’s public website.” In conduction with standard 115.31, the lead auditor reviewed staff training which includes options for staff to privately report to the PREA Office, local law enforcement or to submit a report electronically via the DOC’s internet site.

**Pre-on-site interviews:** The facility PCM and backup PCM stated the agency and the facility provide multiple options for an offender to report sexual abuse and sexual harassment including but not limited to an outside agency that is not part of the WIDOC. The PCM and backup stated offenders can dial #777 which is their internal reporting option and #888 is the public reporting option that is not part of the agency. These numbers are referenced on the PREA posters and included in offender

education information.

**Pre-onsite document review.** Offender reporting options are referenced on PREA posters in English and Spanish and outlined in the Inmate Handbook, pages 10 and 11, and included in the PREA education video. The education material includes their right to remain anonymous and they do not have to enter their unique PIN when calling the telephone reporting options #777 and #888.

**Onsite:** The audit team observed PREA posters throughout the facility. The lead auditor tested the PREA reporting options listed on the PREA poster from the offender's phones in the housing unit. After picking up the receiver offenders hear a message to select their language option (English or Spanish) followed by the reporting options referenced on the PREA posters #777 or #888. Calling parties are informed that these are message lines and will be retrieved during regular business hours and if an immediate report they are directed to contact staff. The PREA phone message includes option #999 to connect with the outside victim advocate in conjunction with standard 115.53. All the options can be accessed by offenders without using their unique PIN and at no cost to the offender. The auditor received an email notification from the PREA office that the test call had been received.

**Offender interviews:** Offenders selected for interviews were aware of the PREA reporting hotline and stated they could verbally report to any staff member. Some of the offenders referenced the "red book" that listed ways to report and most stated they would use the PREA hotline or report to staff.

**Conclusion:** Based on the relevant information, available documentation, interviews, and onsite observations, the auditor finds the facility meets compliance with this standard.

| 115.52 | Exhaustion of administrative remedies   |
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|        | <b>Auditor Overall Determination:</b> Meets Standard  |
|        | <b>Auditor Discussion</b><br><br>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines "Person In Our Care (PIOC)" means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.<br><br><u>Policy(s) and supporting documentation reviewed</u> |

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency Admin Code Chapter 310 Complaint Procedures
- Division of Adult Institutions (DAI) Policy and Procedures 310.00.01- Inmate Complaints Regarding Staff Misconduct
- Agency ICE Action Steps
- Offender Complaint forms received during the audit timeframe

Interviews conducted

- Random Offenders
- Targeted Offenders
- Inmate Complaint Examiner (ICE)
- Random Staff

(a) (d) ED 72 XV Administrative Complaints states “All sexual abuse and sexual harassment complaints filed through the Inmate Complaint Review System shall be immediately referred to facility leadership for review and sexual abuse and/or sexual harassment investigation.” “PIOCs shall be notified within 30 days of the initial complaint that the portion of the complaint alleging sexual abuse or sexual harassment has been referred for review and possible investigation and the Inmate Complaint Review process has concluded.” In accordance with ED 72, the agency admin code chapter 310 and DOC 310.08 PREA complaint procedure, outlines the process for the handling of inmate complaints related to sexual abuse and sexual harassment.

(b) ED 72 states “A time limit shall not be imposed on when a PIOC may submit a complaint regarding an allegation of sexual abuse or sexual harassment though other applicable time limits may still apply to any portion of the complaint that does not allege an incident of sexual abuse or sexual harassment. All appeals shall be made in accordance with Wisconsin State statutory time limits and referred to the appropriate reviewing authority.” Additionally, the complaint process shall not include a mandatory informal resolution requirement.

(c) ED 72 states “Each facility shall ensure that a PIOC who alleges sexual abuse or sexual harassment may submit a complaint without submitting it to the staff member who is the subject of the complaint and that such a complaint is not referred to a staff member who is the subject of the complaint. The PIOC may use an alternate method of filing.”

(e) ED 72 states “Third parties, including fellow PIOCs, staff, family members, attorneys and outside advocates, shall be permitted to assist a PIOC in filing complaints related to allegations of sexual abuse or sexual harassment. A parent or legal guardian of a juvenile shall be permitted to file a grievance regarding allegations of sexual abuse on behalf of such juvenile. Such a grievance shall not be conditioned upon the juvenile agreeing to have the request filed on their behalf. Complaints filed shall be referred for sexual abuse and/or sexual harassment

investigation.” In Accordance with ED 72, Agency Admin Code DOC 310.08 (4) states “Third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, shall be permitted to assist an inmate in filing a request for administrative remedies relating to allegations of sexual abuse or sexual harassment and shall also be permitted to file such requests on behalf of inmates. Requests for administrative remedies filed under this section will be referred for a PREA investigation.”

(f) ED 72 states “If a PIOC alleges that he or she is subject to a substantial risk of imminent sexual abuse, the PIOC may contact any staff member who is not the subject of the allegation. Staff shall immediately forward the allegation to facility leadership for immediate corrective action. Facility leadership shall provide an initial response within 48 hours and issue a final decision within 5 calendar days. The initial response and final facility decision shall document the facility’s determination whether the PIOC is in substantial risk of imminent sexual abuse and the action taken in response to the emergency complaint.” In accordance with ED 72, Agency Admin Code DOC 310.08 (5) states “Emergency grievance procedures for complaints alleging a substantial risk of imminent sexual abuse or sexual harassment will be handled in the following manner:

- The inmate may contact any staff member who is not the subject of the allegation for immediate corrective action.
- The inmate may file a complaint. Complaints collected under s. DOC 310.08 shall be immediately forwarded to the warden to determine if immediate action is warranted.
- Reports of substantial risk of imminent sexual abuse or sexual harassment outside of the complaint process under this chapter shall be immediately forwarded to the warden to determine if immediate action is warranted.
- Further response will be in accordance with department policy.

(g) ED 72 states “The DOC may discipline a PIOC for a complaint filed alleging sexual abuse or sexual harassment only where the DOC demonstrates that the complaint was filed in bad faith.” In accordance with ED 72, Agency Admin Code DOC 310.08 (6) states “The warden may discipline an inmate for filing a complaint related to alleged sexual abuse or sexual harassment only if the warden demonstrates that the inmate filed the complaint in bad faith.”

**Pre-on-site:** The lead auditor interviewed the facility Inmate Complaint Examiners (ICE) who stated that offenders housed in the general population (GP) units will drop the complaint in the PREA ICE lockbox and ICE will collect the complaints. Offenders in the Restrictive Housing Unit (RHU) can request inmate complaint forms and envelopes from unit staff and the complaint is put into the envelope, sealed by the offender, and handed to unit staff who will put the envelope in the ICE box. If ICE receives an envelope that appears to be tampered with they will follow up with the Security Director and they stated that there are no time limits for complaints filed reporting sexual abuse or sexual harassment.

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|  | <p><b>On-site offender interviews:</b> The audit team interviewed staff and offenders who were aware that offenders could report allegations of sexual abuse and harassment on a complaint form.</p> <p><b>Conclusion:</b> Based on the relevant information available, interviews conducted and onsite observations, the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.53</b> | <b>Inmate access to outside confidential support services</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Department of Adult Institutions (DAI) policy 410.50.04: Support Services and Retaliation Monitoring</li> <li>• Agency Inmate Handbook in English and Spanish</li> <li>• Agency PREA Poster (English and Spanish) - Community Victim Advocacy Organization</li> <li>• DOC-2937 Advocacy Request Form / DOC-2937 (S) Spanish Advocacy Request Form</li> <li>• POC-0041B Sexual Abuse in Confinement - A Resource For Offenders (English and Spanish)</li> <li>• Memorandum of Understanding between WIDOC and Community Victim Advocate Organization</li> <li>• SINC screenshot of DOC-1767 Sexual Abuse Incident VSC checklist</li> <li>• PREA Poster with Victim Advocate Organization number and mailing address</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Random Offenders</li> </ul> |

- Target Offenders
- Community Victim Advocate
- Facility Victim Services Coordinator (VSC)

(a-c) ED 72 states “The facility shall provide PIOC’s with access to outside victim advocates, with whom the DOC shall maintain or attempt to enter into memoranda of understanding with, for emotional support services related to sexual abuse. Access includes giving PIOC’s mailing addresses and telephone numbers, including toll-free hotline numbers where available. The facility shall enable reasonable communication between PIOC’s and these organizations and agencies, in as confidential a manner as possible and, in advance, provide notification to PIOC’s of the extent to which such conversations will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws.”

In accordance with ED 72, PIOC’s are provided with the inmate handbook as referenced in standard 115.33 which includes information on contacting the community victim advocate. Reviewing the offender handbook the information is located on page 13 includes the quick number #999 and states the following:

1. Support from outside sexual assault agencies and advocates are free and not connected to DOC. They may provide support during a forensic medical examination; accompany victim(s) during investigative interview(s); and/or provide emotional support, crisis intervention, information, and referral(s).
2. Every effort is made to ensure that communication with an advocate remains confidential. Dialing #999 will connect to the local agency’s crisis hotline; your PIN is not needed, nor is the call recorded or monitored. Written correspondence may be opened or inspected and may be read with the written approval of the Security Director. In person or virtual communication will be arranged in as private and confidential manner as possible.
3. All communication is monitored in accordance with Administrative Code Chapter DOC 309, DOC policy, and facility procedure. Reports of self-harm, harm to others, or abuse that involves a child, elder, or dependent adult will be forwarded to the authorities in accordance with mandatory reporting laws.

Additionally, the facility provided a copy of the victim advocate organization information posted throughout the facility (English/Spanish), and includes the following:

- The #999 hotline number,
- Mailing address
- Informs offenders they do not need to enter their unique PIN,
- Calls are not recorded or monitored, and
- The level of confidentiality when sending correspondence.

ED #72 states that the appointing authority or designee at each facility shall assign the facility-based Victim Services Coordinator. The staff member who is designated

with this responsibility will assist in connecting victims of sexual abuse in confinement to outside support services. In conjunction with ED 72, DAI 410.50.04 outlines the responsibilities of the facility Victim Services Coordinator.

Pre-Onsite interviews:

**Community Victim Advocate:** Beleaf Survivors, Sexual Assault Services Community Victim Advocate has supported victim offenders for over ten years. The victim advocates stated that before PREA, they utilized funding from the United Way and other charities to support incarcerated victims due to the VOCA and VOWA stipulations that were in place prohibiting the use of these funds to support incarcerated persons. These grant programs no longer prohibit them from providing services to incarcerated victims and improved the program. The victim advocate stated that she has not had any requests or spoken with any offenders from this facility in recent years, however, she has spoken with the Warden. The organization has two victim advocates who are bi-lingual (Spanish) and as of this interview she has not had any clients who required translation or interpretation services. The victim advocate discusses confidentiality and release of information with the victims and has them sign the form when requesting in-person meetings. This release allows the victim advocate to schedule in-person meetings with the facility or the ability request information on the status of a sexual abuse investigation on behalf of the victim.

