

PREA Facility Audit Report: Final

Name of Facility: Iowa State Penitentiary

Facility Type: Prison / Jail

Date Interim Report Submitted: NA

Date Final Report Submitted: 06/26/2022

Auditor Certification	
The contents of this report are accurate to the best of my knowledge.	<input checked="" type="checkbox"/>
No conflict of interest exists with respect to my ability to conduct an audit of the agency under review.	<input checked="" 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 checked="" type="checkbox"/>
Auditor Full Name as Signed: Karen d. Murray	Date of Signature: 06/26/2022

AUDITOR INFORMATION	
Auditor name:	Murray, Karen
Email:	kdmconsults1@gmail.com
Start Date of On-Site Audit:	06/12/2022
End Date of On-Site Audit:	06/13/2022

FACILITY INFORMATION	
Facility name:	Iowa State Penitentiary
Facility physical address:	2111 330th Avenue, Fort Madison, Iowa - 52627
Facility mailing address:	P.O. box 316, Fort Madison, Iowa - 52627

Primary Contact	
Name:	Rebecca Bowker
Email Address:	rebecca.bowker@iowa.gov
Telephone Number:	319-372-5432

Warden/Jail Administrator/Sheriff/Director	
Name:	Chris Tripp
Email Address:	chris.tripp@iowa.gov
Telephone Number:	319-372-5432

Facility PREA Compliance Manager	
Name:	Rodolfo Gonzalez
Email Address:	rodolfo.gonzalez@iowa.gov
Telephone Number:	

Facility Health Service Administrator On-site	
Name:	Heidi Benson
Email Address:	heidi.benson@iowa.gov
Telephone Number:	319-372-5432

Facility Characteristics	
Designed facility capacity:	790
Current population of facility:	722
Average daily population for the past 12 months:	715
Has the facility been over capacity at any point in the past 12 months?	No
Which population(s) does the facility hold?	Males
Age range of population:	18-81
Facility security levels/inmate custody levels:	Security Designation 6 - Maximum Security
Does the facility hold youthful inmates?	No
Number of staff currently employed at the facility who may have contact with inmates:	355
Number of individual contractors who have contact with inmates, currently authorized to enter the facility:	3
Number of volunteers who have contact with inmates, currently authorized to enter the facility:	0

AGENCY INFORMATION	
Name of agency:	Iowa Department of Corrections
Governing authority or parent agency (if applicable):	
Physical Address:	510 East 12th Street, Des Moines, Iowa - 50319
Mailing Address:	
Telephone number:	

Agency Chief Executive Officer Information:	
Name:	
Email Address:	
Telephone Number:	

Agency-Wide PREA Coordinator Information			
Name:	Rebecca Bowker	Email Address:	rebecca.bowker@iowa.gov

SUMMARY OF AUDIT FINDINGS	
<p>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.</p> <p>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.</p>	
Number of standards exceeded:	
0	
Number of standards met:	
45	
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:	2022-06-12
2. End date of the onsite portion of the audit:	2022-06-13

Outreach

10. Did you attempt to communicate with community-based organization(s) or victim advocates who provide services to this facility and/or who may have insight into relevant conditions in the facility?	<input checked="" type="radio"/> Yes <input type="radio"/> No
a. Identify the community-based organization(s) or victim advocates with whom you communicated:	<p>On 4.23.2022 at 2:50 pm, this Auditor contacted the RVAP Advocacy, Support, Prevention Center at 108 River Street, Iowa City, IA 52246 at 800.228.1625. The operator was aware of the memorandum of understanding with the Iowa State Penitentiary and stated they would take calls from inmates. The operator also stated depending on what time of day the inmate called would depend on how much help they could immediately receive. If an inmate called after hours, they would need to find an advocate or get them to service they are requesting. If the inmate called during normal work hours, they would be able to help the inmates directly as advocates would be working during those hours.</p> <p>On 4.23.2022 at 2:39 pm, this Auditor phoned University of Iowa Hospital and Clinics at 319.384.8442, the operator who initially answered stated the hospital does see inmates at their locations. Upon asking about forensic exams I was transferred to the emergency room and spoke with attendant "Kate". Kate verified that the facility does conduct forensic exams and would do so for inmates from the Iowa State Penitentiary.</p>

AUDITED FACILITY INFORMATION

14. Designated facility capacity:	790
15. Average daily population for the past 12 months:	715
16. Number of inmate/resident/detainee housing units:	4
17. Does the facility ever hold youthful inmates or youthful/juvenile detainees?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Applicable for the facility type audited (i.e., Community Confinement Facility or Juvenile Facility)

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

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

36. Enter the total number of inmates/residents/detainees in the facility as of the first day of onsite portion of the audit:	722
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:	15
39. Enter the total number of inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) in the facility as of the first day of the onsite portion of the audit:	1
40. Enter the total number of inmates/residents/detainees who are Blind or have low vision (visually impaired) in the facility as of the first day of the onsite portion of the audit:	1
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:	1
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:	2
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:	3
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:	0
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:	0
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:	0
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:	0
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):	No text provided.
Staff, Volunteers, and Contractors Population Characteristics on Day One of the Onsite Portion of the Audit	
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:	355
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:	0

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:	3
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:	No text provided.
INTERVIEWS	
Inmate/Resident/Detainee Interviews	
Random Inmate/Resident/Detainee Interviews	
53. Enter the total number of RANDOM INMATES/RESIDENTS/DETAINEES who were interviewed:	16
54. Select which characteristics you considered when you selected RANDOM INMATE/RESIDENT/DETAINEE interviewees: (select all that apply)	<input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Ethnicity (e.g., Hispanic, Non-Hispanic) <input checked="" type="checkbox"/> Length of time in the facility <input checked="" type="checkbox"/> Housing assignment <input type="checkbox"/> Gender <input type="checkbox"/> Other <input type="checkbox"/> None
55. How did you ensure your sample of RANDOM INMATE/RESIDENT/DETAINEE interviewees was geographically diverse?	Rosters were provided to the Auditor before the onsite review by housing unit and target. The night before the onsite review the targeted incarcerated individuals were chosen. During the onsite, random individuals were chosen as we toured, from the current housing rosters, considering age, race and ethnicity, and interviews were done on the housing unit. Any individual who refused provided his demographics and another individual was chosen to ensure the required number of interviews were completed.
56. Were you able to conduct the minimum number of random inmate/resident/detainee interviews?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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):	No text provided.
Targeted Inmate/Resident/Detainee Interviews	
58. Enter the total number of TARGETED INMATES/RESIDENTS/DETAINEES who were interviewed:	15

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

<p>60. Enter the total number of interviews conducted with inmates/residents/detainees with a physical disability using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>61. Enter the total number of interviews conducted with inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>62. Enter the total number of interviews conducted with inmates/residents/detainees who are Blind or have low vision (i.e., visually impaired) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>63. Enter the total number of interviews conducted with inmates/residents/detainees who are Deaf or hard-of-hearing using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>64. Enter the total number of interviews conducted with inmates/residents/detainees who are Limited English Proficient (LEP) using the "Disabled and Limited English Proficient Inmates" protocol:</p>	<p>1</p>
<p>65. Enter the total number of interviews conducted with inmates/residents/detainees who identify as lesbian, gay, or bisexual using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:</p>	<p>3</p>
<p>66. Enter the total number of interviews conducted with inmates/residents/detainees who identify as transgender or intersex using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:</p>	<p>0</p>
<p>a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:</p>	<p><input checked="" type="checkbox"/> Facility said there were "none here" during the onsite portion of the audit and/or the facility was unable to provide a list of these inmates/residents/detainees.</p> <p><input type="checkbox"/> The inmates/residents/detainees in this targeted category declined to be interviewed.</p>
<p>b. Discuss your corroboration strategies to determine if this population exists in the audited facility (e.g., based on information obtained from the PAQ; documentation reviewed onsite; and discussions with staff and other inmates/residents/detainees).</p>	<p>During the tour, rosters provided, file review and interviews with staff and incarcerated individuals did not demonstrate this category of incarcerated individuals were in the current population.</p>

67. Enter the total number of interviews conducted with inmates/residents/detainees who reported sexual abuse in this facility using the "Inmates who Reported a Sexual Abuse" protocol:	1
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:	6
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:	0
a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:	<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. <input type="checkbox"/> The inmates/residents/detainees in this targeted category declined to be interviewed.
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).	During the tour, rosters provided, file review and interviews with staff and incarcerated individuals did not demonstrate this category of incarcerated individuals were in the current population.
70. Provide any additional comments regarding selecting or interviewing targeted inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews):	No text provided.
Staff, Volunteer, and Contractor Interviews	
Random Staff Interviews	
71. Enter the total number of RANDOM STAFF who were interviewed:	12
72. Select which characteristics you considered when you selected RANDOM STAFF interviewees: (select all that apply)	<input checked="" type="checkbox"/> Length of tenure in the facility <input checked="" type="checkbox"/> Shift assignment <input checked="" type="checkbox"/> Work assignment <input checked="" type="checkbox"/> Rank (or equivalent) <input type="checkbox"/> Other (e.g., gender, race, ethnicity, languages spoken) <input type="checkbox"/> None
73. Were you able to conduct the minimum number of RANDOM STAFF interviews?	<input checked="" type="radio"/> Yes <input type="radio"/> No

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):	No text provided.
Specialized Staff, Volunteers, and Contractor Interviews	
Staff in some facilities may be responsible for more than one of the specialized staff duties. Therefore, more than one interview protocol may apply to an interview with a single staff member and that information would satisfy multiple specialized staff interview requirements.	
75. Enter the total number of staff in a SPECIALIZED STAFF role who were interviewed (excluding volunteers and contractors):	18
76. Were you able to interview the Agency Head?	<input checked="" type="radio"/> Yes <input type="radio"/> No
77. Were you able to interview the Warden/Facility Director/Superintendent or their designee?	<input checked="" type="radio"/> Yes <input type="radio"/> No
78. Were you able to interview the PREA Coordinator?	<input checked="" type="radio"/> Yes <input type="radio"/> No
79. Were you able to interview the PREA Compliance Manager?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if the agency is a single facility agency or is otherwise not required to have a PREA Compliance Manager per the Standards)

<p>80. Select which SPECIALIZED STAFF roles were interviewed as part of this audit from the list below: (select all that apply)</p>	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Agency contract administrator <input checked="" type="checkbox"/> Intermediate or higher-level facility staff responsible for conducting and documenting unannounced rounds to identify and deter staff sexual abuse and sexual harassment <input checked="" type="checkbox"/> Line staff who supervise youthful inmates (if applicable) <input type="checkbox"/> Education and program staff who work with youthful inmates (if applicable) <input checked="" type="checkbox"/> Medical staff <input checked="" type="checkbox"/> Mental health staff <input type="checkbox"/> Non-medical staff involved in cross-gender strip or visual searches <input checked="" type="checkbox"/> Administrative (human resources) staff <input type="checkbox"/> Sexual Assault Forensic Examiner (SAFE) or Sexual Assault Nurse Examiner (SANE) staff <input checked="" type="checkbox"/> Investigative staff responsible for conducting administrative investigations <input checked="" type="checkbox"/> Investigative staff responsible for conducting criminal investigations <input checked="" type="checkbox"/> Staff who perform screening for risk of victimization and abusiveness <input checked="" type="checkbox"/> Staff who supervise inmates in segregated housing/residents in isolation <input checked="" type="checkbox"/> Staff on the sexual abuse incident review team <input checked="" type="checkbox"/> Designated staff member charged with monitoring retaliation <input type="checkbox"/> First responders, both security and non-security staff <input checked="" type="checkbox"/> Intake staff <input type="checkbox"/> Other
<p>81. Did you interview VOLUNTEERS who may have contact with inmates/residents/detainees in this facility?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p>
<p>82. Did you interview CONTRACTORS who may have contact with inmates/residents/detainees in this facility?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>a. Enter the total number of CONTRACTORS who were interviewed:</p>	<p>1</p>

<p>b. Select which specialized CONTRACTOR role(s) were interviewed as part of this audit from the list below: (select all that apply)</p>	<p><input type="checkbox"/> Security/detention</p> <p><input checked="" type="checkbox"/> Education/programming</p> <p><input type="checkbox"/> Medical/dental</p> <p><input type="checkbox"/> Food service</p> <p><input type="checkbox"/> Maintenance/construction</p> <p><input type="checkbox"/> Other</p>
<p>83. Provide any additional comments regarding selecting or interviewing specialized staff.</p>	<p>No text provided.</p>

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.

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

<p>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)?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>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)?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>87. Informal conversations with inmates/residents/detainees during the site review (encouraged, not required)?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>88. Informal conversations with staff during the site review (encouraged, not required)?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
<p>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).</p>	<p>Three informal interviews were conducted with incarcerated individuals and two informal interviews were conducted with staff.</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>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?</p>	<p><input checked="" type="radio"/> Yes</p> <p><input type="radio"/> No</p>
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<p>91. Provide any additional comments regarding selecting additional documentation (e.g., any documentation you oversampled, barriers to selecting additional documentation, etc.).</p>	<p>Incarcerated individual file review was conducted utilizing the PREA Audit - Adult Prisons and Jail - Documentation Review - Inmate File Records template.</p> <p>Employee file review was conducted utilizing the PREA Audit - Adult Prisons and Jail - Documentation Review - Employee File Records template.</p> <p>Investigations file review was conducted utilizing the PREA Audit - Adult Prisons and Jail - Documentation Review - Investigation template.</p>
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SEXUAL ABUSE AND SEXUAL HARASSMENT ALLEGATIONS AND INVESTIGATIONS IN THIS FACILITY

Sexual Abuse and Sexual Harassment Allegations and Investigations Overview

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

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

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

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

	# of sexual harassment allegations	# of criminal investigations	# of administrative investigations	# of allegations that had both criminal and administrative investigations
Inmate-on-inmate sexual harassment	2	0	2	0
Staff-on-inmate sexual harassment	3	0	3	0
Total	5	0	5	0

Sexual Abuse and Sexual Harassment Investigation Outcomes

Sexual Abuse Investigation Outcomes

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

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

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

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

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

Sexual Harassment Investigation Outcomes

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

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

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

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

	Ongoing	Unfounded	Unsubstantiated	Substantiated
Inmate-on-inmate sexual harassment	0	2	0	0
Staff-on-inmate sexual harassment	0	1	0	2
Total	0	3	0	2

Sexual Abuse and Sexual Harassment Investigation Files Selected for Review

Sexual Abuse Investigation Files Selected for Review

98. Enter the total number of SEXUAL ABUSE investigation files reviewed/sampled:

0

a. Explain why you were unable to review any sexual abuse investigation files:

There were no sexual abuse investigations in the past 12 months.

99. Did your selection of SEXUAL ABUSE investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?

- Yes
 No
 NA (NA if you were unable to review any sexual abuse investigation files)

Inmate-on-inmate sexual abuse investigation files

100. Enter the total number of INMATE-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:

0

101. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?

- Yes
 No
 NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)

102. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?

- Yes
 No
 NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)

Staff-on-inmate sexual abuse investigation files

103. Enter the total number of STAFF-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:

0

104. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?

- Yes
 No
 NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)

105. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?

- Yes
 No
 NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)

Sexual Harassment Investigation Files Selected for Review

106. Enter the total number of SEXUAL HARASSMENT investigation files reviewed/sampled:	5
107. Did your selection of SEXUAL HARASSMENT investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any sexual harassment investigation files)
Inmate-on-inmate sexual harassment investigation files	
108. Enter the total number of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:	2
109. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT files include criminal investigations?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)
110. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)
Staff-on-inmate sexual harassment investigation files	
111. Enter the total number of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:	3
112. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include criminal investigations?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)
113. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)
114. Provide any additional comments regarding selecting and reviewing sexual abuse and sexual harassment investigation files.	No text provided.
SUPPORT STAFF INFORMATION	
DOJ-certified PREA Auditors Support Staff	

<p>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.</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p>
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Non-certified Support Staff

<p>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.</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p>
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AUDITING ARRANGEMENTS AND COMPENSATION

<p>121. Who paid you to conduct this audit?</p>	<p><input type="radio"/> The audited facility or its parent agency</p> <p><input 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 checked="" type="radio"/> Other</p>
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<p>Identify the entity by name:</p>	<p>Kendra Prisk</p>
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Standards

Auditor Overall Determination Definitions

- Exceeds Standard
(Substantially exceeds requirement of standard)
- Meets Standard
(substantial compliance; complies in all material ways with the stand for the relevant review period)
- Does Not Meet Standard
(requires corrective actions)

Auditor Discussion Instructions

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.