The community victim advocate stated their organization Sexual Assault Services (SAS)/BeLEAF recently achieved its non-profit status and no longer operated under Focus on Community or its previous parent agency, Lutheran Social Services. The PREA Director was contacted to notify that they may need to enter into a new MOU and it is noted that the victim advocacy services were not impacted and victims are still being supported. The auditor was provided with an email between her office and SAS Executive Director to initiate a new MOU. On January 26, 2023, the auditor received a copy of the MOU between the agency and BeLEAF Survivors.

**Facility Victim Services Coordinator:** The appointing authority designated a psychological services unit (PSU) employee as the facility VSC and retaliation monitor. The PSU employee stated they had been designated as the VSC within the last year and had not made contact or communicated with a community victim advocate. The VSC will meet with a victim whether it is in response to a reported incident of sexual abuse in confinement or when an offender accepts an offer for mental health under standard 115.41/115.81. In addition to meeting with the victim, they also ensure the victim-offender is evaluated by one of the PSU employees for follow-up and treatment plans. Additionally, an email was sent to PREA Director making a recommendation that the facility VSC should make contact with the community victim advocate for introductions.

**On-site review and interviews:** While conducting the physical plant review, the lead auditor tested the offender's phone to ensure they are able to speak to a community victim advocate. The PREA posters reference the quick dial number #999 for the victim advocate organization and the phone system is also set up where offenders can hear the directions for dialing the contact numbers referenced on the

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|  | <p>PREA poster. The call to the victim advocate was successful, the auditor spoke to the victim advocate who affirmed they would support the victim-offender. The call did not require a unique offender number and was at no cost. The auditor was not able to receive a documented report of this call due to confidentiality and privileged communication with the victim advocate organization. The audit team interviewed targeted offenders who reported sexual abuse in confinement and a history of sexual victimization. Two of the offenders stated they were interested in services and authorized the auditor to communicate the request to the appropriate staff. The auditor informed the liaison onsite from the PREA office and they emailed the facility VSC to meet with the offenders and coordinate a private meeting.</p> <p><b>Conclusion:</b> Based on the relevant information, available documentation, interviews, and onsite observations, the auditor finds the facility meets compliance with this standard</p> |
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| <b>115.54</b> | <b>Third-party reporting</b>  |
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|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Agency third-party poster (English and Spanish)</li> <li>• Screenshot of the agency's public website reporting information</li> </ul> <p>Interviews conducted</p> <ul style="list-style-type: none"> <li>• Random Staff</li> <li>• Random Offenders</li> <li>• Targeted Offenders</li> </ul> <p>(a) ED 72 states “The DOC shall provide a method for third-parties to report sexual abuse and sexual harassment on behalf of a PIOC. Information on how to report</p> |

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|  | <p>sexual abuse and sexual harassment on behalf of a PIOC shall be posted publicly.”</p> <p><b>Pre-onsite:</b> The auditor reviewed the agency's public website DOC Prison Rape Elimination Act (wi.gov) 3rd party reporting option and sent a "Test" message on the link provided. The auditor received a confirmation response affirming they received the "test" message</p> <p><b>Onsite:</b> Offenders and staff selected for interview stated offenders could report to a third party. Some of the offenders stated they would contact the family to report on their behalf if they did not feel comfortable reporting to staff or on the PREA hotline.</p> <p><b>Conclusion:</b> Based on the relevant information, available documentation, and interviews the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.61</b> | <b>Staff and agency reporting duties</b>  |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• WI Criminal Code 940.285 Abuse of individuals at risk definitions</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Warden</li> <li>• PREA Director</li> <li>• Random Staff</li> <li>• Health Services Unit (HSU)</li> <li>• Psychological Services Unit (PSU) staff</li> </ul> <p>(a) ED 72 states “Staff members shall accept reports made verbally, in writing, anonymously, and from third parties; promptly document any verbal reports and</p> |

immediately report:

1. 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 DOC;
2. Any incidents of retaliation against PIOC's or staff who reported such an incident; and/or
3. Any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation.

(b) ED 72 states "Staff members shall not reveal any information related to a sexual abuse or sexual harassment report to anyone other than to supervisors, investigators, and designated officials. Such information shall be limited to information necessary to make treatment, investigation, and other security and management decisions."

(c) ED 72 states "Medical and mental health practitioners shall be required to report sexual abuse and to inform PIOC's of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services."

**Pre-on-site specialized interviews:** Both HSU and PSU staff stated they inform the offender of their duty to report and the limitations of confidentiality at the initiation of services.

(d) ED 72 states "if the alleged victim is under the age of 18 or considered a vulnerable adult in accordance with State or local statute, the DOC shall report the allegation to the designated State or local services agency under applicable mandatory reporting laws". The facility does not house adjudicated adult offenders as such this requirement only applies to those considered vulnerable adults. Local Law enforcement conducts the criminal sexual abuse investigation and would be responsible for completing mandatory reports for those who fall under the vulnerable person statute.

This auditor reviewed the Wisconsin State Legislature public website for the vulnerable adult state statute Wisconsin Legislature - Criminal Code 940.285 Abuse of individuals at risk definitions.

- "Adult at risk" 55.01 (1e): means any adult who has a physical or mental condition that substantially impairs his or her ability to care for his or her needs and who has experienced, is currently experiencing or is at risk of experiencing abuse, neglect, self-neglect, or financial exploitation
- "Elder adult at risk" (46.90 (1) (br): means any person age 60 or older who has experienced, is currently experiencing or is at risk of experiencing abuse, neglect, self-neglect, or financial exploitation
- "Individual at risk" means an elder adult at risk or an adult at risk

(e) ED 72 states "All allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, shall be referred for investigation."

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|  | <p><b>Pre-on-site interviews:</b> The lead auditor interviewed the Warden and the Agency PREA Director who stated agency policy requires all staff to immediately report allegations of sexual abuse and sexual harassment. The PREA Director stated local law enforcement conducts the criminal investigations and would be responsible for any mandatory reporting requirements if the victim-offender of sexual abuse falls under the vulnerable offender statute. All HSU and PSU staff and medical contract employees are required to inform offenders of their limits to confidentiality and that as agency employees they are also mandatory reporters.</p> <p><b>On-site random staff interviews:</b> Staff selected for the interview stated they are required to immediately report all allegations of sexual abuse, sexual harassment, and retaliation by staff or offenders. They understand that any information related to allegations of sexual abuse and sexual harassment is confidential and not to be shared with anyone other than those who have a need and right to know. Staff affirmed PREA training received including offenders can verbally report to any staff member in writing, 3rd party, and PREA hotline and they would accept anonymous reports. If they receive a report they would immediately notify and report to their supervisor.</p> <p><b>Conclusion:</b> Based on the relevant information available and interviews conducted the auditor finds the facility meets full compliance with this standard</p> |
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| <b>115.62</b> | <b>Agency protection duties</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines "Person In Our Care (PIOC)" means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Deputy Assistant Secretary</li> </ul> |

- Warden
- Random Staff

(a) ED 72 states “When the department or facility learns that a PIOC is subject to a substantial risk of imminent sexual abuse, it shall take immediate action to protect the PIOC

**Pre-on-site interviews:** The auditor interviewed the Assistant Deputy Secretary and Warden. Both described the process staff is to follow when they learn an offender is at imminent risk of sexual abuse and staff will ensure the victim is separated from the aggressor. The facility supervisor will interview the victim to assess and determine what actions need to be taken to protect the victim i.e. move the aggressor, initiate an investigation, or as requested the victim move them to a different unit, facility, etc.

**On-site review:** The audit support team member interviewed two security staff assigned to work in restrictive housing. The security employees stated they are not aware of any offender who has been placed in restrictive housing after they expressed imminent fear of sexual abuse. If offenders were placed into the restrictive housing unit they would make every effort not to restrict them from access to programs, privileges, education, and/or work opportunities and any restrictions would be documented in the unit shift log. Random staff stated that in the event an offender reported an imminent threat of sexual abuse, they would immediately report to their supervisor and keep the reporting offender separate from the aggressor.

**Conclusion:** Based on the relevant information available and interviews conducted the auditor finds the facility meets full compliance with this standard

| 115.63 | Reporting to other confinement facilities  |
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|        | <b>Auditor Overall Determination:</b> Meets Standard   |
|        | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> |

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Agency report template
- DOC-2933 Agency external facility notification template
- Screenshot of SINC and DOC-2933 from Warden to Agency Head

Interviews conducted

- Assistant Deputy Secretary
- Warden

(a) (b) ED 72 states “Within 72 hours of receiving an allegation that a PIOC was the victim of sexual abuse while confined at another facility, the information shall be reported by the head, or designee, of the facility to the head, or designee, of the facility where the alleged abuse occurred.”

(c) (d) ED 72 states “All notifications shall be documented and the appointing authority that receives such notification shall ensure that the allegation is investigated.”

Pre-onsite interviews:

**Assistant Deputy Secretary:** The auditor interviewed the Assistant Deputy Secretary who stated if they receive information from another agency that an offender reported sexual victimization while housed within a WI facility, she would contact the agency, PREA Director. The PREA Director would research their database to determine if they had received the report and completed an investigation. If they had not received a report, the PREA Director will contact the Warden/Superintendent and an investigation would be initiated. The PREA Director notified this auditor that the agency recently updated its notification procedure to require more formal Warden to Warden notifications using DOC-2933. The documentation of the notification will be retained in SINC to include the initiation of an investigation if one had not already been completed.

**Warden:** The Warden described the procedure and requirements when the facility receives a report of sexual abuse that occurred in another facility and their responsibility if they receive a report of sexual abuse from another facility or agency head that occurred in their facility. During this audit time frame, the Warden stated they could not recall receiving a report from another facility or agency nor had the facility received a report of sexual abuse that occurred at another facility or confinement setting.

**Pre-onsite document review:** Reviewing documentation provided, PSU staff received information from an offender during intake risk screening they had been a victim of sexual abuse while housed in another confinement facility (jail). The PSU employee submitted an incident report and the outside agency notification DOC-2933 was sent, however, was not completed within 72 hours. **Follow-up:** Before the onsite review, the auditor contacted the facility for additional information and reasoning for

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|  | <p>the delay. After the facility review, they determined staff did not submit a report in a timely manner. The PCM distributed a memo to remind staff of the notification requirements when an offender reports an incident of sexual abuse while housed in another confinement facility. The PCM provided a copy of the memo for proof of practice.</p> <p><b>Conclusion:</b> Based on the relevant information, available documentation, and interviews the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.64</b> | <b>Staff first responder duties</b> |
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|  | <p><b>Auditor Overall Determination:</b> Meets Standard</p>  |
|  | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• DOC-2981 Sexual Abuse Response Checklist (9/22)</li> <li>• Agency First Responder Card (Healthcare staff)</li> <li>• Agency First Responder Card (security)</li> <li>• Agency First Responder Card (non-security)</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Random Staff</li> </ul> <p>(a) ED 72 XVI Initial Response and Care page 14 outlines First Responder requirements as follows:</p> <ol style="list-style-type: none"> <li>1. Upon learning of an allegation that a PIOC was sexually abused, the first security staff member to respond to the report shall, at a minimum:</li> <li>2. Separate the alleged victim and abuser;</li> <li>3. Preserve and protect any crime scene until appropriate steps can be taken to</li> </ol> |

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|  | <p>collect any evidence;</p> <ol style="list-style-type: none"> <li>4. If the abuse occurred within a time period that still allows for the collection of physical evidence, request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking or eating; and</li> <li>5. If the abuse occurred within a time period that still allows for the collection of physical evidence, ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking or eating.</li> </ol> <p>(b) ED 72 states “If the first staff responder is not a security staff member, the responder shall request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff.”</p> <p><b>Pre-onsite:</b> The PAQ referenced one reported incident of sexual abuse during this audit time frame. The auditor reviewed the investigation report and identified that the allegation was received outside of the time frame for actions to protect forensic evidence.</p> <p><b>On-site:</b> In conjunction with standard 115.65, staff selected for random interviews were asked questions to ascertain their knowledge and understanding of first responder requirements. The audit team interviewed security and non-security staff with the majority understanding the requirements to protect the victim and actions to protect physical evidence. Some staff referenced the first responder card that had been issued to all staff.</p> <p><b>Recommendation:</b> While interviews with selected staff met substantial compliance, some new staff had some challenges describing the preservation of physical evidence and would benefit from refresher training or mock response drill.</p> <p><b>Conclusion:</b> Based on the relevant information available and interviews conducted the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.65</b> | <b>Coordinated response</b>  |
|               | <b>Auditor Overall Determination:</b> Meets Standard   |
|               | <b>Auditor Discussion</b>  |
|               | The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our |

Care (PIOC)" means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA).
- Division of Adult Institution (DAI) Policy and Procedures 410.50.06: Coordinated Response Plan
- Facility Coordinated Response Plan
- DOC-2981 Sexual Abuse Response Checklist (9/22)

Interviews conducted

- Warden
- Random Staff
- Target Offender

(a) ED 72 states "Each facility shall develop 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." In accordance with ED 72, DAI 410.50.06, and DAI 306.00.14 the facility coordinated sexual abuse response plan outlines procedures and responsibilities of security staff, security supervisors, medical and mental health staff, facility victim services coordinator, and investigator. The response plan includes the first responder's responsibilities for security and non-security staff in conjunction with standard 115.64.

**Pre-on-site interview and document review:** The auditor interviewed the Warden who stated the facility has a response plan and the shift supervisors are responsible for responding and will utilize and follow the facility-coordinated response plan including notification to those employees listed on the critical contact list. In accordance with ED 72, the auditor requested a copy of the facility-coordinated response plan for review. The auditor received a copy of the coordinated response plan and a copy of the agency's new DOC-2981 Sexual Abuse Response Checklist and was informed by the PREA Director that the checklist is not required and is at the discretion of the appointing authority as to whether they incorporate into their procedures. The facility coordinated response plan met compliance with this standard and agency policies however a recommendation was made to include DOC-2981 as best practice and support supervisors when responding to a reported incident of sexual abuse.

The PAQ referenced one reported incident of sexual abuse during this audit time frame. The auditor reviewed the investigation report and identified that the allegation was received outside of the time frame for actions to protect forensic evidence.

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|  | <p><b>On-site:</b> In conjunction with standard 115.64, staff selected for random interviews were asked questions to ascertain staff knowledge and understanding of the facility's coordinated response. Random security and non-security staff stated they contact the security supervisor and were aware the facility has a SANE kit, (PREA kit). Security staff stated they would secure the crime scene and keep the victim separate from the aggressor. The security supervisor is responsible for providing direction per the coordinated response plan and facility policy.</p> <p><b>Conclusion:</b> Based on the relevant information available and interviews conducted the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.66</b> | <b>Preservation of ability to protect inmates from contact with abusers</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Specialized Assistant Deputy Secretary</li> </ul> <p>(a) ED 72 states “Neither the DOC nor any other governmental entity responsible for collective bargaining on the DOC’s behalf shall enter into or renew any collective bargaining agreement or other agreement that limits the DOC’s ability to remove alleged staff sexual abusers from contact with any PIOC’s pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted.”</p> <p>This standard does not apply as the agency is not part of Collective Bargaining.</p> |

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| <b>115.67</b> | <b>Agency protection against retaliation</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard   |
|               | <b>Auditor Discussion</b>  |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This</p> |

audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 410.50.04 Support Services and Retaliation Monitoring
- DOC-2805 Sexual Abuse Allegation Staff Retaliation Monitoring
- DOC-2767 Sexual Abuse and Sexual Harassment Incident Victim Services Coordinator Response Checklist
- Sample DOC-2767 screenshots

Interviews conducted

- Assistant Deputy Secretary
- Warden
- Facility Victim Services Coordinator (VSC)
- Targeted Offender(s)

(a) ED 72 states “Each facility shall designate a staff member(s) to monitor retaliation to ensure that all PIOC(s) and staff involved in the reporting or investigation of sexual abuse and/or sexual harassment are protected.”

(b) (e) ED 72 states “For PIOC(s) or staff members who express fear of retaliation, the facility shall take appropriate protective measures.”

(c - d) ED 72 states “For at least 90 days following a report of sexual abuse, the facility’s victim services coordinator, or designee, shall monitor the conduct and treatment of the PIOC(s) who reported the sexual abuse and the PIOC(s) who was reported to have experienced sexual abuse to determine if retaliation occurred. Monitoring shall include documented periodic status checks.” In accordance with ED 72, DAI 410.50.04 states “During periodic retaliation monitoring status checks described below, the VSC shall ask the alleged victim about the individual’s perceived degree of wellness. Support services shall be modified, as needed.” The policy requires that following a report of sexual abuse, the VSC shall monitor the conduct and treatment of the reporter and alleged victim once every 30 days for at least 90 days. In addition to monthly conversations with the victim, additional items that should be monitored are any inmate disciplinary reports, housing, or program changes. Depending on the facility, the PREA Compliance Manager could be designated to monitor staff from possible retaliation.

(f) ED 72 states “The DOC’s obligation to monitor shall terminate if DOC determines that the allegation is unfounded.” In accordance with ED 72, DAI 410.50.04 states “If the report is determined to be unfounded, efforts to monitor retaliation may be discontinued.”

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|  | <p><u>Pre-onsite interviews and document review:</u></p> <p>The lead auditor interviewed the Assistant Deputy Secretary who stated the agency has Administrative and Executive Directives outlining the agency's Zero Tolerance against any form of sexual abuse or sexual harassment and retaliation. The facility Victim Services Coordinator or PCMs are responsible for monitoring retaliation for 90 days which could be extended. If an individual expresses fear of retaliation the PCM or facility supervisor will meet with them and refer them for investigation.</p> <p>The Warden stated they have has an understanding of the retaliation monitoring. Should staff receive a report of retaliation they will take immediate action to respond and protect the victim. In the event, the staff is accused of retaliating against an offender or staff, they will be moved to another location pending an investigation.</p> <p>The Warden and Security Director/PCM designated a PSU employee as the VSC and retaliation monitor. The PSU employee will meet with the offender and will also review housing and conduct reports to determine if there have been changes. The PSU will monitor the victim for a minimum of 90 days and meet with them within 30 days and again every thirty days. Some of the offenders are on the PSU caseload which allows for the offender to discuss concerns during meetings. If concerns are reported or identified the PSU employee will contact the security supervisor or unit manager on shift. Monitoring could continue beyond 90 days if needed.</p> <p><b>Document review:</b> The PAQ referenced one report of sexual abuse during the 12-month audit time frame, the auditor reviewed the retaliation monitoring notes and identified the sixty-day review was late. This offender had been transferred prior to the onsite review and the transfer was unrelated to the reported incident. After PAQ was initiated, the facility received a report of sexual abuse and in conjunction with 115.22 and 115.71, the auditor reviewed the retaliation monitoring notes. The facility was meeting timeframes and documenting information in SINC.</p> <p><b>Onsite:</b> The auditor conducted a target interview with the victim who stated they have regular meetings with PSU.</p> <p><b>Conclusion:</b> Reviewing relevant documentation, available evidence, and interviews, the finds the facility meets substantial compliance with this standard.</p> |
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| <b>115.68</b> | <b>Post-allegation protective custody</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual</p> |

Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- DOC-30 Review of Inmate in Restrictive Housing
- Screenshot of WICS Inmate Status Change

Interviews conducted

- Warden
- Targeted Staff

(a) ED 72 states “Any use of restricted status housing to protect a PIOC who is alleged to have suffered sexual abuse shall be subject to the requirements of §115.43 and §115.343 as found within Placement.”

**Pre-onsite:** The Warden was interviewed and stated they have not placed any victim offenders of sexual abuse or those who expressed imminent fear of sexual abuse in involuntary restrictive housing. If a victim is placed in restrictive housing it would be less than 24 hours and the facility would document the reason for the short-term placement until an alternative placement can be arranged.

**On-site review:** The auditor interviewed staff who work in restrictive housing and they have not placed any offender victims of sexual abuse or offenders who expressed imminent fear of sexual abuse in restrictive housing. If offenders were placed into the restrictive housing unit they would make every effort not to restrict them from access to programs, privileges, education, and/or work opportunities. If there were any restrictions staff would document the reason in WICS.

**Conclusion:** Based on the relevant information available, interviews conducted and onsite observations, the auditor finds the facility meets compliance with this standard

| <b>115.71</b> | <b>Criminal and administrative agency investigations</b>  |
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|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) |

policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 306.00.15 (Restricted) Inmate Investigations
- Division of Adult Institutions (DAI) Policy and Procedures 303.00.05 Law Enforcement Referrals
- Wisconsin Department of Corrections Human Resources Policy 200.30.304 Employee Disciplinary Investigations
- Notification for expansion of the Internal Affairs Office (IAO)
- Agency SINC User Guide
- State of WI Department of Administration Agency retention records
- Investigation reports

Interviews conducted

- Warden
- PREA Director
- PREA Compliance Manager
- Internal Affairs Office (IA) Investigator
- Facility Investigator

(a) ED 72 states “The DOC shall ensure that an investigation is completed for all allegations of sexual abuse and sexual harassment, including those received from third-parties and anonymous sources. DOC shall maintain a policy(ies) that governs the conduct of such investigations.” Facilities are required to request an investigation case number within 72 hours of learning of a sexual abuse or sexual harassment incident or allegations. In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 outlines the investigatory process includes conducting prompt, thorough, and objective investigations.

(b) This provision is addressed under and in accordance with standard 115.34.

(c) ED 72 states “Investigators shall preserve and/or collect direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data; shall interview alleged victims, suspected perpetrators and witnesses; and shall review prior complaints and reports of sexual abuse involving the suspected perpetrator.” In accordance with ED 72, DAI 306.00.15

outlines the agency's investigatory process and obligations for evidence preservation.

(d) (g) (h) ED 72 states "Allegations of sexual abuse or sexual harassment that involve potentially criminal behavior shall be referred for investigation to local law enforcement. All referrals to law enforcement shall be documented" In accordance with ED 72 DAI 303.00.05 outlines procedures for sexual abuse incident referrals to law enforcement.

(e) ED 72 states "The credibility of an alleged victim, suspect or witness shall be assessed on an individual basis and shall not be determined by the person's status as PIOC or staff member. The DOC shall not require a PIOC who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding with the investigation of such an allegation." In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 requires investigators to assess the credibility of the alleged victim, suspect, or witness and shall not be determined by the person's status as an inmate or staff member.