115.11	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, PREA-01, Incarcerated Individual PREA Information, dated August 2021 3. ISPFY2021 Iowa State Penitentiary Organizational Chart <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random Incarcerated Individuals 2. Targeted Incarcerated Individuals 3. Correctional Officers 4. Supervisory staff 5. PREA Compliance Manager <p>Through interviews with incarcerated individuals and staff and review of incarcerated individual and staff files, it is evident that this facility interweaves requirements for this standard in their daily protocols. Both incarcerated individuals and staff could speak to facility PREA practices and protocols being used as is described in the agency's PREA policy. The PREA Compliance Manager could attest to having the required time to institute and implement PREA protocols.</p> <p>Site Review Observation:</p> <p>During the tour of the facility, the Auditor witnessed Audit Notices on bright orange paper, No Means No, Zero Tolerance and facility designed PREA Reporting flyers, made by incarcerated individuals, posted throughout the facility. Flyers include reporting information within the program and agency information and external reporting information to Victim Support Services. During the tour the Auditor approached and informally interviewed incarcerated individuals and staff, each were able to demonstrate how they could access PREA information, report externally to hotline numbers and or external advocates through the kiosks located in each pod.</p> <p>(a) Iowa State Penitentiary PAQ states the agency policy mandates zero-tolerance toward all forms of sexual abuse and sexual harassment in the facility it operates and those directly under contract.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, PREA-01, Incarcerated Individual PREA Information, page 1, section I. Purpose, states, "To inform incarcerated individuals of Iowa Department of Corrections' (IDOC) zero tolerance standard for unwanted sexual behavior and to provide incarcerated individuals with information relative to their rights and responsibilities under the Prison Rape Elimination Act."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, PREA-01, Incarcerated Individual PREA Information, page 1, section II. Policy, states, "It is the policy of the IDOC to provide a safe, humane, and secure environment, free from the threat of unwanted sexual behavior for all incarcerated individuals in all IDOC facilities. The IDOC prohibits sexual abuse and sexual harassment of incarcerated individuals through incarcerated individual orientation, screening, assessment, classification, monitoring, counseling, and investigation of alleged sexual violence. The IDOC has a "zero tolerance" position for sexual abuse and sexual harassment of all incarcerated individuals under correctional supervision whether in institutional, residential, parole, probation and work release status. This policy shall be available to all incarcerated individuals and unless updates are needed this policy shall be reviewed every three years."</p> <p>(b) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, PREA-01, Incarcerated Individual PREA Information, page 5, section B. 2., Purpose, states, "The Deputy Director of Institution Operations shall be responsible for the development, implementation, and oversight of IDOC's efforts to comply with the PREA standards and to manage all PREA investigations."</p> <p>(c) Iowa State Penitentiary PAQ states the agency PREA Coordinator, Executive Officer, reports to the Warden. The primary PREA Compliance Manager reports directly to the Warden. The backup PREA Compliance Manager reports to the Deputy Warden.</p> <p>The facility provided a ISPFY2021 Iowa State Penitentiary Organizational Chart. The Organizational Chart demonstrates the Executive Officer reports to the facility Warden.</p> <p>Through such reviews, the facility meets the standard requirements</p>

115.12	Contracting with other entities for the confinement of inmates
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review: 1. Iowa State Penitentiary PAQ</p> <p>Interviews: 1. PREA Coordinator During the pre-audit phase, the PREA Coordinator, per the agency PAQ, conveys the agency has no privatized contracts.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility has zero contracts with private agencies for confinement services of their inmates.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.13	Supervision and monitoring
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-PR-03, dated June 2021 3. PREA Assessment Information, Iowa State Penitentiary, Iowa Department of Corrections, dated 2.4.2022 4. ISP Daily Populations for 1st, 10th, & 20th Day of Every Month from 4.1.2019 – 1.20.2022 5. PREA Staffing Plan Annual Review Meeting Conducted 02.01.2022 6. PREA Assessment Information – Iowa State Penitentiary Iowa Department of Corrections Staffing Plan Summary, dated 2.4.2022 7. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Management of Security Program, Policy IO-SC-01, dated September 2021 8. ISP Unit Log Unannounced Rounds, dated 10.2021 – 12.1.2021 9. Housing Rounds History Reports, dated 7.2021 10. Housing Rounds History Reports, dated 10.2021 11. Housing Rounds History Reports, dated 2.2022 12. Housing Rounds History Reports, 3rd Shift, dated 6.2021 – 7.2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random Incarcerated Individuals 2. Targeted Incarcerated Individuals 3. Correctional Officers 4. Captain 5. PREA Compliance Manager <p>Staff and incarcerated individuals interviewed could attest to supervisory staff conducting unannounced rounds, each day and or being available upon request. The Captain attested to completing unannounced rounds in all areas of the facility. The Captain stated rounds are completed randomly and at different times, throughout his shift.</p> <p>Site review observation:</p> <p>Unannounced rounds documentation demonstrated rounds are documented several times during all shifts in the facility ISP Unit Log electronic system. Rounds are logged as 'Captain XXX on pod making unannounced round'.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency requires the facility to develop, document and make its best efforts to comply on a regular basis with a staffing plan that provides for adequate levels of staffing, and, where applicable, video monitoring, to protect inmates against abuse. The daily number of inmates, based on the facility website on August 20, 2021 is 715 with the capacity of 790 and the staffing plan was predicated.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-PR-03, page 1-2, section Policy, states, "It is the policy of the IDOC to have an orderly system for establishing, reviewing, and revising the staffing requirements of each correctional institution, so as to effectively meet the specific programs, services, and security needs of the incarcerated individual population at each location."</p> <p>The facility provided a PREA Assessment Information, Iowa State Penitentiary, Iowa Department of Corrections. The staffing plan includes the following components.</p> <ul style="list-style-type: none"> • American Correctional Association Standards and general accepted detention and correctional practices were used to program, design and build the facility. • No judicial findings of inadequacy • Other oversight by Federal investigative agencies when the facility was constructed and the same is true today. • No findings of inadequacy from internal or external agencies. • Subsequent pages include physical plant layout. • Inmate populations and demographics • Supervisory personal distribution • Educational programming • Subsequent sexual harassment and sexual abuse investigations • Challenges • Housing/Living Units with description of Pod populations contained in each to include placement of security staff, key camera locations, total amount of offenders in each, and total instances of sexual abuse and harassment occurrences, in each.

- Support areas to include: Clinic, Reception & Discharge, Program/Activities Building, Kitchen, Laundry and Iowa Prison Industries to include placement of security staff, key camera locations, total amount of offenders in each, hours of operations and total instances of sexual abuse and harassment occurrences, in each. Zero occurrences in all support areas.

The facility provided a ISP Daily Populations for 1st, 10th, & 20th Day of Every Month from 4.1.2019 – 1.20.2022. The document is comprised of four columns, ISP (date), 1st, 10th, 20th and average daily population for each day.

(b) The Iowa State Penitentiary PAQ states each time the staffing plan is not complied with, the facility does document and justifies deviations. The PAQ states the facility has not deviated from the staffing plan in the past 12 months. The PAQ states overtime is hired to account for any areas identified in the staffing plan.

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-PR-03, page 2, section 2., states, "In circumstances where the staffing plan is not complied with, the facility shall document and justify all deviations from the plan. These documented deviations and justifications shall be sent to the Deputy Director of Institution Operations for review."

(c) The Iowa State Penitentiary PAQ states at least once every year the facility/agency, in collaboration with the PREA coordinator, does review the staffing plan to whether adjustments are needed in (a) the staffing, (b) the deployment of monitoring technology, or (c) the allocation of agency/facility resources to commit to the staffing plan to ensure compliance with the staffing plan.

The facility provided a PREA Staffing Plan Annual Review Meeting Conducted 02.01.2022. The review demonstrates the facility overview areas were conducted.

- Population Information
- Availability of Education and Programming Opportunities
- Access to Medical and Mental Health Care
- Physical Facility Characteristics
- Privacy Considerations
- Annual Staffing Plan Review
- Investigations and Outcomes

The facility provided a PREA Assessment Information – Iowa State Penitentiary, Iowa Department of Corrections, Staffing Plan Summary. The summary includes the following:

- Staffing Plan Summary narrative
- Facility Organizational Chart
- Iowa Department of Corrections – Central Office Organizational Chart
- Challenges
- Iowa State Penitentiary – Maximum Security Aerial View
- Housing/Living Unit Demographics (four total units)
- Housing Unit One Schematic
- Housing Unit Two Schematic
- Housing Unit Three Schematic
- Housing Unit Four Schematic
- Housing Unit Four – Medical Schematic
- Support Areas
 - o Clinic, Reception & Discharge, Program/Activities Building, Dining Hall(s), Kitchen, Laundry, Iowa Prison Industries
- Building Four – Clinic Schematic
- Building Four – Reception & Discharge Schematic
- Programs/Activities Building Schematic
- Dining Hall (s) – East & West Schematic
- Kitchen/Food Service Schematic
- Laundry/Clothing Schematic
- Iowa Prison Industries Schematic
- Administration Schematic
- Noted Exceptions
- Key Review Dates, reflecting revisions

(d) The Iowa State Penitentiary PAQ states facility requires that intermediate level or higher-level staff conduct unannounced rounds to identify and deter staff sexual abuse and sexual harassment.

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Management of Security Program, Policy IO-SC-01, page 3, section C. 2, states, "The Shift Supervisors or designated alternate supervisor shall tour every main living unit of the institution at least once each shift. Satellite living units such as minimum live out sites shall be routinely inspected by supervisory staff at least weekly. The Associate Warden of Security shall routinely review logs and other documentation of

such tours. Unoccupied areas may be inspected on a weekly basis. Each agency shall have a policy to prohibit 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.”

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Management of Security Program, Policy IO-SC-01, page 3, section C. 6, states, “Routine inspection of the institution by management staff is an important component of institutional operations. The Warden, Deputy Warden Associate Warden/Security shall routinely make rounds of the facility with a goal of visiting each major area of the facility monthly. The assigned Duty Officer shall inspect all areas of the facility during the assigned Duty Week. Department Heads shall routinely make rounds of their areas of responsibility and, occasionally, all areas of the facility. Each agency operating a facility shall implement 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. Such policy and practice shall be implemented for night shift as well as day shifts.”

The facility provided:

- ISP Unit Log Unannounced Rounds, dated 10.2021 – 12.1.2021
- Housing Rounds History Reports, dated 7.2021
- Housing Rounds History Reports, dated 10.2021
- Housing Rounds History Reports, dated 2.2022
- Housing Rounds History Reports, 3rd Shift, dated 6.2021 – 7.2021

Through such reviews, the facility met the standards requirements.

115.14	Youthful inmates
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review: 1. Iowa State Penitentiary PAQ</p> <p>Interviews: • PREA Compliance Manager The PAQ provided by the facility stated this facility did not house youthful inmates. Discussions with the PREA Compliance Manager demonstrated youthful inmates were not housed at this facility.</p> <p>Site Observation: The facility tour and formal and informal interviews with inmates and staff demonstrated youthful inmates were not housed at the facility.</p> <p>(a-b) The Iowa State Penitentiary PAQ states the agency does not house youthful inmates.</p> <p>Through such reviews, the facility met the standards requirements.</p>

115.15	Limits to cross-gender viewing and searches
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Searches, Policy IO-HSC-18, dated, September 2021 3. Staff Security Standards with Offender Detail – Body Cavity Search, dated 7.1.2021 – 1.1.2022 4. Staff Security Standards with Offender Detail – Strip Search, dated 7.1.2021 – 1.1.2022 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Cross Gender Supervision, Policy IO-SC-17, dated, June 2021 6. State of Iowa Department of Corrections Iowa State Penitentiary Policy and Procedures, Chapter 3, Institutional Operations, Policy/Procedure IO-SC-17 (ISP01), dated May 2022 7. Searches Guided Discussion Contraband and Searches Curriculum, not dated 8. Iowa State Penitentiary Employee Search Training Log, not dated 9. Post Audit: Email Communication, from PREA Coordinator, RE: Strip Searches, dated 6.16.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random Incarcerated Individuals 2. Targeted Incarcerated Individuals 3. Correctional Officers 4. Unit Manager's 5. PREA Compliance Manager <p>Interviews with incarcerated individuals and staff demonstrated cross gender searches were only conducted in exigent circumstances. Female Correctional Officers stated all pat down searches are documented in the agency ICON database. Staff stated if a transgender preferred an opposite sex staff conduct their search, they would consider the transgender's request. Incarcerated individuals interviewed reported their initial and any subsequent pate and or strip searches were done respectfully; however, at times, searches can take place in cells in front of cell mates.</p> <p>Site Review Observation:</p> <ol style="list-style-type: none"> 1. Intake (Receiving and Discharge) 2. Search area <p>During the tour of the facility the Auditor observed Receiving and Discharge. Once incarcerated individuals are brought from the sallyport and are placed in individual cells where they change clothes behind a window. Once changed, each are sat down on body scanners to check for metals in their bodies. Incarcerated individuals are then given the PREA Handbook and commence to the medical and psychology department to complete the intake screening. Any disclosures received during the risk screening are placed and scheduled in the Medical ICON database. Once the intake process is completed, all new arrivals are placed in Housing Unit 1 where they watch the PREA video, are educated on the agency PREA policy, SANE/SAFE Guide. Participation of PREA training is logged in the agency ICON database.</p> <p>Post Audit: Recommendation: The facility provided an email communication, from the PREA Coordinator to Department Supervisors, regarding strip searches in shared cells. The email states, "During the audit several HU3 incarcerated individuals mentions our strip search procedures. The has the below recommendation for overall safety and security: Correctional staff be retrained to ensure incarcerated individuals, in double cells, be asked to face the wall when their cellmates are being stripped searched in the cells."</p> <p>(a) The Iowa State Penitentiary PAQ states the facility does not conduct cross-gender strip or cross-gender visual body cavity searches of their Inmates. In the past 12 months the facility has conducted zero cross-gender strip or cross-gender visual body cavity searches of Inmates.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Searches Policy IO-AD-SC-18, pages 5-6, section 2.a., states, "An unclothed body search is a visual body search also called a strip search. Unclothed body searches shall be conducted by staff of the same gender as the incarcerated individual being searched or gender as identified per HSP-704 unless search procedures are otherwise outlined in the treatment plan. A Correctional Officer shall not touch an incarcerated individual during an unclothed body search unless it's a forced search. Staff shall wear protective gloves while conducting unclothed body searches. Gloves shall be changed whenever there is contamination by visible blood. Staff of the opposite sex may perform an unclothed body search and visual body search, in exigent circumstances. Searches conducted under exigent circumstances require two (2) staff members. However, even at these times, searches of the opposite gender must be conducted with dignity and professionalism, and only if a correctional officer of the same gender is not available, there is a legitimate serious security concern that a weapon or dangerous contraband may be recovered by the search that could not otherwise be retrieved and the search has been approved by the Warden or Institution Duty Officer. Staff shall</p>

document the reasons for the opposite sex search by memorandum and forward to the Warden through the Associate Warden of Security.”

Page 7, section b., states, “Visual inspections of incarcerated individual body cavities may be authorized by Warden on a reasonable belief that the incarcerated individual is carrying contraband or other prohibited material on or in the body. Such an inspection shall be conducted in privacy by a designated, qualified health practitioner. (LPN, RN, PA, Physician)”

Page 10, section D.1., states, “Body Scan searches shall be conducted in a respectful and dignified manner by trained staff of the same gender as the incarcerated individual being searched or the gender as identified per HSP-704. In an emergency, (e.g., escape, riot, etc.), this gender provision may be waived. However, even at these times, searches of the opposite gender must be conducted with dignity and professionalism, and only if a correctional officer of the same gender is not available and there is a legitimate serious security concern that a weapon or dangerous contraband may be recovered by the search that could not otherwise be retrieved.”