(f) (i) ED 72 states "Administrative and criminal investigations shall be documented in a written report to be retained for as long as the alleged abuser is incarcerated or employed by the DOC, plus ten years. Administrative investigative reports shall include a description of the physical and testimonial evidence, the reasoning behind credibility assessments, and the investigative facts and findings." ED 72 additionally requires administrative investigation reports to include a description of the physical and testimonial evidence, the reasoning behind credibility assessments, and the investigative facts and findings.

(j) ED 72 states "The departure of an alleged abuser or victim from the employment or control of the facility or the DOC, or the recantation of the allegation, shall not provide a basis for terminating an investigation." In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 outlines the agency's investigatory process and the obligation to continue with the investigation regardless of the departure of the alleged victim or suspect

(l) ED 72 states "When outside agencies investigate sexual abuse, the facility shall cooperate with outside investigators and shall work to remain informed about the progress of the investigation." In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 investigators shall work collaboratively with law enforcement investigators, if applicable, and attempt to remain informed about the progress of the criminal investigation.

**Pre-on-site interviews and document review:** In conjunction with standard 115.22, the auditor requested and received the facility incident/investigation log from the PREA Office. The log included all incidents of sexual abuse and sexual harassment reported within this audit time frame along with the completed investigation packets. The facility received and investigated five (5) allegations of offender-on-offender sexual harassment, one (1) allegation of offender-on-offender sexual abuse, and one (1) incident of staff-on-offender sexual abuse that was completed in conjunction with the Office of Internal Affairs. One of the reported incidents of offender-on-offender

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|  | <p>sexual harassment was not investigated timely due to significant impacts on staffing during the time frame of the report. The investigation was completed to include notification to the offender.</p> <p>The auditor interviewed the IA and facility investigator, both described the investigatory process. This included a description of the evidence collected and relied upon, summarizing interviews with the victim, suspect, and witness (if any), and how credibility is assessed and documented. The investigators were able to communicate their knowledge and understanding when describing the investigatory process of a thorough investigation. Both stated they received training on Miranda Rights, however, they are not criminal investigators and would not have the legal authority to read Miranda Rights to offenders or staff. IA investigators are responsible for conducting investigations involving staff requiring Garrity. While the investigators do not determine the findings, they were able to define Substantiated, Unsubstantiated, and Unfounded.</p> <p>Staff assigned to conduct investigations are fact finders and will provide the completed investigation to the Warden or the Security Director. The appointing authority or designee will review the investigation to determine the resolution and submit it to the PREA Office for final approval and closure. If the administrative investigation involves staff, the investigation is reviewed by the appointing authority and the Infraction Review Team (IRT). In conjunction with standard 115.34, the investigators interviewed and those who had completed investigations selected for review had completed the specialized investigator training.</p> <p>The lead auditor interviewed the Warden and the PCM. Both stated all reported incidents of sexual abuse and sexual harassment are investigated. When an allegation of sexual abuse is received an incident report is initiated and law enforcement is contacted and will work collaboratively with the facility investigator. The Security Director/PCM or assigned investigator will communicate and document contact with LE on the progress of the investigation.</p> <p><b>Conclusion:</b> Based on the relevant information, available documentation, and interviews the auditor finds the facility meets compliance with this standard.</p> |
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| <b>115.72</b> | <b>Evidentiary standard for administrative investigations</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other</p> |

term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 306.00.15 (Restricted) Inmate Investigations
- WIDOC Human Resources Policy 200.30.304 Employee Disciplinary Investigations

Interviews conducted

- Internal Affairs Office (IA) Investigator
- Facility Investigator

(a) ED 72 states “The DOC shall impose no standard higher than a preponderance of the evidence in determining whether the allegations of sexual abuse or sexual harassment are substantiated.” In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 includes the definition of a preponderance of evidence in determining a substantiated finding.

**Pre-onsite:** The auditor interviewed the IA and the facility investigator and asked what standard is used to determine whether the allegation of sexual abuse or sexual harassment is substantiated. Both stated they are not responsible for determining the investigation finding however stated that the policy is a preponderance of the evidence to determine a substantiated/sustained finding. The appointing authority is responsible for reviewing investigations and determining the resolution and investigations involving staff are reviewed by the appointing authority and the Infraction Review Team (IRT) to determine the resolution.

**Conclusion:** The auditor finds this facility meets full compliance with this standard.

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| <b>115.73</b> | <b>Reporting to inmates</b>  |
|               | <b>Auditor Overall Determination:</b> Exceeds Standard   |
|               | <b>Auditor Discussion</b>  |
|               | The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our |

Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 306.00.15 (Restricted) Inmate Investigations
- Agency PREA Investigation Notification DOC-2768 - substantiated findings
- Agency PREA Investigation Notification DOC-2768A - unsubstantiated findings
- Agency PREA Investigation Notification DOC - 2768B - unfounded findings
- Agency PREA Investigation Notification DOC-2768C - Report does not constitute sexual abuse or sexual harassment as defined by 115.6
- Investigation reports
- Sample offender notifications

Interviews conducted

- Warden
- Internal Affairs Office (IA) Investigator
- Facility Investigator

(a)(b)(e)(f) ED 72 states “Following an investigation of an allegation that a PIOC suffered sexual abuse in a DOC facility, the facility shall inform the alleged victim, and document such notification, as to whether the allegation has been determined to be substantiated, unsubstantiated or unfounded. If the DOC did not conduct the investigation, it shall request the relevant information from the investigative agency in order to inform the alleged victim. The DOC’s obligation to report shall terminate if the alleged victim is released from custody.” In accordance with ED 72, DAI 306.00.15, and DOC HR policy 200.30.304 policy outlines the notifications and documentation process.

While ED 72 states the facility shall inform the alleged victims. Reviewing sample notifications and information provided during interviews, the PREA Office mails notifications to the alleged victims.

(c) ED 72 states “Following a substantiated or unsubstantiated allegation of staff-on-PIOC sexual abuse the DOC shall inform the alleged victim, and document such notification, whenever the staff member is no longer posted within the alleged victim’s unit; the staff member is no longer employed at the facility; or the DOC learns that the staff member has been indicted or convicted on a charge related to the initial allegation of sexual abuse.” In accordance with ED 72, the agency notification forms were reviewed and met the requirement of this provision.

(d) ED 72 states, “Following an allegation of PIOC-on-PIOC sexual abuse, the DOC

shall inform the alleged victim, and document such notification, whenever the DOC learns that the alleged abuser has been indicted or convicted on a charge related to the initial allegation of sexual abuse.” In accordance with ED 72, DAI 306.00.015, HR policy 200.30.304, and agency notification forms support the requirement to notify victims of sexual abuse and sexual harassment of the outcome of the investigation.

**Pre-on-site interviews and document review:** This auditor interviewed the Warden, IA, and facility investigator who affirmed offenders are notified of the outcome of investigations. Offender notifications are completed by the PREA Office and mailed to the victim-offender unless the offender has been released from DOC custody.

The auditor reviewed investigation packets as referenced under standard 115.71. The investigation packets included copies of the notifications that were sent to the victims. ED 72 outlines the procedure for notifying offender victims of sexual abuse when investigations have been closed. Reviewing the sexual harassment investigations, victim offenders received a notification from the PREA office. Additionally, the PREA office has a form letter to notify offenders if the reported incident was determined not to constitute a violation of sexual abuse or sexual harassment.

**Onsite:** This facility did not have any offenders who reported sexual abuse at this facility.

**Conclusion:** This standard only requires that offenders reporting a violation of sexual abuse to be notified of the outcome of an investigation. The pre-on-site documentation included victim-offender notifications for reported incidents of sexual abuse and sexual harassment. After triangulating available evidence the auditor finds the facility exceeds this standard.

| 115.76 | Disciplinary sanctions for staff  |
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|        | <b>Auditor Overall Determination:</b> Meets Standard  |
|        | <p data-bbox="256 1563 544 1597"><b>Auditor Discussion</b></p> <p data-bbox="256 1637 1485 2007">The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p data-bbox="256 2045 967 2078"><u>Policy(s) and supporting documentation reviewed</u></p> |

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|  | <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Wisconsin Department of Corrections, Executive Directive #2 (ED 2)- Employee Discipline</li> </ul> <p>(a) ED 72 XIX Administrative Sanctions states “Employees who are found to have violated the DOC sexual abuse, sexual harassment and retaliation policies shall be subject to disciplinary sanctions up to and including termination.” In accordance with ED 72, ED 2 outlines levels of discipline and the progression schedule for formal discipline up to termination. The disciplinary process could be accelerated for incidents of staff sexual misconduct with offenders.</p> <p>(b) (d) Ed 72 states “Termination is the presumptive sanction for an employee who engaged in sexual abuse. All terminations for violations of the DOC sexual abuse and sexual harassment policies, including resignations that would have resulted in termination if not for the resignation, shall be reported to any relevant licensing bodies”</p> <p>(c) ED 72 states “Sanctions shall be commensurate with the nature and circumstances of the violation, the staff member’s disciplinary history and the sanctions imposed for comparable offenses by other staff with similar histories.”</p> <p><b>Pre-onsite:</b> In conjunction with standard 115.71, the auditor reviewed one investigation of sexual abuse which was closed unsubstantiated.</p> <p><b>Conclusion:</b> Based on the available evidence at the time of the audit and reviewing agency policy, the auditor finds the facility meets full compliance with this standard.</p> |
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| <b>115.77</b> | <b>Corrective action for contractors and volunteers</b>   |
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|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> |

- Wisconsin Department of Corrections, Executive Directive #72 (ED72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions policy and procedures (DAI) 309.06.03: Volunteers, Pastoral Visitors, Program Guests, and Interns

Interviews conducted

- Warden

(a) (b) ED 72 states “Any volunteer or contractor who engages in sexual abuse shall be prohibited from contact with PIOC’s and shall be reported to relevant licensing bodies. Appropriate remedial measures shall be taken by the facility to ensure the safety of PIOC’s in contact with volunteers and contractors.” In accordance with ED 72, DAI 309.06.03 outlines the violation of any rules of the facility, DAI, DOC, and/or state/federal law may result in suspension and/or revocation.

**Pre-on-site:** The auditor interviewed the Warden and asked what actions are taken if an allegation of sexual abuse or sexual harassment is reported involving a contract employee or volunteer. The Warden stated they would separate the accused and temporarily prohibit them from entry into the facility while this investigation was ongoing. If the investigation is closed with a substantiated finding of sexual abuse or sexual harassment, the contract employee or volunteer would be prohibited from entering all WIDOC facilities and reported to relevant licensing bodies if applicable.

**Conclusion:** At the time of this audit, this facility did not have any reported incidents of sexual abuse or sexual harassment involving a contract employee or volunteer. The finding of compliance with this standard is based upon the review of agency policy and Warden’s interview. The auditor finds this facility meets full compliance with this standard.