The facility provided a Staff Security Standards with Offender Detail – Body Cavity Search Log, demonstrating no cavity searches have occurred. The facility provided a Staff Security Standards with Offender Detail – Strip Search Log demonstrating no cross gender searches have occurred.

(b) Iowa State Penitentiary PAQ states the facility does not permit cross-gender pat-down searches of female inmates, absent exigent circumstances. This facility does not house female inmates.

(c) Iowa State Penitentiary PAQ states the facility policy requires that all cross-gender strip searches, cross-gender visual body cavity searches, and cross-gender pat-down searches be documented and justified. The facility does not house female inmates.

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Searches Policy IO-AD-SC-18, page 5, section 1. B., states, “Pat searches of female incarcerated individuals as well as those patients identified as female per HSP-704 may be conducted only by female employees unless otherwise identified in the treatment plan or there is substantial reason for an immediate search and no qualified female employee is available. All emergent cross gender pat searches of female incarcerated individuals shall be documented by memo to the Associate Warden of Security and the Warden or otherwise documented in accordance with a specific institutional procedure. Pat searches of female incarcerated individuals as well as those patients identified as female per HSP-704 may be performed in any area of the institution and during movement on a routine or random basis.”

Page 7, section D. 3., states, “Each occurrence shall be fully documented with a copy of the authorization from the Warden kept in the incarcerated individual’s file.”

Page 10, section D. 2, states, “Staff of the opposite sex may perform a body scan search, in exigent circumstances, and shall document the reasons for the opposite sex search by memorandum and forward to the Warden through the Associate Warden/Security.”

(d) Iowa State Penitentiary PAQ states the facility has implemented policies and procedures that enable Inmates to shower, perform bodily functions, and change clothing without non-medical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks (this includes viewing via video camera).

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Cross Gender Supervision Policy IO-AD-SC-17, page 2, section B. 3., states, “Staff shall exercise discretion when incarcerated individuals are using the toilet facilities. The facility shall implement procedures that enable incarcerated individuals to shower, perform bodily functions and change clothing without nonmedical staff of the opposite gender viewing their breasts (female incarcerated individual as well as those patients identified as female per HSP-704, Management of Gender Dysphoria), buttocks, or genitalia, except in exigent circumstance or when viewing is incidental to routine cell checks.”

Page 3, section 4. c., states, “In addition, Notice may also be provided by other means such as an in-house television station where notices to incarcerated individuals are provided.”

State of Iowa Department of Corrections Iowa State Penitentiary Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-SC-17 (ISP01), page 4, section 4. C. i-v., states, “In addition, Notice may also be provided by other means such as an in-house television station where notices to incarcerated individuals are provided.

- i. Master Control will make the following announcement to all cell houses/unit at 8 am and 8 PM
- ii. Female staff will be present on the Unit or Pods and it is the incarcerated individual’s responsibility to remain sufficiently clothed to protect their privacy.
- iii. When the supervision gender changes on the Pod, the entering staff (female) shall ring the notification doorbell.
- iv. Unit staff will record that the announcement was made in the respective unit logs.

If the doorbell cannot be rung for whatever reason, the unit officer shall make the announcement in a clear and concise

manner and record it in the Unit log.”

(e) The Iowa State Penitentiary PAQ states the facility has a policy prohibiting staff from searching or physically examining a transgender or intersex Inmate for the sole purpose of determining the inmate's genital status. Such searches did not occur in the past 12 months.

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Cross Gender Supervision Policy IO-AD-SC-17, page 4, section E. 4., states, “Institutional security staff shall not search or physically examine a transgender or intersex incarcerated individual for the sole purpose of determining the incarcerated individual's genital status. If the incarcerated individual's genital status is unknown, it may be determined during conversations with the incarcerated individual, 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.”

(f) The Iowa State Penitentiary PAQ states 100% of security staff receive training on conducting cross-gender pat-down searches and searches of transgender and intersex Inmates in a professional and respectful manner.

The facility provided a Searches Guided Discussion Contraband and Searches Curricula. The curricula include the following components:

- Step 1: Introduce eLearning, Contraband and Searches
- Step 2: Bring up the eLearning and utilize it as a guide.
 - o Highlight transgender searches (both pat down and strip); refer to institution procedures and policy HSP-704.
- Classroom discussion
 - o eLearning questions
 - o Provide examples
 - o Why do we conduct searches?
 - o Identify the different types of searches
 - o Why is it important to be professional when doing searches?
- Activates
 - o Apply what you have learned
- Wrap Up
- Tip/Tricks
 - o ALWAYS wear gloves
 - o Look before you touch
 - o Think out of the box for areas that can conceal contraband
 - o Remember Situational Awareness
 - o DO NOT GET COMPLACENT

The facility provided an Iowa State Penitentiary Employee Search Training Log. The log demonstrates employees have completed training for Contraband Control and Searches or Contraband and Searches Hybrid trainings.

Through such reviews, the facility met the standards requirements.

115.16	Inmates with disabilities and inmates who are limited English proficient
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Document Review:

1. Iowa State Penitentiary PAQ
2. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Incarcerated Individual Intake and Orientation, Policy IS-RO-02, dated, May 2021
3. Language Link Account Instruction page, not dated

Interviews:

1. Targeted incarcerated individuals
2. Correctional Counselors

During interviews with targeted incarcerated individuals who were disabled either cognitively, physically and language English proficient, each could articulate their understanding of PREA protocols. Language Link was used to interview the one Spanish speaking incarcerated individual who was aware of PREA policies and protocols. The LEP incarcerated individual was also in segregated housing and could attest to the PREA Audit Notice being placed under his door as those in segregated housing are behind two doors making it difficult to see postings in the area.

(a) The Iowa State Penitentiary PAQ states the agency has established procedures to provide disabled Inmates equal opportunities to be provided with and learn about the agency's efforts to prevent, detect and respond to sexual abuse and sexual harassment.

State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Incarcerated Individual Intake and Orientation, Policy IS-RO-02, page 7, section 6., states, "IDOC shall not rely on incarcerated individual interpreters, incarcerated individual readers, or other types of incarcerated individual assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the incarcerated individual's safety, the performance of first-response duties or the investigation of the incarcerated individual's allegations."

Pages 6-7, section D. 1-6, state,

1. "IDOC shall take appropriate steps to ensure that incarcerated individuals with disabilities (including, for example, incarcerated individuals who are deaf or hard of hearing, those who are blind or have low vision, or those who have intellectual, psychiatric, or speech disabilities), have an equal opportunity to participate in or benefit from all aspects of IDOC's efforts to prevent, detect, and respond to sexual assault, sexual abuse, and sexual harassment.
2. Such steps shall include, when necessary to ensure effective communication with incarcerated individuals who are deaf or hard of hearing, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively using any necessary specialized vocabulary.
3. In addition, IDOC shall ensure that written materials are provided in formats or through methods that ensure effective communication with incarcerated individuals with disabilities, including incarcerated individuals who have intellectual disabilities, limited reading skills, or who are blind or have low vision.
4. IDOC is not required to take actions that it can demonstrate would result in a fundamental alteration in the nature of a service, program, or activity, or in undue financial and administrative burdens, as those terms are used in regulations promulgated under title II of the Americans with Disabilities Act, 28 CFR 35.164.
5. IDOC shall take reasonable steps to ensure meaningful access to all aspects of the department's efforts to prevent, detect, and respond to sexual assault, sexual abuse, and sexual harassment to incarcerated individuals who are limited English proficient, including steps to provide interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary.
6. IDOC shall not rely on incarcerated individual interpreters, incarcerated individual readers, or other types of incarcerated individual assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the incarcerated individual's safety, the performance of first-response duties or the investigation of the incarcerated individual's allegations."

(b) The Iowa State Penitentiary PAQ states the agency has established procedures to provide inmates with limited English 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. Policy compliance can be found in provision (a) of this standard.

The facility provided a Language Link Account instruction page. The instruction page includes steps for calling, entering an account number, and selection numbers for different language options.

(c) The Iowa State Penitentiary PAQ states the agency prohibits the use of inmate interpreters. In the last 12 months the facility has had zero instances where inmates were used for interpreters. Policy compliance can be found in provision (a) of this standard.

Through such reviews, the facility meets the standard requirements.

115.17	Hiring and promotion decisions
	<p data-bbox="240 147 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="240 210 451 237">Auditor Discussion</p> <p data-bbox="240 273 435 300">Document Review:</p> <ol data-bbox="240 304 1485 766" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, dated, June 2020 3. Agreement Between the Iowa Department of Corrections and AFSCME As Provided by the Chapter 20, Code of Iowa (2017) 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Agreements and Contracts, Policy AD-GA-13, dated, April 2016 5. Authorization for Release of Information and Applicant's Background Information, dated May 2017 6. Staff Background Spreadsheet 7. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Iowa Department of Corrections Rules of Employee Conduct, Policy AD-PR-11, dated, November 2020 8. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Staff Response to Incarcerated Individual-On-Individual Incarcerated Individual Sexual Violence or Retaliation (PREA), Policy PREA-03, dated, August 2021 9. Final Applicant Pre-Hire Checklist, not dated <p data-bbox="240 797 352 824">Interviews:</p> <ol data-bbox="240 828 560 855" style="list-style-type: none"> 1. Human Resource Associates <p data-bbox="240 860 1485 1025">Interviews with the Human Resource Associates demonstrated the initial criminal history check was completed before hire, upon promotion and every five years thereafter. Each stated an investigation process would be completed for any applicant who may have past involvement in sexual harassment. Each attested to the Warden's secretary completing background checks every five years. Human Resource Associates conveyed institutional reference checks were completed and would be responded to for past employees once a release of information was provided.</p> <p data-bbox="240 1057 499 1084">Site Review Observation:</p> <p data-bbox="240 1088 1477 1214">During review of 16 personnel files, this Auditor noted that institutional references were completed for all applicable staff, reviewed. File review also demonstrated each had been asked adjudication questions during the completion of employment and promotion application. Criminal history checks were completed upon hire, and all were current with many being completed on 2.16.2022.</p> <p data-bbox="240 1245 1477 1339">(a) The Iowa State Penitentiary PAQ states the agency policy prohibits hiring or promoting anyone who may have contact with inmates, and prohibits enlisting the services of any contractor who may have contact with inmates who has engaged in or been convicted in or administratively adjudicated in sexual activity described in paragraph (a)(2) of this standard.</p> <p data-bbox="240 1370 1477 1496">State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, page 4, section c., states, "Has been civilly or administratively adjudicated to have engaged in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse"</p> <p data-bbox="240 1527 1485 1765">Agreement Between the Iowa Department of Corrections and AFSCME as Provided by the Chapter 20, Code of Iowa (2017), and IDOC Policy AD-PR-05 page 2-3, section 3.4 A. , states "The Agency shall not hire anyone who may have contact with offenders who has: 1. Engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution; 2. 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; or 3. Been civilly or administratively adjudicated 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."</p> <p data-bbox="240 1796 1477 1854">The facility provided an Authorization for Release of Information and Applicant's Background Information. Page 4, section 1-2, ask applicants the following questions.</p> <ol data-bbox="240 1859 1477 2024" style="list-style-type: none"> 1. "Have you ever been convicted, civilly adjudicated or administratively adjudicated of engaging or attempting to engage in sexual harassment, or 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? 2. Have you ever resigned during a pending investigation or an allegation of sexual violence or sexual harassment while employed at a prison, jail, lockup, community confinement facility, juvenile facility or other institution?" <p data-bbox="240 2056 1485 2114">(b) The Iowa State Penitentiary PAQ states agency policy requires the consideration of any incidents of sexual harassment when determining to hire and or promote anyone, or to enlist services of any contractor, who may have contact with inmates.</p>

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, page 4, section 2, states, "The institution shall consider any incidents of sexual harassment in determining whether to hire or promote anyone, who may have contact with incarcerated individuals."

(c) The Iowa State Penitentiary PAQ states Agency policy requires background checks are conducted with all new hires who have contact with inmates and makes its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse. In the past 12 months 64 persons hired may have contact with an inmate who have had criminal background checks.

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, page 4, section 3, states, "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."

(d) The Iowa State Penitentiary PAQ states the agency policy requires that a criminal background records check be completed before enlisting the services of any contractor who may have contact with inmates. In the past 12 months there were three contracts for services where criminal background record checks were conducted on all contractors covered in the contract who might have contact with inmates.

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Agreements and Contracts, Policy AD-GA-13, page 4, section 3, states, "IDOC shall also perform a criminal background records check before enlisting the services of any contractor who may have contact with offenders."

Agreement Between the Iowa Department of Corrections and the ____ As Provided by the Chapter 28E, Code of Iowa (2017), page 3, section 3.4 C., states, "The Agency shall perform a criminal background records check before hiring any person who may have contact with offenders. Background checks on all current employees who have contact with offenders shall be conducted every five years or the Agency shall have in place a system for otherwise capturing such information."

(e) The Iowa State Penitentiary PAQ states the agency requires background checks to be completed every five years. Policy compliance can be found in provision (d) of this standard.

The facility provided a Staff Background Spreadsheet. The spreadsheet demonstrates staff name, social security number, date of birth, state background conducted, notes to indicate clear and or charges and approval date.

(f) State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, page 4, section 4, states, "The institution shall ask all applicants and employees who may have contact with incarcerated individuals directly about previous misconduct described in paragraph (1) above of this section in written applications or interviews for hiring or promotions and in any interviews or written self-evaluations conducted as part of reviews of current employees. The institution shall also impose upon employees a continuing affirmative duty to disclose any such misconduct."

(g) The Iowa State Penitentiary PAQ states that agency policy states that material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination.

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Employee Selection, Policy AD-PR-05, page 4, section 5, states, "Material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination."

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Iowa Department of Corrections Rules of Employee Conduct, Policy AD-PR-11, page 4, section 7 states, "Report any conviction for sexual assault or sexual abuse of an incarcerated individual/client in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution; or if they have 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; or if they have been civilly or administratively adjudicated to have engaged in any such conduct. Material omissions or the provision of materially false information regarding sexual assault or sexual abuse of an incarcerated individual/client as described above shall be grounds for termination."

(h) The facility provided a Final Applicant Pre-Hire Checklist. This checklist documents:

- PREVIOUS INSTITUTION EMPLOYERS: Reference Check with the following Questions being asked sent: Did the applicant have any substantiated allegations or resign during a pending investigation of an allegation of sexual violence or sexual harassment? PREA STANDARD 115.17(c)(2)(d)
- Date completed
- Response received
- Date received back
- Initials of person completing

Through such reviews, the facility meets the standard requirements.

115.18	Upgrades to facilities and technologies
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review: 1. Iowa State Penitentiary PAQ</p> <p>Interviews: 1. PREA Coordinator Interviews with all the PREA Coordinator demonstrated cameras were used throughout the facility.</p> <p>Site Review Observation: This facility was built and occupied with incarcerated individuals in 2015. Camera placement was witnessed throughout each pod, recreation areas, exterior of buildings and in cells where incarcerated individuals are on constant observation. Cameras were reviewed in Control and all were found to be operational.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility has not acquired a new facility or made substantial expansions or modifications to existing facilities since the last PREA audit.</p> <p>(b) The Iowa State Penitentiary PAQ states the facility has not installed camera in the last 12 months.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.21	Evidence protocol and forensic medical examinations
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-03, dated, August 2021 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-SC-22, dated, December 2021 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy IS-CL-02, dated, August 2021 6. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 7. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-01, dated, August 2021 8. Memorandum of Understanding – Prison Rape Elimination Act Responsibilities between Iowa State Penitentiary (ISP) and the Rape Victim Advocacy Program (RVAP), dated 2.9.2022 9. Iowa State Penitentiary Interoffice Memorandum, Subject: PREA Qualified Staff, dated 12.20.2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Correctional Officers 4. PREA Coordinator <p>Formal and informal interviews with incarcerated individuals and staff indicated they were aware of an outside advocate. Incarcerated individuals and staff interviewed stated hotline numbers were placed above payphones; however, some were taken down by incarcerated individuals and hotline numbers could be found posted throughout the facility.</p> <p>Every staff interviewed clearly articulated first responder duties to include protecting, preserving and reporting. When each were asked where this information was located, responses included bulletin boards, postings throughout the facility and near inmate phones. Although staff reported they would separate victims and abusers, a percentage stated those involved in an allegation would be placed in their cells until supervisory staff arrived. Due to cells having sinks and toilets, the Auditor recommended staff be trained on how to turn off the water in cells and or placed victims and abusers in an area without facilities.</p> <p>Site Review Observation:</p> <p>There were zero investigations reported in the last 12 months where a forensic exam was completed.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility is responsible for conducting Administrative Investigations and the Central Office, Department of Criminal Investigation is responsible for conducting criminal sexual abuse investigations (including inmate-on-inmate sexual abuse or staff sexual misconduct.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-03, page 1, section Purpose, states, "To describe the procedures that shall be used at all Iowa Department of Corrections (IDOC) institutions to ensure that prevention, detection, response, investigation, prosecution, and tracking of incarcerated individual-on-incarcerated individual sexual violence and retaliation allegations are completed by professional criteria and principles and meet the requirements of the PREA standards."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-02, page 17, section d., states "Follow institution procedures for the bags of clothing to be placed in the institution's evidence storage."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-SC-22, page 4, section 10. a., states, "Follow the established uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions. The protocol shall be developmentally appropriate for youth where applicable, and as appropriate, shall be 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 Abuse Medical Forensic Examinations. Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011."</p>

(b) The Iowa State Penitentiary PAQ states the protocol being developmentally is appropriate for youth. Policy compliance can be found in provision (a) of this standard.

(c) The Iowa State Penitentiary PAQ states the facility offers all inmates who experience sexual abuse access to forensic medical examinations. Forensic examinations are offered at no cost to the victim. Where possible, all examinations are conducted by SAFE or SANE examiners. There have been zero medical exams, SAFE/SANE exams performed in the last 12 months. Forensic exams are completed at the University of Iowa Hospitals and Clinics.

State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 4, section 5., states, "IDOC shall offer all victims of sexual abuse access to forensic medical examinations at an outside facility, without financial cost, where evidentiary or medically appropriate. Such examinations shall be performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) wherever possible. If SANEs or SAFEs cannot be made available, the examination can be performed by other qualified medical professionals. Efforts to provide SAFEs or SANEs is documented in each institution's Memorandum of Understanding (MOU)"

On 4.23.2022 at 2:39 pm, this Auditor phoned University of Iowa Hospital and Clinics at 319.384.8442, the operator who initially answered stated the hospital does see inmates at their locations. Upon asking about forensic exams I was transferred to the emergency room and spoke with attendant "Kate". Kate verified that the facility does conduct forensic exams and would do so for inmates from the Iowa State Penitentiary.

(d) The Iowa State Penitentiary PAQ states the facility attempts to make a victim advocate from a rape crisis center available to the victim, in person or by other means. All efforts are documented. If a rape crisis center is not available to provide victim advocate services, the facility utilized two Correctional Counselors and or a Sergeant.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-01, page 8, section 3., states, "An incarcerated individual victim may request a victim advocate or qualified IDOC staff member to accompany and support the incarcerated individual victim through the investigatory interviews and to provide emotional support, crisis intervention, information, and referrals to additional resources. The victim advocate or qualified IDOC staff member shall meet with the victim in a private area and may continue for up to six sessions."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-02, page 15, section 6., states, "The incarcerated individual victim is offered the opportunity to meet with a victim advocate from a community crime victim center. If an advocate from the community is not available to provide victim advocate services, the shift supervisor shall ensure that the opportunity to meet with a qualified staff member is offered to the victim. The effort to secure services from the community shall be documented. If the incarcerated individual victim desires to meet with a victim advocate or qualified staff member, the shift supervisor shall immediately make the arrangements. If the incarcerated individual victim is transported to an outside healthcare facility, this opportunity shall be offered immediately upon return to the institution and arrangements made if the incarcerated individual victim so desires."

The facility provided a Memorandum of Understanding – Prison Rape Elimination Act Responsibilities between Iowa State Penitentiary (ISP) and the Rape Victim Advocacy Program (RVAP). Page 1, section Purpose, states, "To establish written procedures that comply with the Prison Rape Elimination Act (PREA) standards concerning the exchange of information and the coordination of efforts and assets between the Iowa State Penitentiary (ISP) and Rape Victim Advocacy Program (RVAP) in sexual assault cases involving offender-victims housed in the ISP." The Memorandum of Understanding became effective 4.1.2022 and shall expire on 3.31.2025.

On 4.23.2022 at 2:50 pm, this Auditor contacted the RVAP Advocacy, Support, Prevention Center at 108 River Street, Iowa City, IA 52246 at 800.228.1625. The operator was aware of the memorandum of understanding with the Iowa State Penitentiary and stated they would take calls from inmates. The operator also stated depending on what time of day the inmate called would depend on how much help they could immediately receive. If an inmate called after hours, they would need to find an advocate, or get them to services they are requesting. If the inmate called during normal work hours they would be able to help the inmates directly as advocates would be working during those hours.

The facility provided an Iowa State Penitentiary Interoffice Memorandum, Subject: PREA Qualified Staff, addressed to DOC ISP Leadership and DOC ISP Medical Staff. The memorandum states, "PREA standard 115.21 requires that the agency make available to the victim of sexual assault a victim advocate from a rape crisis center. If a rape crisis center is not available to provide victim advocate services, the agency shall make available to provide these services a qualified agency staff member. Our current PREA "qualified staff" are Tammy Burden and Julie Woolever. Two additional staff members are in the process of becoming qualified as well. Please contact myself or Rebecca Bowker with any questions you may have."

(e) The Iowa State Penitentiary PAQ states a qualified community member accompanies and supports the victim through the forensic medical examination process and investigatory interviews and provides emotional support, crisis intervention, information and referrals.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-02, page 15, section 7., states, "If requested by the victim, the victim advocate or qualified staff member shall accompany and support the victim through the forensic medical examination process and investigatory interviews and shall provide emotional support, crisis intervention, information, and referrals. All counseling sessions shall be held in a private area. Counseling may continue for up to six sessions."

(f-h) The Iowa State Penitentiary PAQ states the agency is responsible for Administrative investigations. See provision (d) for the facilities qualified community-based staff member.

Through such reviews, the facility meets the standard requirements.

115.22	Policies to ensure referrals of allegations for investigations
	<p data-bbox="240 147 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="240 210 451 237">Auditor Discussion</p> <p data-bbox="240 273 435 300">Document Review:</p> <ol data-bbox="240 304 1485 801" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administrative & Management, Policy AD-PE-13, dated, August 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-02, dated, September 2021 4. State of Iowa DOC Sexual Violence Investigation ISP21-001 5. State of Iowa DOC Sexual Violence Investigation ISP21-002 6. State of Iowa DOC Sexual Violence Investigation ISP21-004 7. State of Iowa DOC Sexual Violence Investigation ISP21-006 8. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Major Discipline Report Procedures, Policy IO-RD-03, dated, May 2021 9. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-04, dated, August 2021 10. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, dated, August 2021 <p data-bbox="240 833 352 860">Interviews:</p> <ol data-bbox="240 864 603 1025" style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Correctional Officers 4. Targeted staff 5. Investigator <p data-bbox="240 1034 1485 1128">Incarcerated individuals and staff interviews demonstrated each can report incidents of sexual abuse and sexual harassment through the grievance process, reporting to a family member, reporting to staff, utilizing the hotline and or kiosk. Incarcerated individuals stated being comfortable reporting incidents of sexual harassment and assault, primarily in person.</p> <p data-bbox="240 1160 499 1187">Site Review Observation:</p> <p data-bbox="240 1191 1461 1285">There were five investigations reported in the last 12 months. Of those five investigations, all were reported timely with the victim and perpetrator separated immediately following the allegation, where appropriate. Each investigation was reviewed utilizing the PREA Audit – Adult Prisons & Jails Documentation Review – Investigations template.</p> <p data-bbox="240 1317 1477 1442">(a) The Iowa State Penitentiary PAQ states the agency ensures that an administrative or criminal investigations are completed for all allegations of sexual abuse and sexual harassment. In the past 12 months the facility has had four allegations of sexual abuse and sexual harassment that were received. In the past 12 months four allegations resulted in an Administrative Investigation. In the past 12 months zero investigations resulted in a criminal investigation.</p> <p data-bbox="240 1473 1485 1635">State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administrative & Management, Policy AD-PR-13, page 2, section A. 2., states, "Incidents of staff sexual misconduct, sexual harassment, retaliation, or staff neglect or violation of responsibilities that may have contributed to such incidents shall be investigated by an Institutional Operations Investigator. For PREA related incidents refer to IDOC policy PREA-02, Staff, Contractor, or Volunteer Sexual Misconduct/Harassment/ Retaliation with Incarcerated Individuals."</p> <p data-bbox="240 1666 1449 1792">State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-02, page 2, section 8, states, "The Deputy Director of Institution Operations/Designee shall ensure that an administrative or criminal investigation is completed for all allegations of sexual violence, sexual misconduct, sexual harassment, or retaliation."</p> <p data-bbox="240 1823 1481 1948">State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Major Discipline Report Procedures, Policy IO-RD-03, page 6, section 6, states, "The Deputy Director of Institution Operations/Designee shall ensure that an administrative or criminal investigation is completed for all allegations of precursor behavior, sexual abuse, sexual harassment, or retaliation."</p> <p data-bbox="240 1980 1481 2038">The facility provided four investigations of sexual harassment that resulted in administrative investigation. Each investigation was completed in the agency software database.</p> <p data-bbox="240 2069 1481 2128">(b-c) The Iowa State Penitentiary PAQ states the agency has policy that requires allegations of sexual abuse or harassment to be referred for investigation to an agency with the legal authority to conduct criminal investigations.</p>

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Major Discipline Report Procedures, Policy IO-RD-03, page 37, section 5., states, "In cases involving allegations of sexual violence, the Inspector General/Designee rather than the Warden/Designee shall handle issues connected with possible criminal prosecution. The Inspector General/Designee may consult with the police and prosecuting authorities and the incarcerated individual will receive a Miranda warning when appropriate."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-04, page 2, section 3., states, "IDOC shall publish the sexual violence investigation policies on its website."

The agency's policy regarding sexual harassment for criminal investigation is published at Search | Iowa.gov

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-02, page 8, section 8, states, "The Deputy Director of Institution Operations/Designee shall ensure that an administrative or criminal investigation is completed for all allegations of sexual violence, sexual misconduct, sexual harassment, or retaliation."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, page 6, section 6, states, "The Deputy Director of Institution Operations/Designee shall ensure that an administrative or criminal investigation is completed for all allegations of precursor behavior, sexual abuse, sexual harassment, or retaliation."

Through such reviews, the facility meets the standard requirements.

115.31	Employee training
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-TS-04, dated, November 2020 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-TS-05, dated, March 2021 5. Searches Guided Discussion Curriculum, not dated 6. PREA PowerPoint Online Learning Management System Training, not dated <p>Interviews:</p> <ol style="list-style-type: none"> 1. Facility staff 2. PREA Compliance Manager <p>Interviews with staff demonstrated each were aware of and received initial and refresher PREA training. When prompted, staff could speak to various information regarding separating victims and abusers, preserving incarcerated individuals, sealing off the crime scene area until supervisory and investigative staff could arrive to collect evidence and notifying their Sergeant or Captain.</p> <p>Site Observation:</p> <p>Employee training is maintained in the agency database. The PREA Compliance Manager provided a spreadsheet of employee training for employees whose files were reviewed during the onsite phase of the audit.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency trains all employees who may have contact with Inmates in all required provisions of this standard.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-TS-04, page 9, section I., states, "Such training shall be tailored to the gender of the incarcerated individuals/clients at the employee's facility. The employee shall receive additional training if the employee is reassigned from a facility that houses only male incarcerated individuals/clients to a facility that houses only female incarcerated individuals/clients, or vice versa."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-TS-05, page 7, sections e. – l., state,</p> <ol style="list-style-type: none"> e. "The dynamics of sexual violence and sexual harassment in confinement; f. The common reactions of sexual violence and sexual harassment victims; g. How to detect and respond to signs of threatened and actual sexual violence; h. How to avoid inappropriate relationships with incarcerated individuals; i. How to communicate effectively and professionally with incarcerated individuals, including lesbian, gay, bisexual, transgender nonconforming incarcerated individuals; j. Such training shall be tailored to the gender of the incarcerated individuals at the employee's facility. The employee shall receive additional training if the employee is reassigned from an institution that houses only male incarcerated individuals to an institution that houses only female incarcerated individuals, or vice versa; k. IDOC shall provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual violence and sexual harassment policies and procedures. In years that employees don't receive refresher training, IDOC shall provide refresher information on current sexual violence and sexual harassment policies; l. IDOC shall document, through employee signature or electronic verification, that employees understand the training they have received." <p>The facility provided a Searches Guided Discussion Curriculum. This curriculum includes the following topics:</p> <ul style="list-style-type: none"> • Introduces Contraband and Searches: "The course give you the opportunity to better understand contraband and searches. It will also give you the opportunity to do some hands-on-training." • Key Points: "Highlight transgender searches (both pat down and strip); refer to institution procedures and policy HSP-704." • Discussion: Questions; why we do searches, why this is important. <p>The facility provided a PREA PowerPoint On Line Learning Management System Training. This PowerPoint includes the following topics:</p> <ul style="list-style-type: none"> • PREA Inmate Sexual Abuse • Important Functions of PREA

- Annual Report to DOJ/BJA
- Iowa Department of Corrections Policy
- PREA is Everyone's Responsibility
- Zero Tolerance
- Definitions
- Incarcerated Individuals' Rights
- Red Flags
- Our Responsibilities
- Reporting
- Detection
- Response
- Professional Boundaries
- Communication
- Respect: LGBTQI
- PREA Standard 115.53 requires individual access to outside confidential support services
- Recognize our responsibilities in regards to PREA.
- Restate the definitions and Dynamics of Sexual Violence.
- Describe the Common Victim Reactions to Sexual Violence.
- Demonstrate effective communication skills with all incarcerated individuals.

(b) The Iowa State Penitentiary PAQ states training is tailored to the unique needs and attributes and gender of inmates at the facility. Policy compliance can be found in provision (a) of this standard.

(c) The Iowa State Penitentiary PAQ states between trainings the agency provides employees who may have contact with inmates with refresher information about current policies regarding sexual abuse and sexual harassment. The frequency with which employees who may have contact with inmates receive refresher training on PREA requirements, yearly. Policy compliance can be found in provision (a) of this standard.

(d) The Iowa State Penitentiary PAQ states the agency documents that employees who may have contact with inmates, understand the training they have received through employee signature or electronic verification. Policy compliance can be found in provision (a) of this standard.

Through such reviews, the facility meets the standard requirements.