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| <b>115.78</b> | <b>Disciplinary sanctions for inmates</b>  |
|               | <b>Auditor Overall Determination:</b> Meets Standard   |
|               | <b>Auditor Discussion</b>  |
|               | The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person. |

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Department of Corrections Chapter DOC 303 Discipline (DOC) 303.01

Interviews conducted

- Warden
- Psychological Services Unit (PSU) Staff

(a) ED 72 states "PIOCs who have committed PIOC-on-PIOC sexual abuse are subject to disciplinary sanctions pursuant to a formal disciplinary process."

(b) ED 72 states "Sanctions shall be commensurate with the nature and circumstances of the violation, the PIOC's disciplinary history and the sanctions imposed for comparable offenses by other PIOCs with similar histories."

(c) ED 72 states "The disciplinary process shall consider whether a perpetrating PIOC's mental disabilities or mental illness contributed to their behavior when determining what type of sanction, if any, should be imposed."

(d) ED 72 states "The facility shall consider requiring perpetrating PIOCs to participate in interventions, such as therapy or counseling, to address and correct underlying reasons or motivations for the abuse."

**Pre-on-site PSU employee interview:** The PSU employee stated that will offer services to offenders who have committed sexual abuse in confinement and if accepted assess for programming needs.

(e) ED 72 states "A PIOC may only be disciplined for sexual contact with a staff member upon a finding that the staff member did not consent to such contact."

(f) ED 72 states "Reports of sexual abuse or sexual harassment made in good faith based upon a reasonable belief that the alleged conduct occurred shall not constitute falsely reporting an incident or lying, even if an investigation does not establish evidence to substantiate the allegation."

(g) ED 72 states "While consensual sexual activity between PIOCs is prohibited in the DOC facilities, the DOC may not deem consensual sexual activities as sexual abuse if it is determined that the activity is not coerced ."

Pre-on-site:

**Document review:** The agency and facility offender disciplinary infractions are outlined within Wisconsin Statute - Department of Corrections DOC Chapter 303.14 Sexual Conduct and Chapter 303.15 Sexual contact or intercourse. These chapters outline prohibited acts including "consensual acts". In conjunction with the 115.71,

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|  | <p>the auditor reviewed investigations offender on offender investigations with all of them being closed as unsubstantiated. As such the auditor was not able to review disciplinary reports or sanctions.</p> <p><b>Warden interview:</b> The Warden stated the facility will follow agency policy 303 for progressive discipline. Administrative investigations closed substantiated would result in the offender aggressor receiving a disciplinary infraction (ticket). If the investigation met criminal referral by outside LE, the aggressor could receive a new felony charge. If it was identified that the aggressor has some mental illness or mental disability, they would consider all factors when determining the disciplinary sanction.</p> <p><b>Conclusion:</b> Based on the available evidence at the time of the audit and reviewing agency policy, the auditor finds the facility meets full compliance with this standard.</p> |
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| <b>115.81</b> | <b>Medical and mental health screenings; history of sexual abuse</b>   |
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|               | <p><b>Auditor Overall Determination:</b> Meets Standard</p>  |
|               | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72: Sexual Abuse and Sexual Harassment in Confinement (PREA).</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 500.70.01 Mental Health Screening, Assessment and Referral</li> <li>• Division of Adult Institutions (DAI) Policy and Procedures 410.30.01 Screening for Risk of Sexual Abusiveness and Sexual Victimization</li> <li>• Screenshot of the Agency Electronic Medical Record (blank) – Confidential</li> <li>• Screenshot of the Agency Risk Screening Referral –Confidential.</li> <li>• Non-Health Disclosure Form - DOC-1163 (blank)</li> <li>• Confidentiality Form –DOC-1923 (blank)</li> <li>• PHI Disclosure Form – DOC-1163A (blank)</li> <li>• DOC-2781B PREA Screening Tool – Adult Male Facility</li> <li>• Sample of the facility PSU referral report</li> </ul> |

## Interviews conducted

- Targeted Offenders
- Health Services Unit (HSU) staff
- Psychological Services Unit (PSU) staff
- The employee responsible for conducting PREA risk screening assessments

(a - b) ED 72 states “If the intake screening, transfer screening or rescreening indicates a PIOC has previously experienced prior sexual victimization, whether it occurred in an institutional or community setting, employees setting, staff shall ensure the PIOC is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the screening. If the screening indicates a PIOC has previously perpetrated sexual abuse, whether in an institutional or community setting, staff shall ensure the PIOC is offered a follow-up meeting with a mental health practitioner within 14 days of the screening.” In accordance with ED 72 and DAI 410.01, DAI 500.70.01 page 4. VI. PREA Referrals outlines the referral process to Psychological Services (PSU) staff.

(d) ED 72 states “Any information related to sexual victimization or abusiveness occurring in an institutional setting shall be confidential and strictly limited to medical and mental health practitioners and other staff members, as necessary, to inform treatment plans and security and management decisions, including housing, bed, work, education, and program assignments or as otherwise required by law.”

(e) ED 72 states “Medical and mental health practitioners shall obtain informed consent from PIOC before reporting information about prior sexual victimization that did not occur in an institutional setting unless the PIOC is under the age of 18.”

**Pre-on-site interviews:** The lead auditor interviewed the facility's Psychological Services Unit (PSU) supervisor. This facility has designated PSU to conduct PREA risk screening assessment (115.41) and they will offer PSU or HSU. If the offender accepts an offer for services they will schedule a follow-up meeting and will meet with them within a few days.

**On-site interviews:** In conjunction with standard 115.41, the audit support staff interviewed the PSU employee designated to conduct the intake 72-hour and 30-day follow-up risk screening assessments. The PSU affirmed they offer services to offenders and if the offer is accepted, they schedule a follow-up meeting with PSU and/or HSU. The audit team interviewed targeted offender victims of sexual abuse in confinement and those who reported any history of sexual victimization. Some declined the offer to meet with PSU staff, and those who accepted the offer for mental health services were seen within 14 days and had ongoing treatment plans.

**Conclusion:** Based on the available evidence at the time of the audit, reviewing agency policy and interviews, the auditor finds the facility meets full compliance with this standard.

115.82

**Access to emergency medical and mental health services**

**Auditor Overall Determination:** Meets Standard

**Auditor Discussion**

The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.

Policy(s) and supporting documentation reviewed

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)
- Division of Adult Institutions (DAI) Policy and Procedures 500.30.19 Health Services Unit Procedure in the Event of Sexual Abuse
- Agency Off-“Site Review Form DOC-3001 (blank)
- DAI 316.00.01 (attachment) Inmate Co-Payment for Health Services

Interviews conducted

- Targeted Offenders
- Health Services Unit (HSU) staff
- Psychological Services Unit (PSU) staff
- Random staff

(a) ED 72 states “Victims of sexual abuse shall 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.” In accordance with ED 72, DAI 500.30.19 outlines procedures Health Services staff are to follow when an incident of sexual abuse is reported.

(b) ED 72 states “Security staff first responders shall immediately notify the appropriate medical and mental health practitioners.” And “In the event that no qualified medical or mental health practitioners are on duty at the time a report of recent abuse is made, security staff first responders shall take preliminary steps to protect the victim and shall immediately notify the appropriate medical and mental health practitioner(s).”

(c) ED 72 states “The DOC’s medical response shall include the timely dissemination of information and access to emergency contraception and sexually transmitted

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|  | <p>infections prophylaxis.”</p> <p>(d) ED 72 states “All medical and mental health treatment services shall be provided to the victim without financial cost, regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident, and in a manner consistent with the community level of care.” In accordance with ED 72, DAI 316 .00.01 states there is no copayment for treatment for a medical emergency, a referral from a PREA Risk Assessment Screener, and Crisis intervention evaluation and treatment related to sexual abuse in confinement.</p> <p><b>Pre-on-site interviews:</b> The auditor interviewed the Psychological Services Unit (PSU) and Health Services Unit (HSU), both stated offender victims of sexual abuse receive timely, unimpeded access to emergency medical treatment at no cost to the victim-offender.</p> <p><b>On-site:</b> The audit team interviewed random security staff and non-security staff using the interview protocols in conjunction with standard 115.64 related to their responsibilities as first responders. The lead auditor interviewed one offender for a target interview who stated staff responded quickly and they were seen by medical and PSU employees. The reported incident did not require transport for a forensic exam or need for emergency prophylaxis treatment.</p> <p><b>Conclusion:</b> Based on relevant information, available evidence, and interviews the facility meets compliance with this standard.</p> |
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| <p><b>115.83</b></p> | <p><b>Ongoing medical and mental health care for sexual abuse victims and abusers</b></p>   |
|                      | <p><b>Auditor Overall Determination:</b> Meets Standard</p> <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> </ul> |

- Division of Adult Institutions (DAI) Policy and Procedures 500.30.19 Sexual Abuse - Health Services Unit Procedure in the Event of Sexual Abuse
- Division of Adult Institutions (DAI) Policy and Procedures 500.70.01 Mental Health Screening, Assessment, and Referral

Interviews conducted

- Targeted Offenders
- Health Services Unit (HSU) staff
- Psychological Services Unit (PSU) staff

(a) (b) ED 72 states “All medical and mental health treatment services shall be provided to the victim without financial cost, regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident, and in a manner consistent with the community level of care.” In accordance with ED 72, DAI 500.30.19 and DAI 500.70.01 outline procedures for Health Services and Psychological Services employees to follow in response to and follow up after an incident of sexual abuse is received.

(c) (g) ED 72 states “All medical and mental health treatment services shall be provided to the victim without financial cost, regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident, and in a manner consistent with the community level of care.”

(d) This standard provision is not applicable as this facility does not house female offenders

(e) This standard provision is not applicable as this facility does not house female offenders

(f) ED 72 states “Victims of sexual abuse shall be offered tests for sexually transmitted infections. Victims of sexually abusive vaginal penetration shall be offered pregnancy tests, in addition to timely and comprehensive information about and timely access to lawful pregnancy-related medical services.” In accordance with ED 72, DAI 500.30.19 outlines the procedures for completing the DOC-3542 Diagnostic Testing Results related to Sexual Contact.

(h) (h) ED 72 states “facilities shall attempt to conduct a mental health evaluation of all known PIOC-on-PIOC abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners.”

**Pre-on-site:** The auditor interviewed the HSU and PSU staff, and both stated offenders who report sexual victimization whether in this facility or another confinement facility are offered services. Offenders victims will receive ongoing medical and mental health treatment as appropriate and as requested by the victim-offender. Staff stated follow-up treatment is provided at no cost to the offender and is consistent with a community level of care.

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|  | <p>In conjunction with standards 115.22 and 115.71, one offender-on-offender sexual abuse investigation was reviewed with an unsubstantiated finding. As such, the alleged aggressor was not offered mental health services.</p> <p><b>On-site:</b> The lead auditor interviewed one offender who reported sexual abuse at this facility. They stated staff responded quickly and were seen by HSU and PSU employees and they were not charged for any treatment including follow-up meetings with PSU. The reported incident did not require transport for a forensic exam or need for emergency prophylaxis treatment. The auditor interviewed one offender under another protocol who stated they were a victim of sexual abuse at another facility and stated they meet with PSU for follow-up treatment.</p> <p><b>Conclusion:</b> Based on relevant information, available evidence, and interviews the facility meets compliance with this standard.</p> |
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| 115.86 | Sexual abuse incident reviews  |
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|        | <p><b>Auditor Overall Determination:</b> Meets Standard</p>  |
|        | <p><b>Auditor Discussion</b></p> <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Division of Adult Institutions Policy and Procedures (DAI) 410.50.01 Sexual Abuse Incident Reviews</li> <li>• Division of Adult Institutions Policy and Procedures (DAI) 300.00.70 Assaults by Inmate Reporting and Tracking</li> <li>• Agency SAIR Form – DOC 2863 (blank)</li> <li>• Sample of completed SAIR</li> <li>• Investigation reports, including completed SAIR</li> </ul> <p><u>Interviews conducted</u></p> |

- Warden
- Deputy Warden
- PREA Compliance Manager

(a-c) ED 72 states “All facilities shall conduct a review within 30 days of the conclusion of every sexual abuse investigation unless the allegation was determined to be unfounded. The team shall consist of upper-level management officials with input from supervisors, investigators, and medical and mental health practitioners.” In accordance with ED 72, DAI 410.50.01, and DAI 300.00.70 facilities are required to conduct a sexual abuse incident review after the sexual abuse investigation is closed substantiated, or unsubstantiated. DAI 410.50.01 outlines procedures for conducting the review and who as a minimum shall be included in the review process.

(d) ED 72 requires the Sexual Abuse Incident Review Team to follow the provisions below:

1. Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect or respond to sexual abuse;
2. Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender or intersex identification, status or perceived status; gang affiliation; or was motivated or otherwise caused by other group dynamics at the facility;
3. Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse;
4. Assess the adequacy of staffing levels in that area during different shifts;
5. Assess whether monitoring technology should be deployed or augmented to supplement supervision by employees; and
6. Prepare a report of its findings, including but not necessarily limited to determinations made in the above items, and any recommendations for improvement, and submit such report to the facility head and PREA Compliance Manager

(e) ED 72 states “The facility shall implement the recommendations for improvement, or shall document its reasons for not doing so.”

**Pre-onsite:** The Auditor interviewed the Warden, Deputy Warden, and PCM individually using the PREA interview guides. They all affirmed that they participate in the SAIR along with the facility investigator, HSU and/or PSU employee, VSC, and the Administration Capt. Investigations involving staff in the SAIR team will include an HR supervisor and an IA investigator. When SAIR is scheduled the team is notified of the date and they meet in person to discuss the investigation and provision referenced above in section (d).

**Pre-onsite document review and corrective action completed before onsite review:** The facility received and investigated two allegations of sexual abuse requiring a SAIR. One investigation was completed during the 12-month audit time frame and one was completed after the submission of the PAQ and before the onsite

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|  | <p>review. Reviewing the SAIR documentation, one had not been completed within 30 days of the investigation closure and did not include an IA investigator or facility investigator. The auditor requested a memo for reasoning the investigator was not included and completed outside the 30-day time frame. <b>Follow-up:</b> Before the onsite review the auditor received a memo from the Security Director/PCM outlining the procedures they have implemented to ensure SAIRs are completed within 30 days, including the IA investigator will be sent an invitation for attendance for investigations involving staff. Additionally, the auditor received and reviewed an investigation that was closed before the onsite review and included the completed SAIR DOC-2863.</p> <p><b>Conclusion:</b> After reviewing available evidence and action by the Security Director before the onsite review referenced above in the document review, the auditor finds this facility meets full compliance with this standard.</p> |
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| <b>115.87</b> | <b>Data collection</b>   |
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|               | <p><b>Auditor Overall Determination:</b> Meets Standard</p>  |
|               | <p><b>Auditor Discussion</b></p> <p>In determining compliance the auditor triangulated relevant and available evidence related to this standard.</p> <p>reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72: Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Copy of Survey of Sexual Victimization 2017-2021</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• PREA Director</li> </ul> <p>(a - f) ED 72 states “The DOC shall collect accurate, uniform data from incident-based documents such as reports, investigation files and sexual abuse incident reviews for every allegation of sexual abuse within facilities, including facilities with which it contracts for the confinement of PIOC, using a standardized instrument and set of</p> |

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|  | <p>definitions. The extracted data, at minimum, shall include the information to answer all questions from the most recent version of the Department of Justice Survey of Sexual Victimization. This data shall be aggregated annually, reported to the Department of Justice as requested, and with personal identifiers removed, posted publicly to the DOC’s website annually//”</p> <p><b>Pre-on-site interview and document review:</b> The lead auditor interviewed the PREA Director who stated that they complete the Department of Justice (DOJ), Bureau of Statistics (BJS) Survey of Sexual Violence (SSV) report annually. The private contracted agencies are responsible for reporting their agency SSV statistics. The auditor reviewed the previous year's SSV Summary form affirming the agency has completed the previous year's SSV reports.</p> <p><b>Conclusion:</b> The finding of compliance with this standard is based upon the review of agency policy, SSV document review, and PREA Director interview. The auditor finds this facility meets full compliance with this standard.</p> |
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| <b>115.88</b> | <b>Data review for corrective action</b>  |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy(s) and supporting documentation reviewed</u></p> <ul style="list-style-type: none"> <li>• Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)</li> <li>• Agency Annual Reports 2018-2021</li> <li>• Screenshot of the agency's public website</li> </ul> <p><u>Interviews conducted</u></p> <ul style="list-style-type: none"> <li>• Assistant Deputy Secretary</li> <li>• PREA Director</li> <li>• Facility PREA Compliance Manager</li> </ul> |

(a - d) ED 72 states “The data collected and aggregated shall be analyzed to assess and improve the effectiveness of the DOC’s sexual abuse prevention, detection and response policies, practices and training by identifying problem areas; taking corrective action on an ongoing basis; and preparing an annual report of its findings and corrective actions for each facility as well as the DOC as a whole. The report shall, additionally, include a comparison of the current year’s data and corrective actions with those from previous years and shall provide an assessment of the DOC’s progress in addressing sexual abuse. Corrective action reports shall also be posted publicly to the DOC’s website. The DOC may redact specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility, but must indicate the nature of the material redacted.”

**Pre-on-site interviews and document review:** The agency prepares annual reports and posts on their agency's public website DOC Prison Rape Elimination Act (wi.gov) This auditor reviewed the agency website and found they have posted annual reports going back to 2010 up to and including 2021. Personal identifying information was redacted meeting compliance with security requirements. The lead auditor interviewed the Deputy Assistant Secretary, PREA Director, and the PCM. The PCM sends the facility report and information to the PREA Office. The PREA Director is responsible to review all of the facility's information, assessing the data, and prepare the annual report. After the report has been completed, the report is sent to the Assistant Deputy Secretary for review and is then sent to the Secretary for review and signature. After the annual report has been signed the PREA Director requests the report to be posted on the agency website.

**Conclusion:** The finding of compliance with this standard is based on interviews, agency policy, reviewing the most current annual report, and the agency's public website. The auditor finds this facility meets full compliance with this standard.

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| <b>115.89</b> | <b>Data storage, publication, and destruction</b>   |
|               | <b>Auditor Overall Determination:</b> Meets Standard  |
|               | <b>Auditor Discussion</b>   |
|               | <p>The auditor triangulated relevant documentation, interviews, and available evidence related to this standard to determine compliance. Reviewing Division of Adult (DAI) policies and procedures they reference an incarcerated individual as; Person in our care (PIOC), inmate, and offender. Executive Directive 72, Sexual Abuse and Sexual Harassment in Confinement Prison Rape Elimination Act (PREA) defines “Person In Our Care (PIOC)” means inmate, detainee, client, offender, juvenile, youth, or any other term for a protected person as identified and defined by the PREA standards. This audit report will use PIOC, offender, and inmate interchangeably when referring to an incarcerated person.</p> <p><u>Policy reviewed</u></p> |

- Wisconsin Department of Corrections, Executive Directive #72 (ED 72): Sexual Abuse and Sexual Harassment in Confinement (PREA)

Interviews conducted

- PREA Director

(a) ED 72 states “All data shall be securely retained and maintained for at least 10 years after the date of initial collection.”

**Pre-on-site interviews:** The lead auditor interviewed the PREA Director who stated the data is retained in the Sensitive Information Network Communication (SINC). The only staff who have access to the information are those assigned to the PREA Office.

**Conclusion:** The finding of compliance with this standard intertwines with standards 115.87 and 115.88 and PREA Director interview and agency policy. The auditor finds this facility meets full compliance with this standard.

| 115.401 | Frequency and scope of audits   |
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|         | <b>Auditor Overall Determination:</b> Meets Standard  |
|         | <p><b>Auditor Discussion</b></p> <p>In determining compliance, the auditor triangulated available evidence related to this standard: This audit was completed during PREA audit cycle four, audit year one.</p> <p>(a) The auditor reviewed the agency's public website DOC Prison Rape Elimination Act (wi.gov) and verified the agency has posted final PREA audit reports for all facilities. During the COVID-19 Pandemic and the significant impact on the agency and facilities, not all facilities received an audit during PREA audit cycle three.</p> <p>(b) The auditor reviewed the agency's public website DOC Prison Rape Elimination Act (wi.gov). During the COVID-19 Pandemic and the significant impact on the agency and facilities, not all facilities received an audit during PREA audit cycle three.</p> <p>(h) While conducting the on-site review, the auditor and audit support staff had access to and the ability to observe all areas.</p> <p>(i) The auditor received requested documentation via email or uploaded within the OAS before the on-site audit review, during the on-site review, and documentation requested post-on-site review and/or during the corrective action time-frame.</p> <p>(m) The audit team conducted staff and offender interviews in areas that allowed a level of privacy to prevent other offenders or staff from hearing the conversation.</p> |

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|  | <p>(n) The auditor received photos of the posted audit notifications and locations of those postings six weeks before the onsite review. While on-site the auditor and audit support team observed the audit notices posted throughout the facility. The audit notifications clearly articulated that letters to the auditor would not be discussed unless required by law. The auditor did not receive any written communication from any offenders or staff before the onsite review or post on-site review.</p> <p>Conclusion: The agency and facility meet compliance with this standard</p> |
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| <b>115.403</b> | <b>Audit contents and findings</b>  |
|                | <b>Auditor Overall Determination:</b> Meets Standard  |
|                | <b>Auditor Discussion</b>   |
|                | <p>(f) The auditor reviewed the agency's public website DOC Prison Rape Elimination Act (wi.gov) and verified the agency has posted final PREA audit reports for all facilities beginning audit year two of cycle one and continuing up to audit year three of cycle three. The facility's prior final audit reports are posted on the agency's public website.</p> <p><b>Conclusion:</b> The auditor finds the agency meets full compliance.</p> |

| <b>Appendix: Provision Findings</b> |   |     |
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| <b>115.11 (a)</b>                   | <b>Zero tolerance of sexual abuse and sexual harassment; PREA coordinator</b>   |     |
|                                     | 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 |
| <b>115.11 (b)</b>                   | <b>Zero tolerance of sexual abuse and sexual harassment; PREA coordinator</b>   |     |
|                                     | 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 |
| <b>115.11 (c)</b>                   | <b>Zero tolerance of sexual abuse and sexual harassment; PREA coordinator</b>   |     |
|                                     | 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 |
| <b>115.12 (a)</b>                   | <b>Contracting with other entities for the confinement of inmates</b>   |     |
|                                     | 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 |
| <b>115.12 (b)</b>                   | <b>Contracting with other entities for the confinement of inmates</b>   |     |
|                                     | Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure   | yes |