115.32	Volunteer and contractor training
	<p data-bbox="242 145 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="242 210 451 239">Auditor Discussion</p> <p data-bbox="242 271 435 300">Document Review:</p> <ol data-bbox="242 304 1212 432" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. Acknowledgement of Receipt Department of Corrections Staff, Contractor, or Volunteer Sexual Misconduct/Harassment/Retaliation with Offenders, dated 12.2014 3. Sexual Misconduct with Offenders Brochure, not dated <p data-bbox="242 463 352 492">Interviews:</p> <ol data-bbox="242 497 722 557" style="list-style-type: none"> 1. Hi-SET AEL Education Instructor / Contractor 2. PREA Compliance Manager <p data-bbox="242 562 1442 622">The contractor reported having initial and refresher training that is given to all staff. The contractor clearly articulated she would keep any victim who reported with her and would report to the shift sergeant or supervisory staff on shift.</p> <p data-bbox="242 654 1477 781">(a) The Iowa State Penitentiary PAQ states all volunteers and contractors who have contact with Inmates have been trained on their responsibilities under the agency's policies and procedures regarding sexual abuse and harassment prevention, detection, and response. Three contractors and volunteers, who have contact with Inmates, have completed the required training.</p> <p data-bbox="242 813 1481 904">(b) The Iowa State Penitentiary PAQ states all volunteers and contractors who have contact with Inmates have been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents. Policy compliance can be found in provision (a) of this standard.</p> <p data-bbox="242 936 1474 996">The facility provided a Sexual Misconduct with Offenders Brochure. This brochure informs contractors and volunteers of the following:</p> <ul data-bbox="242 1001 738 1232" style="list-style-type: none"> • An Issue of Power <ul data-bbox="242 1037 459 1097" style="list-style-type: none"> o Sexual Misconduct o Sexual Harassment • An Issue of Law • Retaliation • Safety and Security are the First Priorities • A Special Note to Persons in Positions of Power <p data-bbox="242 1263 1485 1456">The facility provided an Acknowledgement of Receipt Department of Corrections Staff, Contractor, or Volunteer Sexual Misconduct/Harassment/Retaliation with Offenders. The acknowledgment states, "I acknowledge that I have received the Department of Corrections Staff, Contractor, or Volunteer Sexual Misconduct/Harassment/Retaliation with Offenders Policy PREA-02. I further acknowledge that I have been directed to read this document and that I was offered an opportunity to ask questions about the content. I understand that I am subject to and shall be expected to comply with the IDOC Policy." Each contractor prints and signs his/her name and dates the document. A witness signature and date is also required.</p> <p data-bbox="242 1487 1393 1547">(c) The Iowa State Penitentiary PAQ states the agency maintains documentation confirming that the volunteers and contractors understand the training they have received.</p> <p data-bbox="242 1579 919 1608">Through such reviews, the facility meets the standard requirements.</p>

Auditor Overall Determination: Meets Standard

Auditor Discussion

Document Review:

1. Iowa State Penitentiary PAQ
2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, dated, February 2021
3. Staying Safe – A Guide for Incarcerated Individual Conduct, not dated
4. Transfers with Orientation Listing, dated throughout 2021
5. PREA Generic Note Refresher Listing, dated throughout 2021 and January and February of 2022
6. PREA No Means No Posting, not dated
7. Zero Tolerance Posting, not dated
8. You Have the Right to be free from Sexual Violence and Harassment Posting, not dated
9. Third Party Reporting – Report Sexual Assault Posting, not dated
10. Report Sexual Assault Poster, English and Spanish, not dated
11. Post Audit: Iowa State Penitentiary Care Package Form, not dated

Interviews:

1. Random incarcerated individuals
2. Targeted incarcerated individuals
3. Senior Correctional Officer/Property/Intake
4. PREA Compliance Manager

Interviews with 30 incarcerated individuals reported their knowledge on PREA, reporting options to staff, writing a grievance, telling a friend, notifying a family member and the hotline numbers posted on Zero-tolerance posters throughout the facility.

The Senior Correctional Officer reported providing intakes with the Staying Safe – A Guide for Incarcerated Conduct, PREA Policy Steps, definitions and information on how to report sexual harassment and sexual abuse. The Senior Correctional Officer stated all intakes sign the Iowa State Penitentiary Care Package Form during the intake process.

Site Observation:

Of the 12 incarcerated individual files reviewed, each demonstrated evidence of PREA education within 72 hours of intake and again within 30 days of intake. Documentation of training within 72 hours was documented through incarcerated individuals signing the Iowa State Care Package. Due to the Care Package having a sign off for the ISP Manual and not being clear regarding PREA, the form was updated in January of 2022 to state PREA (Staying Safe) Form as an individual line item. This form includes the following information:

- This is to acknowledge the receipt of the following:
 - o ISP Offender Manual
 - o Ink Pen
 - o Toothbrush
 - o Toothpaste
 - o Clear Deodorant
 - o Soap
 - o Prea (Staying Safe) Form
 - o Personal Property Orientation
- Name/Inmate #/Signature
- Witness/Date

(a) The Iowa State Penitentiary PAQ states inmates receive information at time of intake about the zero-tolerance policy and how to report incidents or suspicions of sexual abuse or sexual harassment. 195 inmates admitted in the past 12 months were given information at intake.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 4, section A. 1, states, "All incarcerated individuals shall receive PREA orientation training within three days of admission to IDOC, including information on IDOC's zero-tolerance policy regarding unwanted sexual behavior and how to report incidents or suspicions of unwanted sexual behavior. All incarcerated individuals shall be given a copy of the handout, Staying Safe: A Guide for Incarcerated Individual Conduct. The training shall be presented by staff, a Peer Educator, or a volunteer from the community."

The facility provided a Staying Safe – A Guide for Incarcerated Individual Conduct training for inmates. The Guide includes the following topics:

- o Some Ways to Keep Yourself Safe

- o Unwanted Sexual Misconduct is:
- o Incarcerated Individual Rights in the Event of Unwanted Sexual Misconduct by Others
- o Other Ways to Report Sexual Misconduct or Assault
- o Possible Outcomes of an Investigation for the Incarcerated Individual
- o Recovering from Sexual Assault

The Guide for Incarcerated Individual Conduct includes the inmate's printed and signed name and date of training. The Guide is also signed and dated by staff.

The facility provided a Transfers with Orientation Listing. This four-page listing highlights 18 transferred inmates who received PREA Orientation training.

The facility provided a PREA Generic Note Refresher Listing. This 29-page document documents the Offender Number, Name, Work Unit Region, Work Unit End Date, Note Date, Note Category of PREA Refresher Training.

(b) The Iowa State Penitentiary PAQ states within the past 12 months, 195 inmates received age appropriate PREA education within 30 days of intake.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 4, section A. 2, states, "Within 30 days of intake, IDOC shall provide comprehensive education to incarcerated individuals either in person or through video regarding their rights to be free from unwanted sexual behavior and to be free from retaliation for reporting such incidents and regarding IDOC policies and procedures for responding to such incidents."

(c) The Iowa State Penitentiary PAQ states of those who were not educated during 30 days of intake, all inmates have been educated subsequently.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 4, section A. 3, states, "Upon transfer to a different institution, incarcerated individuals shall receive training within the first seven days concerning how the policies and procedures of the incarcerated individual's new institution differ from those of the previous institution. Replacement copies of the handout, Staying Safe: A Guide for Incarcerated Individual Conduct, shall be provided as needed."

(d) The Iowa State Penitentiary PAQ states Inmate PREA education is available in accessible formats for all inmates including those who are limited English proficient, deaf, visually impaired, otherwise disabled or have limited reading skills.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 5, section A. 4, states, "IDOC shall provide incarcerated individual education in formats accessible to all incarcerated individuals, including those who are limited English proficient, deaf, visually impaired, or otherwise disabled, as well as to incarcerated individuals who have limited reading skills."

(e) The Iowa State Penitentiary PAQ states the facility maintains documentation of inmate participation in PREA education sessions.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 5, section A. 5, states, "IDOC shall maintain documentation of incarcerated individual participation in these education sessions either by generic note or the signed copy of Form 1 scanned into ICON incarcerated individual attachments."

(f) The Iowa State Penitentiary PAQ states The agency ensures that key information about the agency's PREA policies is continuously and readily available or visible through posters, inmate handbooks, or other written formats.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-01, page 5, section A. 6, states, "In addition to providing such education, IDOC shall ensure that key information is continuously and readily available or visible to incarcerated individuals through posters, bulletin boards, or other written formats."

The facility provided a PREA No Means No Posting. The posting regards instruction on reporting sexual abuse, reporting immediately by telling a staff member, send a kiosk message to the Warden or Deputy Warden, includes address and phone number information to the Director of Victim Services and the external agency of the Office of Citizen's Aide.

The Facility provided a Zero Tolerance Posting. The posting includes information on the Right to Report, How to Report to include contact names, titles and phone numbers, third party information and Victim Support Services with address and phone number information.

The facility provided a You Have the Right to be free from Sexual Violence and Harassment Posting, posted over inmate phones. The posting includes duplicate information found on the PREA No Means no postings.

The facility provided a Third Party Reporting – Report Sexual Assault Posting. The posting includes instruction to dial 319.372.5432 ext. 41847 or requesting to speak with a shift supervisor. On 4.23.2022 at 5:32 pm, the Auditor dialed the above number and was connected to the Iowa State Penitentiary. The message stated, “Sorry, you cannot leave a message for 3193167159.”

During the pre-audit phase the facility revised their postings, corrected the phone number issue and provided a Report Sexual Assault Poster in both English and Spanish. The poster states, “If you know or suspect that your loved one is or may become of a victim of a sexual assault, call 319.372.5432 ext. 41846 or 41815. Or request to speak to a Shift Supervisor. You can also report at preareporting@iowa.gov.”

On 5.12.2022 at 11:55 am, this Auditor dialed 319.372.5432 ext. 41846. The call was answered with the following recorded message, “You have connected to 319376485. I can’t take your call, please record your message or dial zero for assistance.” This Auditor left a message with proper introductions, the reason for the call and a request for a return call regarding information on protocols should an inmate leave a message on this extension.

Through such reviews, the facility meets the standard requirements.

115.34	Specialized training: Investigations
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, dated, August 2021 3. Iowa Department of Corrections Professional Development PREA Investigator Lesson Plan, not dated 4. Certificates of Completion: IDOC – Division of Investigative Services <p>Interviews and on-site file review:</p> <ol style="list-style-type: none"> 1. Investigator <p>Interviews with facility investigators and personnel file review demonstrated that the investigator interviewed had completed annual investigator training and annual training provided to all staff.</p> <p>(a-b) The Iowa State Penitentiary PAQ states the agency policy requires that investigators are trained in conducting sexual abuse investigations in confinement settings.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, page 21, section J. 1, states, “In addition to the general training provided to all employees, the Deputy Director of Institution Operations shall ensure that, to the extent IDOC conducts sexual violence investigations, its sexual violence investigators have received specialized training in conducting such investigations in confinement settings.”</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, page 21, section J. 2, states, “Specialized training shall include techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, the impact of the Peace Officers’ Bill of Rights, sexual abuse evidence collection in confinement settings, characteristics and behavior indicators of sexual violence perpetrators and victims in correctional settings, credibility assessments, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral.”</p> <p>The facility provided an Iowa Department of Corrections Professional Development PREA Investigator Lesson Plan. The 144-page lesson plan includes the following performance objectives:</p> <ul style="list-style-type: none"> • Identify techniques for interviewing juveniles during investigations of sexual abuse in confinement settings. • Describe the dynamics of sexual abuse and sexual harassment in confinement settings. • Identify best practice and policy requirements on first response procedures. • Identify best practice and policy requirements on evidence collection in confinement settings, per the requirements of 115.34. • Understand what a final investigative report should contain. • Identify techniques for writing the final report to ensure accuracy and clarity. • Explain criteria required for administrative action and prosecutorial referral, per requirements of PREA standard 115.34. • Identify techniques for writing the final report to ensure accuracy and clarity. • Explain criteria required for administrative action and prosecutorial referral, per requirements of PREA standard 115.34. • Apply your understanding to increase prosecutions of cases that are substantiated and criminal in nature. <p>(c) The Iowa State Penitentiary PAQ states the agency shall maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations. The PAQ states employees and the agency has seven employees who have completed investigator training.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act (PREA), Policy PREA-03, page 21, section J. 3, states, “The Deputy Director of Institution Operations shall maintain documentation that sexual violence investigators have completed the required specialized training in conducting such investigations.”</p> <p>The facility provided four certificates of completion for investigator training and two employee curriculums of class completion.</p> <p>Through such reviews the facility meets the standard requirements.</p>

115.35	Specialized training: Medical and mental health care
	<p data-bbox="240 147 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="240 210 451 237">Auditor Discussion</p> <p data-bbox="240 273 435 300">Document Review:</p> <ol data-bbox="240 304 1430 398" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 <p data-bbox="240 434 352 461">Interviews:</p> <ol data-bbox="240 465 400 524" style="list-style-type: none"> 1. Nurse 2. Psychologist <p data-bbox="240 528 1469 658">Medical and mental health staff report receiving PREA annual training through eLearning. Staff reported training included reporting responsibilities, reactions to abuse, what happens after an allegation is reported and the importance of preserving evidence. Medical staff interviewed stated incarcerated individuals would stand on a large piece of white paper where they would undress, and all clothing and the white paper would be placed in bag and tagged for evidence.</p> <p data-bbox="240 689 419 716">Site Observation:</p> <p data-bbox="240 721 1437 784">File review of the mental health staff training records demonstrated each had completed specialized medical and mental health training as well as initial and annual eLearning training.</p> <p data-bbox="240 815 1445 945">(a) The Iowa State Penitentiary PAQ states the agency has a policy related to the training of medical and mental health practitioners who work regularly in its facilities. The facility has 14 medical and mental health staff who work at the facility have received training required by agency policy. Medical and mental health staff complete the National Institute of Corrections E-Learning module.</p> <p data-bbox="240 976 1437 1061">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 7, section D. 1. a-d, state, "Each institution shall ensure that all full- and part-time medical and mental health care staff who work regularly in its facilities have been trained in:</p> <ol data-bbox="240 1066 1054 1196" style="list-style-type: none"> a. How to detect and assess signs of sexual violence; b. How to preserve physical evidence of sexual violence; c. How to respond effectively and professionally to victims of sexual violence; and d. How and who to report allegations or suspicions of sexual violence." <p data-bbox="240 1227 1257 1254">(b) The Iowa State Penitentiary PAQ states their medical staff do not conduct forensic medical exams.</p> <p data-bbox="240 1285 1445 1348">(c) The Iowa State Penitentiary PAQ states the agency maintains documentation showing that medical and mental health practitioners have completed the required training.</p> <p data-bbox="240 1379 1485 1464">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 7, section D. 2., states, "The institution shall maintain documentation that medical and mental health practitioners have received the training reference in this standard either from the agency or elsewhere."</p> <p data-bbox="240 1496 1485 1599">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 7, section D. 3., states, "Medical and mental health care practitioners shall also receive the training mandated for all employees, depending on the practitioner's status at the agency."</p> <p data-bbox="240 1630 911 1657">Through such reviews the facility meets the standard requirements.</p>

115.41	Screening for risk of victimization and abusiveness
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, dated, June 2021 3. Iowa Department of Corrections Sexual Violence Propensity Assessment Scoring Guide for Offenders, dated 6.14.2021 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, dated, May 2021 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, dated, May 2022 (revised pre-audit phase) <p>Interviews:</p> <ol style="list-style-type: none"> 1. Incarcerated Individuals 2. Correctional Counselors 3. PREA Compliance Manager <p>Formal and informal interviews with staff demonstrated that risk assessments are completed with each inmate within 72 hours of admission. Incarcerated individuals could speak to being asked risk assessments; however, important to note, a large percentage of the population at this facility are completing life sentences and or sentences from 10 to 30 years, therefore many residents have been housed at the facility before the implementation of PREA. Incarcerated individuals could also speak to completing annual assessments with their counselors and could recall being asked risk assessment questions during their annual review.</p> <p>Site Observation:</p> <p>During review of 12 inmate files, this Auditor noted each incarcerated individual recently arriving in the facility had received screening within 72 hours of admission, primarily on the day of admission. Of the 30 formal interviews conducted, each had stated they believed to placed appropriately in housing units.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility has a policy that requires screening, upon admission or transfer, for risk of sexual abuse victimization or sexual abusiveness toward other Inmates.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 3, section C. 1., states, "All incarcerated individuals shall be assessed immediately upon arrival using the paper SVP-Intake Screening Tool, IS-RO-01 F-2, and shall be assessed during an intake screening for their risk of being sexually abused by other incarcerated individuals or sexually abusive toward other incarcerated individuals. This tool is confidential for staff use only and shall not be self-administered by the incarcerated individual and shall only be administered by the intake staff."</p> <p>(b) The Iowa State Penitentiary PAQ states the number of inmates entering the facility (either through intake or transfer) within the past 12 months (whose length of stay in the facility was for 72 hours or more) who were screened for risk of sexual victimization or risk of sexually abusing other inmates with 72 hours of their entry into the facility was 193.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 4, section 2., states, "All incarcerated individuals shall receive a Sexual Violence Propensity (SVP) assessment. Intake screening shall ordinarily take place within 72 hours of arrival at the facility."</p> <p>(c-e) The Iowa State Penitentiary PAQ states the facility conducts risk assessments by using an objective screening instrument. Policy compliance can be found in provision (a) of this standard.</p> <p>The facility provided an Iowa Department of Corrections Sexual Violence Propensity Assessment Scoring Guide for Offenders. The assessment includes the following questions.</p> <ol style="list-style-type: none"> 1. Two or More Felony Incarcerations 2. Prior violence within prison, work release, residential facility, or county jail 3. Current & past convictions display a pattern of repeated predatory violence (other than sex offenses). 4. Sex Offender - Past and/or present victim(s) age 14 or older. -- Has a conviction for a sex offense against a victim age 14 or older. 5. Intimidating or aggressive attitude. 6. Highly familiar with Prison or RCF environment or presents as prison wise or street wise. 7. Any history of sexual predatory behavior or sexual assault of offenders. 8. Two or more convictions for Serious or Aggravated Misdemeanor Assaults, Domestic Abuse Assaults, or one (1) Felony Class D Willful Injury. 9. Felony drug conviction plus confirmed/suspected STG plus two (2) or more felony incarcerations.