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|                   | 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.)   |     |
| <b>115.13 (a)</b> | <b>Supervision and monitoring</b>   |     |
|                   | 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 |

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|                   | 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 |
| <b>115.13 (b)</b> | <b>Supervision and monitoring</b>   |     |
|                   | 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.)  | na  |
| <b>115.13 (c)</b> | <b>Supervision and monitoring</b>   |     |
|                   | 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 |
| <b>115.13 (d)</b> | <b>Supervision and monitoring</b>   |     |
|                   | 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 |

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| <b>115.14 (a)</b> | <b>Youthful inmates</b>   |     |
|                   | 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  |
| <b>115.14 (b)</b> | <b>Youthful inmates</b>   |     |
|                   | 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  |
| <b>115.14 (c)</b> | <b>Youthful inmates</b>   |     |
|                   | 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  |
| <b>115.15 (a)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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 |
| <b>115.15 (b)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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.)   | na  |
|                   | 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  | na  |

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|                   | facility does not have female inmates.)   |     |
| <b>115.15 (c)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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)?   | na  |
| <b>115.15 (d)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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 |
| <b>115.15 (e)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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 |
| <b>115.15 (f)</b> | <b>Limits to cross-gender viewing and searches</b>  |     |
|                   | 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 |

| <b>115.16 (a)</b> | <b>Inmates with disabilities and inmates who are limited English proficient</b>  |     |
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|                   | 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 |

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|                   | 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 |
| <b>115.16 (b)</b> | <b>Inmates with disabilities and inmates who are limited English proficient</b>   |     |
|                   | 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 |
| <b>115.16 (c)</b> | <b>Inmates with disabilities and inmates who are limited English proficient</b>   |     |
|                   | 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 |
| <b>115.17 (a)</b> | <b>Hiring and promotion decisions</b>   |     |
|                   | 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 |

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|                   | 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 |
| <b>115.17 (b)</b> | <b>Hiring and promotion decisions</b>  |     |
|                   | 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 |
| <b>115.17 (c)</b> | <b>Hiring and promotion decisions</b>  |     |
|                   | 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 |
| <b>115.17 (d)</b> | <b>Hiring and promotion decisions</b>  |     |
|                   | Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates?   | yes |

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| <b>115.17 (e)</b> | <b>Hiring and promotion decisions</b>   |     |
|                   | 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 |
| <b>115.17 (f)</b> | <b>Hiring and promotion decisions</b>   |     |
|                   | 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 |
| <b>115.17 (g)</b> | <b>Hiring and promotion decisions</b>   |     |
|                   | Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination?   | yes |
| <b>115.17 (h)</b> | <b>Hiring and promotion decisions</b>   |     |
|                   | 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 |
| <b>115.18 (a)</b> | <b>Upgrades to facilities and technologies</b>  |     |
|                   | 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  |
| <b>115.18 (b)</b> | <b>Upgrades to facilities and technologies</b>  |     |

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|                   | 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.)                  | yes |
| <b>115.21 (a)</b> | <b>Evidence protocol and forensic medical examinations</b>   |     |
|                   | 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 |
| <b>115.21 (b)</b> | <b>Evidence protocol and forensic medical examinations</b>   |     |
|                   | 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 |
| <b>115.21 (c)</b> | <b>Evidence protocol and forensic medical examinations</b>   |     |
|                   | 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)?   | no  |

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|                   | Has the agency documented its efforts to provide SAFEs or SANEs?  | yes |
| <b>115.21 (d)</b> | <b>Evidence protocol and forensic medical examinations</b>  |     |
|                   | 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.)   | yes |
|                   | Has the agency documented its efforts to secure services from rape crisis centers?  | yes |
| <b>115.21 (e)</b> | <b>Evidence protocol and forensic medical examinations</b>  |     |
|                   | 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 |
| <b>115.21 (f)</b> | <b>Evidence protocol and forensic medical examinations</b>  |     |
|                   | 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 |
| <b>115.21 (h)</b> | <b>Evidence protocol and forensic medical examinations</b>  |     |
|                   | 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.) | na  |
| <b>115.22 (a)</b> | <b>Policies to ensure referrals of allegations for investigations</b>   |     |

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|                   | 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 |
| <b>115.22 (b)</b> | <b>Policies to ensure referrals of allegations for investigations</b>  |     |
|                   | 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 |
| <b>115.22 (c)</b> | <b>Policies to ensure referrals of allegations for investigations</b>  |     |
|                   | 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 |
| <b>115.31 (a)</b> | <b>Employee training</b>   |     |
|                   | 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 |

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|                   | 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 |
| <b>115.31 (b)</b> | <b>Employee training</b>   |     |
|                   | 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?  | no  |
| <b>115.31 (c)</b> | <b>Employee training</b>   |     |
|                   | 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 |
| <b>115.31 (d)</b> | <b>Employee training</b>   |     |
|                   | Does the agency document, through employee signature or electronic verification, that employees understand the training they have received?  | yes |
| <b>115.32 (a)</b> | <b>Volunteer and contractor training</b>   |     |

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|                   | 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 |
| <b>115.32 (b)</b> | <b>Volunteer and contractor training</b>  |     |
|                   | 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 |
| <b>115.32 (c)</b> | <b>Volunteer and contractor training</b>  |     |
|                   | Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received?   | yes |
| <b>115.33 (a)</b> | <b>Inmate education</b>   |     |
|                   | 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 |
| <b>115.33 (b)</b> | <b>Inmate education</b>   |     |
|                   | 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 |
| <b>115.33 (c)</b> | <b>Inmate education</b>   |     |
|                   | Have all inmates received the comprehensive education referenced in 115.33(b)?  | yes |

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|                   | 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 |
| <b>115.33 (d)</b> | <b>Inmate education</b>   |     |
|                   | 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 |
| <b>115.33 (e)</b> | <b>Inmate education</b>   |     |
|                   | Does the agency maintain documentation of inmate participation in these education sessions?   | yes |
| <b>115.33 (f)</b> | <b>Inmate education</b>   |     |
|                   | 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 |
| <b>115.34 (a)</b> | <b>Specialized training: Investigations</b>   |     |
|                   | 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 |
| <b>115.34 (b)</b> | <b>Specialized training: Investigations</b>   |     |
|                   | 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 |

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|                   | 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 |
| <b>115.34 (c)</b> | <b>Specialized training: Investigations</b>   |     |
|                   | 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 |
| <b>115.35 (a)</b> | <b>Specialized training: Medical and mental health care</b>   |     |
|                   | 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 |

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|                   | 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.)   |     |
| <b>115.35 (b)</b> | <b>Specialized training: Medical and mental health care</b>  |     |
|                   | 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  |
| <b>115.35 (c)</b> | <b>Specialized training: Medical and mental health care</b>  |     |
|                   | 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 |
| <b>115.35 (d)</b> | <b>Specialized training: Medical and mental health care</b>  |     |
|                   | 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 |
| <b>115.41 (a)</b> | <b>Screening for risk of victimization and abusiveness</b>   |     |
|                   | 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 |
| <b>115.41 (b)</b> | <b>Screening for risk of victimization and abusiveness</b>   |     |
|                   | Do intake screenings ordinarily take place within 72 hours of arrival at the facility?   | yes |
| <b>115.41 (c)</b> | <b>Screening for risk of victimization and abusiveness</b>   |     |
|                   | Are all PREA screening assessments conducted using an objective  | yes |

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|                   | screening instrument?  |     |
| <b>115.41 (d)</b> | <b>Screening for risk of victimization and abusiveness</b>   |     |
|                   | 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 |

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|                   | Whether the inmate is detained solely for civil immigration purposes?   |     |
| <b>115.41 (e)</b> | <b>Screening for risk of victimization and abusiveness</b>  |     |
|                   | 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 |
| <b>115.41 (f)</b> | <b>Screening for risk of victimization and abusiveness</b>  |     |
|                   | 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 |
| <b>115.41 (g)</b> | <b>Screening for risk of victimization and abusiveness</b>  |     |
|                   | 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 |
| <b>115.41 (h)</b> | <b>Screening for risk of victimization and abusiveness</b>  |     |
|                   | 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 |
| <b>115.41 (i)</b> | <b>Screening for risk of victimization and abusiveness</b>  |     |
|                   | 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 |

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|                   | information is not exploited to the inmate's detriment by staff or other inmates?  |     |
| <b>115.42 (a)</b> | <b>Use of screening information</b>  |     |
|                   | 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 |
| <b>115.42 (b)</b> | <b>Use of screening information</b>  |     |
|                   | Does the agency make individualized determinations about how to ensure the safety of each inmate?  | yes |
| <b>115.42 (c)</b> | <b>Use of screening information</b>  |     |
|                   | 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 |

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|                   | present management or security problems?   |     |
| <b>115.42 (d)</b> | <b>Use of screening information</b>  |     |
|                   | 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 |
| <b>115.42 (e)</b> | <b>Use of screening information</b>  |     |
|                   | 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 |
| <b>115.42 (f)</b> | <b>Use of screening information</b>  |     |
|                   | Are transgender and intersex inmates given the opportunity to shower separately from other inmates?  | yes |
| <b>115.42 (g)</b> | <b>Use of screening information</b>  |     |
|                   | 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 |

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|                   | solely for the placement of LGBT or I inmates pursuant to a consent degree, legal settlement, or legal judgement.)  |     |
| <b>115.43 (a)</b> | <b>Protective Custody</b>   |     |
|                   | 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 |
| <b>115.43 (b)</b> | <b>Protective Custody</b>   |     |
|                   | 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 |
| <b>115.43 (c)</b> | <b>Protective Custody</b>   |     |

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|                                      | 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 |
| <b>115.43 (d) Protective Custody</b> |   |     |
|                                      | 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 |
| <b>115.43 (e) Protective Custody</b> |   |     |
|                                      | 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 |
| <b>115.51 (a) Inmate reporting</b>   |   |     |
|                                      | 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 |
| <b>115.51 (b) Inmate reporting</b>   |   |     |
|                                      | 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 |

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|                   | 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  |
| <b>115.51 (c)</b> | <b>Inmate reporting</b>   |     |
|                   | 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 |
| <b>115.51 (d)</b> | <b>Inmate reporting</b>   |     |
|                   | Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates?   | yes |
| <b>115.52 (a)</b> | <b>Exhaustion of administrative remedies</b>  |     |
|                   | Is the agency exempt from this standard?<br>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. | yes |
| <b>115.52 (b)</b> | <b>Exhaustion of administrative remedies</b>  |     |
|                   | 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 |
| <b>115.52 (c)</b> | <b>Exhaustion of administrative remedies</b>  |     |
|                   | 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 |

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|                   | 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 |
| <b>115.52 (d)</b> | <b>Exhaustion of administrative remedies</b>   |     |
|                   | 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 |
| <b>115.52 (e)</b> | <b>Exhaustion of administrative remedies</b>   |     |
|                   | 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 |
| <b>115.52 (f)</b> | <b>Exhaustion of administrative remedies</b>   |     |