10. Intellectual/physical disability or severely mentally ill.
11. Age or slight physical stature.
12. First time incarcerated OR in DCS RCF placement feels threatened/traumatized by prison or RCF.
13. Displays sexual orientation in a way that projects vulnerability.
14. Conviction for a current or previous sexual offense against a child age thirteen (13) years or under.
15. History of sexual violence victimization.
16. Unassertive, lacks confidence, projects weakness or fear.
17. Nonviolent crime or property crime only (non-habitual).

The facility does not house inmates for civil immigration purposes.

(f) The Iowa State Penitentiary PAQ states the policy requires that the facility reassess each inmate's risk of victimization or abusiveness within a set time period, not to exceed 30 days after the inmate's arrival at the facility, based upon any additional, relevant information received by the facility since the intake screening. The number of inmates entering the facility (either through intake or transfer) within the past 12 months (whose length of stay in the facility was for 30 days or more) who were reassessed for their risk of sexual victimization or of being sexually abusive with 30 days after their arrival at the facility based upon any additional relevant information received since intake was 180.

State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 4, section 2. a., states, "Within a set time not to exceed 30 days from the incarcerated individual's arrival at an institution, the institution shall reassess the incarcerated individual's SVP code based upon any additional, relevant information received by the institution since the most recent SVP assessment."

Revised State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 6, section C. 10., states, "Incarcerated individuals may not be disciplined for refusing to answer questions or not disclosing complete information."

(g) The Iowa State Penitentiary PAQ states the policy requires that an inmate's risk level be reassessed when warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness.

State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 4, section 2. b., states, "An incarcerated individual's risk level shall be reassessed when warranted due to significant events, a referral, request, incident of sexual assault or sexual abuse, or receipt of additional information that bears on the incarcerated individual's SVP code."

(h) The Iowa State Penitentiary PAQ states the policy prohibits disciplining inmates for refusing to answer (or for not disclosing complete information related to) questions regarding: (a) whether or not the inmate has a mental, physical, or developmental disability; (b) whether or not the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender non-conforming; (c) whether or not the inmate has previously experienced sexual victimization; and (d) the inmate's own perception of vulnerability.

Through such reviews, the facility meets the standard requirements.

115.42	Use of screening information
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Document Review:

1. Iowa State Penitentiary PAQ
2. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-CL-09, dated, September 2020
3. Iowa Department of Corrections Sexual Violence Propensity Assessment Scoring Guide for Offenders, dated 6.14.2021
4. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-CL-02, dated, May 2020
5. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, dated, May 2021
6. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, dated, May 2021

Interviews:

1. Targeted incarcerated individuals
2. Random incarcerated individuals
3. Correctional Officers
4. Correctional Counselors
5. Department Supervisors
6. PREA Compliance Manager

Formal and informal interviews with staff demonstrated incarcerated individuals are placed in Housing Unit 1 and would progress through the facility and be placed in Housing Units 2-4 depending on progress and or behaviors presented.

Incarcerated individuals speak to the intake process being respectable and each believed they were housed appropriately with no complaints about being housed specifically by sexual orientation.

(a) The Iowa State Penitentiary PAQ states the facility uses information from the risk screening required by §115.341 to inform housing, bed, work, education, and program assignments with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive.

Iowa Department of Corrections Sexual Violence Propensity Assessment Scoring Guide for Offenders, page 9, section B., states, "The assessment shall be utilized for assigning housing units, cells, rooms, and beds for offenders at all custody levels. It should also be utilized in determining programming and work assignments when constant or frequent sight and sound supervision is not possible."

(b) The Iowa State Penitentiary PAQ states the agency/facility makes individualized determinations about how to ensure the safety of each inmate.

State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 5, section 7, states, "IDOC shall not place lesbian, gay, bisexual, transgender, or intersex incarcerated individuals in dedicated facilities, units, or wings solely on the basis of such identification or status, unless such placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting such incarcerated individuals."

(c) The Iowa State Penitentiary PAQ states the agency/facility makes housing and program assignments for transgender, or intersex inmates in the facility on a case-by-case bases.

State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 5, section C. 3., states, "In deciding whether to assign a transgender or intersex incarcerated individual to a facility for male or female incarcerated individuals, and in making other housing and programming assignments, IDOC shall consider on a case-by-case basis whether a placement would ensure the incarcerated individual's health and safety, and whether the placement would present management or security problems."

(d) State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 5, section C. 4., states, "Placement and programming assignments for each transgender or intersex incarcerated individual shall be reassessed at least twice each year to review any threats to safety experience by the incarcerated individual."

(e) State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 5, section C. 5., states, "A transgender or intersex incarcerated individual's own views with respect to his or her own safety shall be given serious consideration."

(f) State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 5, section C. 6., states, "Transgender and intersex incarcerated individuals shall be given serious consideration."

Through such reviews the facility meets the standard requirements.

115.43	Protective Custody
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, dated, June 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, dated, January 2022 (revised during pre-audit phase) 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-05, dated, March 2019 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Targeted incarcerated individuals 2. Random incarcerated individuals 3. Correctional Officers 4. Restricted Housing Correctional Officer <p>Through interviews this Auditor learned placement of inmates in restricted housing is typically the result of behaviors. At the time of the onsite review, there was one incarcerated individual housed as a result of an allegation of sexual victimization who refused to be interviewed.</p> <p>115.43</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has a policy prohibiting the placement of inmates at high risk for sexual victimization in involuntary segregated housing unless and an assessment of all available alternatives has been made and a determination has been made that there is not available alternative means of separation from likely abusers. The number of inmates at risk of sexual victimization who were held in involuntary segregated housing in the past 12 months for one to 24 hours awaiting completion of assessment is zero.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, page 6, section B., states, "individuals at high risk for sexual victimization shall not be placed in involuntary PC 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. If a facility cannot conduct such an assessment immediately, the facility may hold the incarcerated individual in involuntary PC housing for less than 24 hours while completing the assessment."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-05, page 3, section A. 3., states, "Any use of restrictive housing to protect an incarcerated individual who is alleged to have suffered sexual abuse shall be subject to the requirements of PREA Standard 115.43."</p> <p>(b) Revised State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, page 3, section 4.A.1-6, states, "Housing Assignment</p> <ol style="list-style-type: none"> 1. PC is not a punitive status. <p>Pending a protective custody (PC) determination by the Classification Committee, the incarcerated individual shall be placed in an administrative segregation status.</p> <ol style="list-style-type: none"> 2. The incarcerated individual shall be interviewed by an intelligence officer (IO) and the results of the interview shall be given to the Committee for PC consideration. 3. In the absence of lessor restrictive options, incarcerated individuals placed on PC status may initially be housed in HU1 segregation on a short-term basis. 4. Once the Committee assigns an incarcerated individual to PC status, he shall be managed as a PC incarcerated individual consistent with this policy. 5. An incarcerated individual in PC may concurrently have a disciplinary detention and/or administrative segregation or other classification status, and therefore shall be subject to the highest restrictions of any his assigned statuses (see IO-HO-05, Administrative Segregation and IO-HO-07, Disciplinary Detention). 6. Initial placement of an incarcerated individual in this status will receive all allowable privileges and property in accordance with IS-RO-03- i.e. \$50.00 in weekly commissary." <p>(c) The Iowa State Penitentiary PAQ states the number of inmates at risk of sexual victimization who were assigned to involuntary segregated housing in the past 12 months, for longer than 30 days while awaiting alternative placement was zero.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, page 4, section 8., states, "Incarcerated individuals in PC may request a review by the PCRC at any time. Reviews more frequent</p>

than every 30 days are at the sole discretion of the PCRC.”

(d) The Iowa State Penitentiary PAQ states from a review of case files of inmates at risk of sexual victimization who were held in involuntary segregated housing in the past 12 months, the number of case files that include BOTH (a) a statement of the basis for facilities concern for the inmate's safety, and (b) the reason or reason why alternative means of separation could not be arranged was zero.

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, page 4, section 7., states, “Within seven days of placement, the PCRC shall conduct a PC review to determine the need for continued placement in PC. The status of all incarcerated individuals placed in PC shall be reviewed every seven days for the first two months and every 30 days thereafter to determine whether the reasons for placement still exist.”

State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-06, page 8, section b., states, “The assigned Correctional Counselor gathers relevant information regarding the incarcerated individual, to include but not limited to: when the incarcerated individual requested status, when the incident occurred, date of placement, details surrounding incident, status of other incarcerated individual involved, current behavior, and pertinent mental health information, and provides it to the Committee prior to the review. When practical, Committee members will review information before the scheduled review.”

(e) The Iowa State Penitentiary PAQ states if an involuntary segregated housing assignment is made, the facility affords each such inmate a review every 30 days to determine whether there is a continuing need for separation from the general population. Policy compliance can be found in provision (d) of this standard.

Through such reviews, the facility meets the standard requirements.

115.51	Inmate reporting
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, dated, August 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 5. Iowa State Penitentiary Maximum Security Offender Handbook, 1.15.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Correctional Officer 4. PREA Compliance Manager <p>Staff and incarcerated individuals were comfortable reporting verbally to any staff; however, each interviewed knew the PREA Compliance Manager by name and were comfortable approaching her with questions throughout the onsite audit review. Incarcerated individuals were also aware of calling the hotline numbers posted throughout the facility above their payphones.</p> <p>Site Observations:</p> <p>During the tour and informal inmate interviews, incarcerated individuals were able to demonstrate through the pay phones how they could make hotline calls, calls to the Ombudsman, contact staff on kiosks, file grievances and or verbally report to staff. (Once calls to advocates and or Ombudsman were made, the Auditor was able to listen to the voicemail, which stated please leave your name and number and your call will be returned.)</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has established procedures allowing for multiple internal ways for inmates to report privately to agency officials about sexual harassment, abuse, retaliation and or any type of neglect.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, page 1, section, Policy, states, "It is the policy of the IDOC to provide a safe, humane, and secure environment, free from the threat of unwanted sexual behavior for all incarcerated individuals in all IDOC facilities. The IDOC prohibits sexual abuse and sexual harassment of incarcerated individuals through incarcerated individual orientation, screening, assessment, classification, monitoring, counseling, and investigation of alleged sexual violence. The IDOC has a "zero tolerance" position for sexual abuse and sexual harassment of all incarcerated individuals under correctional supervision whether in institutional, residential, parole, probation and work release status. This policy shall be available to all incarcerated individuals and unless updates are needed this policy shall be reviewed every three years."</p> <p>Page 6, section c., states, "Send a letter to: (1.) Victim and Restorative Justice Director: Iowa Department of Corrections 510 East 12th Street Des Moines, IA 50319"</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 1, section Purpose, states, "To describe the procedures that shall be used at all Iowa Department of Corrections (IDOC) institutions to ensure sexual misconduct, sexual harassment, or retaliation between staff, contractors, or volunteers and incarcerated individuals does not occur."</p> <p>The facility provided an Iowa State Penitentiary Maximum Security Offender Handbook. Pages 15-16, section PREA, states, "If you have been a victim of a sexual assault you should report it to staff or send a memo to the Warden or Deputy Warden immediately. You may also report it by sending a letter to:</p> <p>The Director of Victim Services 510 East 12th Street Des Moines, IA 50319 Or calling 515.281.3592"</p> <p>(b) The Iowa State Penitentiary PAQ states facility provides at least one way for inmates to report abuse or harassment to a public or private entity or office that is not part of the agency. The agency does not have a policy requiring inmates detained solely for civil immigration purposes be provided information on how to contact relevant consular officials and relevant officials of the Department of Homeland Security. The facility does not detain inmates solely for civil immigration purposes.</p>

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, page 6, section, c. 2., states,
"The Iowa Ombudsman Office
Office of Citizens' Aide/Ombudsman
Ola Babcock Miller Building
1112 East Grand Des Moines, IA 50319"

(c) The Iowa State Penitentiary PAQ states the agency has a policy mandating that staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously and from third parties. The agency has a policy mandating that staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously and from third parties. The PAQ states staff are to document allegations received by the end of the shift.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 12, section b-c., state,

b. "Report by an incarcerated individual, anonymously, or from third parties - Any staff member who receives a report of sexual violence or retaliation, whether verbally or in writing from an incarcerated individual or anonymously or from third parties, shall immediately notify the Shift Supervisor and complete an incident report.

c. "Report by a staff member - Any staff member who receives a report of sexual violence, retaliation, or of staff neglect or violation of responsibilities that may have contributed to such incidents whether verbally, in writing, anonymously, or from third parties, or who has other knowledge, suspicion, or information of such incidents shall immediately report it to their supervisor and complete an incident report."

(d) The Iowa State Penitentiary PAQ states the agency has established procedures for staff to privately report sexual abuse and sexual harassment of inmates. Staff are informed of these procedures in the following ways.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 7, section A. 5., states, "Each institution shall provide a method for staff to privately report sexual violence against incarcerated individuals. To include calling the Ombudsmen at 1.888.426.6283 or sending them correspondence at Office of Ombudsman, Ola Babcock Miller Building, 1112 East Grand, Des Moines, Iowa 50319."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 6, section 4., states, "Each institution shall provide a method for staff to privately report sexual violence against incarcerated individuals."

Through such reviews, the facility meets the standard requirements.