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|                   | 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 |
| <b>115.52 (g)</b> | <b>Exhaustion of administrative remedies</b>   |     |
|                   | 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 |
| <b>115.53 (a)</b> | <b>Inmate access to outside confidential support services</b>  |     |
|                   | 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,  | yes |

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|                   | 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 |
| <b>115.53 (b)</b> | <b>Inmate access to outside confidential support services</b>  |     |
|                   | 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 |
| <b>115.53 (c)</b> | <b>Inmate access to outside confidential support services</b>  |     |
|                   | 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 |
| <b>115.54 (a)</b> | <b>Third-party reporting</b>   |     |
|                   | 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 |
| <b>115.61 (a)</b> | <b>Staff and agency reporting duties</b>   |     |
|                   | 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 |

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|                   | abuse or sexual harassment or retaliation?   |     |
| <b>115.61 (b)</b> | <b>Staff and agency reporting duties</b>   |     |
|                   | 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 |
| <b>115.61 (c)</b> | <b>Staff and agency reporting duties</b>   |     |
|                   | 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 |
| <b>115.61 (d)</b> | <b>Staff and agency reporting duties</b>   |     |
|                   | 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 |
| <b>115.61 (e)</b> | <b>Staff and agency reporting duties</b>   |     |
|                   | 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 |
| <b>115.62 (a)</b> | <b>Agency protection duties</b>  |     |
|                   | 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 |
| <b>115.63 (a)</b> | <b>Reporting to other confinement facilities</b>   |     |
|                   | 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 |
| <b>115.63 (b)</b> | <b>Reporting to other confinement facilities</b>   |     |
|                   | Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation?  | yes |

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| <b>115.63 (c)</b> | <b>Reporting to other confinement facilities</b>  |     |
|                   | Does the agency document that it has provided such notification?  | yes |
| <b>115.63 (d)</b> | <b>Reporting to other confinement facilities</b>  |     |
|                   | Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards?  | yes |
| <b>115.64 (a)</b> | <b>Staff first responder duties</b>   |     |
|                   | 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 |
| <b>115.64 (b)</b> | <b>Staff first responder duties</b>   |     |
|                   | 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 |
| <b>115.65 (a)</b> | <b>Coordinated response</b>   |     |
|                   | 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 |

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|                   | response to an incident of sexual abuse?  |     |
| <b>115.66 (a)</b> | <b>Preservation of ability to protect inmates from contact with abusers</b>   |     |
|                   | 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 |
| <b>115.67 (a)</b> | <b>Agency protection against retaliation</b>  |     |
|                   | 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 |
| <b>115.67 (b)</b> | <b>Agency protection against retaliation</b>  |     |
|                   | 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 |
| <b>115.67 (c)</b> | <b>Agency protection against retaliation</b>  |     |
|                   | 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 |

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|                   | 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 |
| <b>115.67 (d)</b> | <b>Agency protection against retaliation</b>   |     |
|                   | In the case of inmates, does such monitoring also include periodic status checks?  | yes |
| <b>115.67 (e)</b> | <b>Agency protection against retaliation</b>   |     |
|                   | 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 |
| <b>115.68 (a)</b> | <b>Post-allegation protective custody</b>  |     |
|                   | 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 |
| <b>115.71 (a)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | When the agency conducts its own investigations into allegations   | yes |

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|                   | 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 |
| <b>115.71 (b)</b> | <b>Criminal and administrative agency investigations</b>  |     |
|                   | 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 |
| <b>115.71 (c)</b> | <b>Criminal and administrative agency investigations</b>  |     |
|                   | 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 |
| <b>115.71 (d)</b> | <b>Criminal and administrative agency investigations</b>  |     |
|                   | 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 |
| <b>115.71 (e)</b> | <b>Criminal and administrative agency investigations</b>  |     |
|                   | 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 |
| <b>115.71 (f)</b> | <b>Criminal and administrative agency investigations</b>  |     |
|                   | Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse?  | yes |

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|                   | 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 |
| <b>115.71 (g)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | 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 |
| <b>115.71 (h)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?   | yes |
| <b>115.71 (i)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | 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 |
| <b>115.71 (j)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | 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 |
| <b>115.71 (l)</b> | <b>Criminal and administrative agency investigations</b>   |     |
|                   | 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 |
| <b>115.72 (a)</b> | <b>Evidentiary standard for administrative investigations</b>  |     |
|                   | 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 |
| <b>115.73 (a)</b> | <b>Reporting to inmates</b>  |     |
|                   | 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 |

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| <b>115.73 (b) Reporting to inmates</b> |  |     |
|  | 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 |
| <b>115.73 (c) Reporting to inmates</b> |  |     |
|  | 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 |
| <b>115.73 (d) Reporting to inmates</b> |  |     |
|  | 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 |

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|                   | 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?  |     |
| <b>115.73 (e)</b> | <b>Reporting to inmates</b>   |     |
|                   | Does the agency document all such notifications or attempted notifications?   | yes |
| <b>115.76 (a)</b> | <b>Disciplinary sanctions for staff</b>   |     |
|                   | Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies?  | yes |
| <b>115.76 (b)</b> | <b>Disciplinary sanctions for staff</b>   |     |
|                   | Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse?  | yes |
| <b>115.76 (c)</b> | <b>Disciplinary sanctions for staff</b>   |     |
|                   | 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 |
| <b>115.76 (d)</b> | <b>Disciplinary sanctions for staff</b>   |     |
|                   | 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 |
| <b>115.77 (a)</b> | <b>Corrective action for contractors and volunteers</b>   |     |
|                   | 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 |

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|                   | Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies?  | yes |
| <b>115.77 (b)</b> | <b>Corrective action for contractors and volunteers</b>   |     |
|                   | 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 |
| <b>115.78 (a)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.78 (b)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.78 (c)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.78 (d)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.78 (e)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.78 (f)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |

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|                   | evidence sufficient to substantiate the allegation?   |     |
| <b>115.78 (g)</b> | <b>Disciplinary sanctions for inmates</b>   |     |
|                   | 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 |
| <b>115.81 (a)</b> | <b>Medical and mental health screenings; history of sexual abuse</b>  |     |
|                   | 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 |
| <b>115.81 (b)</b> | <b>Medical and mental health screenings; history of sexual abuse</b>  |     |
|                   | 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 |
| <b>115.81 (c)</b> | <b>Medical and mental health screenings; history of sexual abuse</b>  |     |
|                   | 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  |
| <b>115.81 (d)</b> | <b>Medical and mental health screenings; history of sexual abuse</b>  |     |
|                   | 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 |
| <b>115.81 (e)</b> | <b>Medical and mental health screenings; history of sexual abuse</b>  |     |
|                   | Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior  | yes |

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|                   | sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18?  |     |
| <b>115.82 (a)</b> | <b>Access to emergency medical and mental health services</b>   |     |
|                   | 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 |
| <b>115.82 (b)</b> | <b>Access to emergency medical and mental health services</b>   |     |
|                   | 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 |
| <b>115.82 (c)</b> | <b>Access to emergency medical and mental health services</b>   |     |
|                   | 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 |
| <b>115.82 (d)</b> | <b>Access to emergency medical and mental health services</b>   |     |
|                   | 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 |
| <b>115.83 (a)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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 |
| <b>115.83 (b)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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 |
| <b>115.83 (c)</b> | <b>Ongoing medical and mental health care for sexual abuse</b>  |     |

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|                   | <b>victims and abusers</b>  |     |
|                   | Does the facility provide such victims with medical and mental health services consistent with the community level of care?   | yes |
| <b>115.83 (d)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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  |
| <b>115.83 (e)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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  |
| <b>115.83 (f)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate?   | yes |
| <b>115.83 (g)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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 |
| <b>115.83 (h)</b> | <b>Ongoing medical and mental health care for sexual abuse victims and abusers</b>  |     |
|                   | 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 |

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| <b>115.86 (a)</b> | <b>Sexual abuse incident reviews</b>  |     |
|                   | 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 |
| <b>115.86 (b)</b> | <b>Sexual abuse incident reviews</b>  |     |
|                   | Does such review ordinarily occur within 30 days of the conclusion of the investigation?  | yes |
| <b>115.86 (c)</b> | <b>Sexual abuse incident reviews</b>  |     |
|                   | Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners?   | yes |
| <b>115.86 (d)</b> | <b>Sexual abuse incident reviews</b>  |     |
|                   | 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 |
| <b>115.86 (e)</b> | <b>Sexual abuse incident reviews</b>  |     |
|                   | Does the facility implement the recommendations for improvement, or document its reasons for not doing so?  | yes |

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| <b>115.87 (a)</b> | <b>Data collection</b>  |     |
|                   | 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 |
| <b>115.87 (b)</b> | <b>Data collection</b>  |     |
|                   | Does the agency aggregate the incident-based sexual abuse data at least annually?   | yes |
| <b>115.87 (c)</b> | <b>Data collection</b>  |     |
|                   | 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 |
| <b>115.87 (d)</b> | <b>Data collection</b>  |     |
|                   | 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 |
| <b>115.87 (e)</b> | <b>Data collection</b>  |     |
|                   | 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 |
| <b>115.87 (f)</b> | <b>Data collection</b>  |     |
|                   | 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 |
| <b>115.88 (a)</b> | <b>Data review for corrective action</b>  |     |
|                   | 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 |

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|                    | 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? |     |
| <b>115.88 (b)</b>  | <b>Data review for corrective action</b>   |     |
|                    | 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 |
| <b>115.88 (c)</b>  | <b>Data review for corrective action</b>   |     |
|                    | 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 |
| <b>115.88 (d)</b>  | <b>Data review for corrective action</b>   |     |
|                    | 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 |
| <b>115.89 (a)</b>  | <b>Data storage, publication, and destruction</b>  |     |
|                    | Does the agency ensure that data collected pursuant to § 115.87 are securely retained?   | yes |
| <b>115.89 (b)</b>  | <b>Data storage, publication, and destruction</b>  |     |
|                    | 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 |
| <b>115.89 (c)</b>  | <b>Data storage, publication, and destruction</b>  |     |
|                    | Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available?   | yes |
| <b>115.89 (d)</b>  | <b>Data storage, publication, and destruction</b>  |     |
|                    | 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 |
| <b>115.401 (a)</b> | <b>Frequency and scope of audits</b>   |     |

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|                    | 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 |
| <b>115.401 (b)</b> | <b>Frequency and scope of audits</b>   |     |
|                    | 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  |
| <b>115.401 (h)</b> | <b>Frequency and scope of audits</b>   |     |
|                    | Did the auditor have access to, and the ability to observe, all areas of the audited facility?   | yes |
| <b>115.401 (i)</b> | <b>Frequency and scope of audits</b>   |     |
|                    | Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)?   | yes |
| <b>115.401 (m)</b> | <b>Frequency and scope of audits</b>   |     |
|                    | Was the auditor permitted to conduct private interviews with inmates, residents, and detainees?  | yes |
| <b>115.401 (n)</b> | <b>Frequency and scope of audits</b>   |     |
|                    | 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 |
| <b>115.403</b>     | <b>Audit contents and findings</b>   |     |

| <b>(f)</b> |   |     |
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|            | 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 |