115.52	Exhaustion of administrative remedies
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-OR-06, dated January 2022 3. Incarcerated individual letter/grievance received by Auditor, dated 2.14.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. PREA Compliance Manager <p>Incarcerated individuals interviewed were aware of the grievance procedures and understood they could complete a grievance, if necessary. However, many incarcerated individuals interviewed stated they would use the kiosk and or ask for ranking staff on shift.</p> <p>One letter was received by an incarcerated individual who had filed a grievance regarding staff documentation of 'ringing the bell' upon entry of the Pod. The grievance stated staff were writing down false information when opposite gender staff entered the pod. The Auditor made the incarcerated individual aware that staff do not write down announcements, but place those entries in the facility database, therefore he would not have been able to view such documentation. In addition, this incarcerated individual was locked behind two doors in the restricted housing unit and with the noise other incarcerated individuals and the television be played during waking hours the possibility of him not hearing the bell could have played a role in him not hearing the entrance bell being rang. Incarcerated individuals were given audit notices under their door and this individual attested to receiving the notice under his door.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency does not have an administrative procedure for dealing with Inmate grievances regarding sexual abuse.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-OR-06, page 4-5, states, "Allegations of incarcerated individual on incarcerated individual sexual abuse or sexual assault or staff, contractor or volunteer sexual misconduct or sexual harassment, or retaliation are not processed as a grievance. However, if an incarcerated individual submits a complaint to the grievance officer, it will be sent to the Inspector General's Office in Central Office for investigation. Refer to IDOC Policy PREA-01, Incarcerated Individual PREA Information for reporting processes."</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.53	Inmate access to outside confidential support services
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 4. Confidential Support Services Posting, not dated 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, dated, August 2021 6. Memorandum of Understanding – Prison Rape Elimination Act Responsibilities between Iowa State Penitentiary (ISP) and the Rape Victim Advocacy Program (RVAP), dated 2.9.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Correctional Officers 4. PREA Compliance Manager <p>Staff and incarcerated individuals interviewed informally and formally were aware of outside reporting agencies and spoke to the information being posted throughout the facility on PREA signs.</p> <p>Site Observation:</p> <p>During informal interviews, incarcerated individuals were asked to use their pin numbers to dial the Ombudsman. Calls were made per the procedures posted by telephones and or on PREA flyers posted in pods. Each call place (3) was able to be completed per the instructions and numbers posted. The Auditor was handed the phone after each call and was able to hear the voicemail messages to leave your name and the time you called and the call would be answered within two business days.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility provides inmates with access to outside victim advocates for emotional support services related to sexual abuse by:</p> <ul style="list-style-type: none"> • Giving inmates (by providing, posting, or otherwise making accessible) mailing addresses and telephone numbers (including toll-free hotline numbers where available) of local, State, or national victim advocacy or rape crisis organizations. • Does not give inmates mailing addresses and telephone number (including toll-free hotline numbers where available) for immigrant services agencies for persons detained solely for civil immigration purposes; and • Enables reasonable communication between inmates and these organizations, in as confidential manner as possible. <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, Policy PREA-02, page 11, section 4. a., states, “The Each institution shall provide incarcerated individuals with access to outside victim advocates for emotional support services related to sexual violence by giving incarcerated individuals mailing addresses and telephone numbers. The institution shall enable reasonable communication between incarcerated individuals and these organizations and agencies, in as confidential a manner as possible.”</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 7, section 13.a., states, “The institution shall provide incarcerated individuals with access to outside victim advocates for emotional support services related to sexual violence by giving incarcerated individuals mailing addresses and telephone numbers. The institution shall enable reasonable communication between incarcerated individuals and these organizations and agencies, in as confidential a manner as possible.”</p> <p>The facility provided a Confidential Support Services Posting. This posting states, “If you have been a victim of sexual violence, you are entitled to confidential support services. You can obtain these services in several ways.</p> <ol style="list-style-type: none"> 1. By contacting the assigned psychologist at your facility 2. Writing your regional confidential support services provider Rape Victim Advocacy Program 332 S Linn Street Iowa City, IA 52240 3. Calling the statewide support number 1-800-770-1650 319-335-6001 Communications to the support number are not monitored. You have the ability to write confidential letters to RVAP.” <p>(b) The Iowa State Penitentiary PAQ states the facility informs Inmates, prior to giving them access to outside support services, the extent to which such communications will be monitored. The facility informs inmates, prior to giving them access to outside support services, of the mandatory reporting rules governing privacy, confidentiality, and/or privilege that apply for</p>

disclosures of sexual abuse made to outside victim advocates, including any limits to confidentiality under relevant Federal, State, or local law.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, page 7, section 4., states, "Reports of unwanted sexual behavior shall be forwarded to authorities in accordance with Iowa mandatory reporting laws."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 12, section b., states, "The institution shall inform incarcerated individuals, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of sexual violence will be forwarded to authorities in accordance with mandatory reporting laws."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 7, section 13.b., states, "The institution shall inform incarcerated individuals, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of sexual violence will be forwarded to authorities in accordance with mandatory reporting laws."

(c) The Iowa State Penitentiary PAQ states the facility maintains memoranda of understanding with community service providers that are able to provide inmates with emotional support services related to sexual abuse.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 12, section c., states, "The institution PREA Compliance Manager/PREA Coordinator shall enter into or attempt to enter into a memorandum of understanding or other agreement with community rape crisis service providers. Each institution shall maintain copies of agreements or documentation showing attempts to enter into such agreements."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 7, section 13.c., states, "The institution PREA Compliance Manager/PREA Coordinator shall enter into or attempt to enter into a memorandum of understanding or other agreement with community rape crisis service providers. Each institution shall maintain copies of agreements or documentation showing attempts to enter into such agreements."

The facility provided a Memorandum of Understanding – Prison Rape Elimination Act Responsibilities between Iowa State Penitentiary (ISP) and the Rape Victim Advocacy Program (RVAP). Page 1, section Purpose, states, "To establish written procedures that comply with the Prison Rape Elimination Act (PREA) standards concerning the exchange of information and the coordination of efforts and assets between the Iowa State Penitentiary (ISP) and Rape Victim Advocacy Program (RVAP) in sexual assault cases involving offender-victims housed in the ISP." The Memorandum of Understanding became effective 4.1.2022 and shall expire on 3.31.2025.

On 4.23.2022 at 2:50 pm, this Auditor contacted the RVAP Advocacy, Support, Prevention Center at 108 River Street, Iowa City, IA 52246 at 800.228.1625. The operator was aware of the memorandum of understanding with the Iowa State Penitentiary and stated they would take calls from inmates. The operator also stated depending on what time of day the inmate called would depend on how much help they could immediately receive. If an inmate called after hours they would need to find an advocate, or get them to services they are requesting. If the inmate called during normal work hours they would be able to help the inmates directly as advocates would be working during those hours.

Through such reviews, the facility meets the standard requirements.

115.54	<p>Third-party reporting</p> <p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. Report Sexual Assault Posting, not dated 3. Iowa Department of Corrections, Visitor Application, dated April 2019 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Correctional Officers 4. Specialized Staff 5. PREA Compliance Manager <p>Incarcerated individuals and staff interviewed demonstrated their reporting knowledge of third-party reporting stating that they could report for one another, to a trusted adult in the community, or through legal counsel.</p> <p>Site Observation:</p> <p>During the tour of the vestibule adjacent to the visitation area, standardized outside reporting flyers with PREA and third party information was available. Hotline numbers and third party information was posted throughout the facility on No Means No or incarcerated individual homemade PREA flyers.</p> <p>(a) The Iowa State Penitentiary PAQ states the facility provides a method to receive third-party reports of inmate sexual abuse or sexual harassment. The agency publicly distributes information on how to report Inmate sexual abuse or sexual harassment on behalf of Inmates. The PREA Coordinator, stated, on the PAQ, "Posters are in the Visiting Room informing them of the phone #, there is also information in the ISP as well as the IDOC websites."</p> <p>The facility provided a Report of Sexual Assault Posting. This posting provides the following information: "Report Sexual Assault If you know or suspect that your loved one is or may become the victim of a sexual assault, call (319) 372-5432, ext. 41846 or request to speak with a shift supervisor."</p> <p>The facility provided an Iowa Department of Corrections, Visitor Application. Page 2, bottom, states, "BREAK THE SILENCE – Iowa DOC has a zero tolerance for sexual violence of any kind. If you are told about or are concerned about sexual violence committed against any person in an IFOC prison, please contact the Warden immediately."</p> <p>Through such reviews, the facility meets the standard requirements.</p>
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115.61	Staff and agency reporting duties
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Document Review:

1. Iowa State Penitentiary PAQ
2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021
3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021

Interviews:

1. Random incarcerated individuals
2. Targeted incarcerated individuals
3. Correctional Officers
4. Specialized Staff
5. PREA Compliance Manager

Interviews with the facility staff and incarcerated individuals demonstrated each actively practices and understood the importance of immediately reporting all allegations of sexual abuse and sexual harassment.

Site Observations:

Staff reporting documentation of incarcerated information, incident reports and investigations being completed in the facility database demonstrated reports of allegation are addressed timely. The PREA Compliance Manager was able to access reported allegation of abuse and or harassment quickly by accessing the agency database.

(a) The Iowa State Penitentiary PAQ states the agency requires all staff to report immediately and according to agency policy any knowledge, suspicion, or information they receive regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency. The agency requires all staff to report immediately and according to agency policy any retaliation against Inmates or staff who reported such an incident. The agency requires all staff to report immediately and according to agency policy any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 12, section c., state, "Report by a staff member - Any staff member who receives a report of sexual violence, retaliation, or of staff neglect or violation of responsibilities that may have contributed to such incidents whether verbally, in writing, anonymously, or from third parties, or who has other knowledge, suspicion, or information of such incidents shall immediately report it to their supervisor and complete an incident report."

(b) The Iowa State Penitentiary PAQ states, "Apart from reporting to designated supervisors or official and designated state or local service agencies, agency policy prohibits staff from revealing any information related to a sexual abuse report to anyone other than to the extent necessary to make treatment, investigation, and other security and management decisions.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 8, section 9, states, "All sexual violence investigations are confidential under Iowa statute and administrative rules. Other than reporting to supervisors or the institution's sexual violence investigator or PREA Compliance Manager/PREA Coordinator, staff shall not reveal any information related to a report to anyone other than to the extent necessary, as specified in IDOC policy, to make treatment, investigation, and other security or management decisions."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 6, section 8, states, "All sexual violence investigations are confidential under Iowa statute and administrative rules. Other than reporting to supervisors or the institution's sexual violence investigator or PREA Compliance Manager/PREA Coordinator, staff shall not reveal any information related to a report to anyone other than to the extent necessary, as specified in IDOC Policy, to make treatment, investigation, and other security or management decisions."

(c) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 8, section 9, states, "All sexual violence investigations are confidential under Iowa statute and administrative rules. Other than reporting to supervisors or the institution's sexual violence investigator or PREA Compliance Manager/PREA Coordinator, staff shall not reveal any information related to a report to anyone other than to the extent necessary, as specified in IDOC policy, to make treatment, investigation, and other security or management decisions."

(d) This provision is not applicable as the facility does not house juvenile offenders.

Through such reviews, the facility meets the standard requirements.

115.62	<p>Agency protection duties</p> <p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Targeted incarcerated individuals 2. PREA Compliance Manager 3. Investigator <p>Interviews with the incarcerated individuals, PREA Compliance Manager and the Investigator demonstrated the facility staff act promptly and responds properly at the discovery of any incident involving sexual harassment and sexual abuse. Incarcerated individuals interviewed who had reported allegations of abuse, concurred allegations were responded to promptly and thoroughly and were satisfied with the facilities response protocols.</p> <p>(a) The Iowa State Penitentiary PAQ states when the agency or facility learns that an inmate is subject to a substantial risk of imminent sexual abuse, it takes immediate action to protect the Inmate. In the past 12 months, the facility reports zero Inmates were subject to substantial risk of imminent sexual abuse. Upon discovery of Inmate being subject to substantial risk, the facility immediately separates the victim from the perpetrator, made notification and completed incident reporting requirements.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 7, section 2, states, "When an institution learns that an incarcerated individual is subject to a substantial risk of imminent sexual violence, it shall take immediate action to protect the incarcerated individual."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 11, section F. 1., states, "When an institution learns that an incarcerated individual is subject to a substantial risk of imminent sexual violence, it shall take immediate action to protect the incarcerated individual."</p> <p>Through such reviews the facility meets the standard requirements.</p>
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115.63	Reporting to other confinement facilities
	Auditor Overall Determination: Meets Standard
	Auditor Discussion

Document Review:

1. Iowa State Penitentiary PAQ
2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021
3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021

Interviews:

1. Deputy Warden

The interview with the Deputy Warden demonstrated that he was aware that upon receiving an allegation that an incarcerated individual was sexually abused while confined at another facility, he had the responsibility to notify the head of the facility where the allegation occurred. The Deputy Warden stated he would begin an internal investigation and keep in contact with the facility in question until the investigation was completed.

Site Observation:

The facility had no reported allegations of sexual abuse while confined at another facility.

(a) The Iowa State Penitentiary PAQ states the agency has a policy requiring that, upon receiving an allegation that an inmate was sexually abused while confined at another facility, the head of the facility must notify the head of the facility or appropriate office of the agency or facility where sexual abuse is alleged to have occurred. The agency's policy also requires that the head of the facility notify the appropriate investigative agency. In the past 12 months, the facility has received zero allegations that an inmate was abused while in confinement at another facility.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section 1. a., states, "Upon receiving an allegation that an incarcerated individual was sexually abused, or subjected to staff, contractor, or volunteer sexual misconduct while confined at another facility, the Warden shall immediately notify the Deputy Director of Institution Operations/Designee. The Deputy Director of Institution Operations/Designee shall notify the facility or appropriate office of the agency where the alleged abuse occurred. The reporting facility shall also initiate the Wardens notification via the database to the receiving facility that an incident occurred, accordingly."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 7, section B. 1., states, "Upon receiving an allegation that an incarcerated individual was sexually abused by another incarcerated individual while confined at another facility, the Warden shall immediately notify the Deputy Director of Institution Operations/Designee. The Deputy Director of Institution Operations/Designee shall notify the facility or appropriate office of the agency where the alleged abuse occurred."

(b) The Iowa State Penitentiary PAQ states agency policy requires that the facility head provides such notification as soon as possible, but no later than 72 hours after receiving the allegation.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 7, section B. 2., states, "Such notification shall be provided as soon as possible, but no later than 72 hours after receiving the allegation."

(c) The Iowa State Penitentiary PAQ states the facility documents that it has provided such notification within 72 hours of receiving the allegation.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section c., states, "The Deputy Director of Institution Operations/Designee shall document that such notification has been provided."

(d) The Iowa State Penitentiary PAQ states facility policy requires that allegations received from other agencies or facilities investigated in accordance with the PREA standards. In the last 12 months, there have been zero allegations of sexual abuse the facility received from other facilities.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section d., states, "The Deputy Director of Institution Operations/Designee shall ensure that the allegation is investigated in accordance with the requirements of the PREA standards."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 8, section 4., states, "The Deputy Director of Institution Operations/Designee shall ensure that the allegation is investigated in accordance with the requirements of the PREA standards."

Through such reviews, the facility meets the standard requirements.

115.64	Staff first responder duties
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, dated, August 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Correctional Officers 2. Specialized staff 3. PREA Compliance Manager <p>Informal and formal interviews with all staff interviewed demonstrated each were aware of their first responder responsibilities. Staff stated reporting information is posted throughout the facility. Staff stated they would move the perpetrator and victim to secure areas and ensure neither drank, ate, washed or changed clothing. Each staff interviewed stated they would make proper notifications to supervisory staff and complete a report documenting details of any incident or reporting allegation.</p> <p>Site Observation:</p> <p>Documentation review of the allegations of sexual abuse reported, each demonstrated staff responded thoroughly and promptly. The facility staff are aware of the facilities coordinated response to ensure all protocols are followed per agency policy.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has a first responder policy for allegations of sexual abuse. The policy requires that, upon learning of an allegation that an inmate was sexually abused, the first security staff member to respond to the report shall be required to separate, preserve, protect, collect 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. 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.</p> <p>In the past 12 months, one allegation occurred where an inmate was sexually harassed. In the past 12 months, the number of times the first security staff member to respond to the report separated the alleged victim and abuser was zero. In the past 12 months, there were zero allegations where staff were notified within a time period that still allowed or the collection of evidence.</p> <p>Of these allegations in the past 12 months where staff were notified within a time period that still allowed for the collection of physical evidence, the number of times the first security staff member to respond to the report requested 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 was zero.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 11, section c., states, "If it is alleged that a sexual abuse occurred within a time period that still allows for the collection of physical evidence, request that the alleged victim and perpetrator not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 11, section c., states, "If it is alleged that the sexual 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."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-01, page 7-8, section E. 2., states, "If applicable to the circumstances, the alleged incarcerated individual victim shall be advised by the employee receiving the report or Shift Supervisor that showering or body cleaning, or if alleged abuse was oral, drinking or brushing could damage or destroy evidence."</p>

(b) The Iowa State Penitentiary PAQ states the facility's policy requires that if the first staff responder is not a security staff member, that responder shall be required to request that the alleged victim not take any actions that could destroy physical evidence and notify security staff. Of the allegations that an inmate was sexually abused made in the past 12 months, the number of times a non-security staff member was the first responder was zero. Policy compliance can be found in provision (a) of this standard.

Through such reviews, the facility meets the standard requirements.

115.65	Coordinated response
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. Sexual Assault Checklist – Staff-On-Incarcerated Individual, not dated 3. Sexual Assault Checklist Incarcerated Individual-On-Incarcerated Individual, not dated 4. Allegation of Sexual Misconduct Staff-On-Incarcerated Individual, dated February 2021 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 6. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Correctional Officers 2. Specialized staff 3. PREA Compliance Manager <p>Interviews with the PREA Compliance Manager and facility staff demonstrated the response to allegations of sexual assault is written to coordinate actions taken in response to sexual abuse and sexual harassment incidents.</p> <p>Site Observation:</p> <p>Review of the investigations demonstrates clear direction to staff to ensure first responder duties are fulfilled.</p> <p>115.65</p> <p>(a) The Iowa State Penitentiary PAQ states the facility developed a written institutional plan to coordinate actions taken in response to an incident of sexual abuse among staff first responders, medical and mental health practitioners, investigators, and facility leadership.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 12, section C. 1., states, "The IDOC shall develop a consistent statewide process for reporting and investigating incidents of sexual misconduct, sexual harassment, retaliation by staff, contractors, and volunteers, or staff neglect or violation of responsibilities that may have contributed to such incidents. This process shall include multiple points of reporting, trained investigators, and a consistent investigative process."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 8, section C. 1., states, "The IDOC shall develop a consistent statewide process for reporting and investigating incidents of sexual violence, retaliation, or staff neglect or violation of duty that may have contributed to such incidents. This process shall include multiple points of reporting for incarcerated individuals and staff, specially trained investigators, and a consistent investigative process."</p> <p>The facility provided three individual coordinated response documents. Individual information for each is as follows.</p> <ol style="list-style-type: none"> 1. Sexual Assault Checklist – Staff-On-Incarcerated Individual, pages 1-2, state the following instruction steps: "All allegations or events or verbal or physical staff, contractor, or volunteer sexual misconduct with offenders are to be reported immediately both internally and to IGO in Central Office. This checklist pertains to incidents or allegations of recent sexual assault or sexual misconduct on an offender by staff, contractor, or volunteer." <ol style="list-style-type: none"> a. Care of Victim <ul style="list-style-type: none"> • First Responders • To Health Services • To Community Hospital • Sexual Assault Kit • Housing • Confidential counseling b. Address Alleged Perpetrator c. Notifications d. Evidence 2. Sexual Assault Checklist Incarcerated Individual-On-Incarcerated Individual, pages 1-2, state the following instruction steps: All allegations or events of incarcerated individual-on-individual sexual abuse, assault, or precursor behavior are to be reported immediately both internally and to IGO in Central Office. This checklist pertains to incidents or allegations of recent sexual assault on an incarcerated individual by incarcerated individual(s)." <ol style="list-style-type: none"> a. Care of Victim

- First Responder
- To Health Services
- To Community Hospital
- Sexual Assault Kit
- Housing
- b. Handing of Perpetrator
 - To Health Services
 - To Community Hospital
- c. Notifications
- d. Evidence

3. Allegation of Sexual Misconduct Staff-On-Incarcerated Individual, pages 1-2, state the following instruction steps: All allegations evidence, or events of staff contractor, or volunteer sexual misconduct with incarcerated individuals including sexual verbal statements, are to be reported immediately both internally and to IGO in Central Office. This checklist pertains to the receipt of any kind of information that indicates a staff member, contractor, or volunteer may be in an inappropriate relationship or had sexual contact with an incarcerated individual or may have committed sexual harassment.”

- a. Separation of Staff, Contractor or Volunteer and Incarcerated Individual
- b. Notifications
- c. Evidence

Through such reviews, the facility meets the standard requirements.

115.66	Preservation of ability to protect inmates from contact with abusers
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. 2021-2023 Collective Bargaining Agreement Between the State of Iowa and The American Federations of State, County, and Municipal Employees, Council 61 AFL-CIO <p>115.66</p> <p>(a) The Iowa State Penitentiary PAQ states the agency, facility, or any other governmental entity responsible for collective bargaining on the agency's behalf has entered into or renewed any collective bargaining agreement or other agreement since August 20, 2012, or since the last PREA audit, whichever is later.</p> <p>The facility provided the 2021-2023 Collective Bargaining Agreement Between the State of Iowa and The American Federations of State, County, and Municipal Employees, Council 61 AFL-CIO.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.67	Agency protection against retaliation
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 3. Post Audit: Memorandum, from Deputy Warden, RE: PREA Audit Follow Up, received on 6.16.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Designated Correctional Counselor <p>Interviews designated Correctional Counselor demonstrated that he would complete retaliation monitoring by checking in with incarcerated individuals initially and every two weeks thereafter until he believed there to be no issues and or further possibilities of retaliation.</p> <p>Observation:</p> <p>Investigation file review demonstrated retaliation monitoring is not initiated after a report of sexual abuse.</p> <p>Post Audit: The Deputy Warden provided a memorandum to Retaliation Tracking Staff and the PREA Auditor, received by the Auditor on 6.16.2022, stating, "PREA standard 115.67 requires that the Facility monitor incarcerated individuals for retaliation following a report of sexual abuse.</p> <p>Our stated process is that when an incident report is submitted within the Sexual Violence Database, those charged with retaliation monitoring will receive electronic notification and shall start documenting any changes in housing, discipline or negative generic notes. This documentation shall be placed in the retaliation section of the investigative database weekly.</p> <p>The retaliation monitoring shall continue for 90 days or until such time, as the investigation is unfounded. There may be instances where the tracking may extend beyond the 90-day window. Please consult with the PREA Compliance Manager for further guidance."</p> <p>115.67</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has a policy to protect all Inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other Inmates or staff. The agency designates two Counselors to track retaliation for offenders, (names withheld for the purposes of this report) and the Captain has been charged with tracking offenders after a staff related reported is received.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 10, section 4., states, "Staff shall not retaliate upon knowledge of sexual violence or precursor behavior allegations."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 23, section L. 1., states, "The institution shall protect all incarcerated individuals and staff who report sexual violence or cooperate with investigations from retaliation by other incarcerated individuals or staff, and shall designate which staff members or institution departments are charged with monitoring retaliation."</p> <p>(b) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 23, section L. 2., states, "The institution shall employ multiple protection measures, such as housing changes or transfers for incarcerated individual victims or perpetrators, removal of alleged staff aggressors or incarcerated individual perpetrators from contact with victims, and emotional support services for incarcerated individuals or staff who fear retaliation for reporting or cooperating with investigations."</p> <p>(c) The Iowa State Penitentiary PAQ states the facility monitors the conduct or treatment of Inmates or staff who reported sexual abuse and of Inmates who were reported to have suffered sexual abuse to ascertain if there are any changes that may suggest possible retaliation by Inmates or staff. The facility will monitor conduct or treatment until the Inmate is discharged. The facility acts promptly to remedy any such retaliation. In the past 12 months, the facility has had zero incidents of retaliation.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 23-24, section 3., states, "For at least 90 days following a report of sexual violence, the institution shall monitor the conduct and treatment of incarcerated individuals or staff who reported the sexual violence and of incarcerated individuals who were reported to have suffered sexual violence to see if there are changes that may suggest possible retaliation by incarcerated individuals or staff, and shall act promptly to remedy any such retaliation. The institution shall</p>

monitor any incarcerated individual disciplinary reports, housing, or program changes, or negative performance reviews or reassignments of staff. The institution shall continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need.”

(d) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 24, section 4., states, “In the case of incarcerated individuals, such monitoring shall also include periodic status checks.”

(e) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 24, section 5., states, “If any other individual who cooperates with an investigation expresses a fear of retaliation, the institution shall take appropriate measures to protect that individual against retaliation.”

(f) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 24, section 6., states, “The obligation to monitor shall terminate if IGO determines that the allegation is unfounded.”

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 24, section 7., states, “The institution shall develop procedures to implement the protection against retaliation requirements and shall document all measures taken and monitoring checks. Tracking for retaliation shall be entered in the PREA Investigation Database.”

Through such reviews, the facility meets the standard requirements.

115.68	Post-allegation protective custody
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-05, dated, March 2019 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Random incarcerated individuals 2. Targeted incarcerated individuals 3. Protective Custody Correctional Officer 4. PREA Compliance Manager <p>Incarcerated individual interviews conducted demonstrated that residents are placed in protective custody due to behaviors and or lack of health or cognitive ability to successfully program in general population. One blind incarcerated individual interviewed stated he was treated well in protective custody, was able to be involved in programming and had an aid to help him throughout each day. The blind incarcerated individual stated he had tried to program in general population and was unsuccessful and appreciated being housed in protective housing.</p> <p>Interviews with facility staff demonstrated that the protective custody for incarcerated individuals only occurs when absolutely necessary for health and those who cognitively would not be successful in general programming and never solely as a means for those who identify as LBGTQI.</p> <p>Site Observation:</p> <p>The facility employs incarcerated individuals from general population to serve as aids and or monitors in the protective custody unit. Aids are available and present 24 hours a day.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has a policy prohibiting the placement of inmates who allege to have suffered sexual abuse in involuntary segregated housing unless an assessment of all available alternatives has been made and a determination has been made that there is no available alternative means of separation from likely abusers. The number of inmates who allege to have suffered sexual abuse who were held in involuntary segregated housing in the past 12 months for one to 24 hours awaiting completion of assessment was zero. The number of inmates who allege to have suffered sexual abuse who were assigned to involuntary segregated housing in the past 12 months for longer than 30 days while awaiting alternative placement was zero. From a review of case files of inmates who allege to have suffered sexual abuse who were held in involuntary segregated housing in the past 12 months, the number of case files that include BOTH (a) a statement of the basis for facility's concern for the inmate's safety, and (b) the reason or reasons why alternative means of separation could not be arranged was one. If an involuntary segregated housing assignment is made, the facility affords each such inmate a review every 30 days to determine whether there is a continuing need for separation from the general population.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-HO-05, page 3, section A. 3., states, "Any use of restrictive housing to protect an incarcerated individual who is alleged to have suffered sexual abuse shall be subject to the requirements of PREA Standard 115.43."</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.71	Criminal and administrative agency investigations
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 4. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Major Discipline Report Procedures, Policy IO-RD-03, dated, May 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Targeted incarcerated individuals 2. Investigator 3. PREA Compliance Manager <p>Interviews with the facility investigator demonstrated he had completed specialized investigator training. The investigator clearly articulated processes required during an investigation, to include the notification requirements to victims. Notifications to victims are documented in the agency database.</p> <p>Site Observation:</p> <p>Review of the five administrative investigations demonstrated each were completed thoroughly and within 90 days of the initial report. Each investigation included interviews with victims, abusers, witnesses in the area where the allegation took place. Of the five investigations completed, two staff on incarcerated individual sexual harassment were substantiated, two staff on incarcerated individual sexual harassment were unfounded and one incarcerated individual sexual harassment was unfounded.</p> <p>(a) The Iowa State Penitentiary PAQ states the agency/facility has a policy related to criminal and administrative agency investigations.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 12, section 2. b., states, "Assign specially trained sexual violence investigators and manage all sexual violence investigations, allegations, and incidents of sexual misconduct, sexual harassment, and retaliation, or that indicate a personal relationship by staff, contractors, or volunteers with incarcerated individuals. Investigations shall be conducted promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 8, section 2. b-c., state,</p> <ol style="list-style-type: none"> a. "Assign specially trained sexual violence investigators and manage all sexual violence investigations, allegations, and incidents of sexual violence or retaliation. Investigations shall be conducted promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports. b. Determine when the evidence of incarcerated individual sexual violence or retaliation is sufficient for criminal prosecution and complete county attorney referrals." <p>(b) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 8, section J. 1., states, "In addition to the general training provided to all employees, the Deputy Director of Institution Operations shall ensure that, to the extent IDOC conducts sexual violence investigations, its sexual violence investigators have received specialized training in conducting such investigations in confinement settings."</p> <p>(c) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 8-9, section 3. a-d., state,</p> <ol style="list-style-type: none"> a. "Gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data." b. Interview alleged victims, suspected perpetrators, and witnesses; c. Review prior complaints and reports of sexual violence involving the suspected perpetrator. d. Include an effort to determine whether staff actions or failures to act contributed to the abuse." <p>(d) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section J. 6., states, "When the quality of evidence appears to support criminal prosecution, the investigators shall conduct compelled interviews only after the Deputy Director of Institution Operations has determined, including but not limited to consultation with prosecutors, if compelled interviews may be an obstacle for subsequent criminal prosecution."</p>

(e) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section J. 7., 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 incarcerated individual or staff. IDOC shall not require an incarcerated individual who alleges sexual violence submit to a polygraph examination or other truth-telling device as a condition for proceeding with the investigation of such an allegation."

(f) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section J. 8., states, "The investigators shall prepare a final written report that includes a description of the physical, testimonial, and documentary evidence, the reasoning behind credibility assessments, and investigative facts and findings. The report shall be provided to the Deputy Director of Institution Operations, and Warden. The report shall be a confidential record."

(g) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 9, section J. 9., states, "IDOC shall make best efforts to ensure that criminal investigations by outside agencies are to be documented in a written report that contains a thorough description of physical, testimonial, and documentary evidence and copies of all documentary evidence are attached where feasible."

(h) The Iowa State Penitentiary PAQ states there has been zero allegations of conduct that appears to be criminal that was referred for prosecution, since the last audit date.

(i) The Iowa State Penitentiary PAQ states the agency retains all written reports pertaining to administrative or criminal investigation of alleged sexual abuse or sexual harassment for as long as the alleged abuser is incarcerated or employed by the agency, plus five years.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 10, section 11., states, "The institution and IGO shall retain all written sexual violence investigation reports for as long as the alleged perpetrator is incarcerated or employed by the agency, plus five years."

(j) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 10, section 12., states, "The departure of the alleged perpetrator or victim from the employment or control of IDOC shall not provide a basis for terminating a sexual violence investigation."

(k) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 10, section 13., states, "IDOC shall make best efforts to ensure that any State entity or Department of Justice component that conducts such investigations shall do so pursuant to the above requirements."

(l) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 10, section 13., states, "When outside agencies investigate sexual violence, IDOC shall cooperate with outside investigators and shall endeavor to remain informed and keep the Deputy Director of Institution Operations informed about the progress of the investigation."

Through such reviews, the facility meets the standard requirements.

115.72	Evidentiary standard for administrative investigations
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Investigator <p>The interview with the investigator demonstrated the facility shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated.”</p> <p>(a) The Iowa State Penitentiary PAQ states the agency imposes a standard of a preponderance of the evidence or a lower standard of proof for determining whether allegations of sexual abuse or sexual harassment are substantiated.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 19, section 13., states, “IDOC shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual violence are substantiated.”</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 10, section 15., states, “IDOC shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual violence are substantiated.”</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.73	Reporting to inmates
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, dated, August 2021 4. DOC Sexual Violence Investigation – ISP21-006 5. Closure Letters (4) 6. Post Audit: Memorandum from the Deputy Warden, RE: PREA Audit Follow Up, received on 6.16.2022 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Investigator <p>Interviews with the investigator demonstrated notification requirements to victims was given verbally and in writing. Documentation of notifications are documented in the agency database used for investigations.</p> <p>Site Observation:</p> <p>Investigation file review demonstrated incarcerated individuals are not consistently notified and or notifications are not documented when providing investigation outcomes. Investigation file review demonstrated incarcerated individuals are not consistently notified of staff movements throughout the stages of an investigation.</p> <p>Post Audit: The Deputy Warden provided a memorandum to Investigative Staff, received by the Auditor on 6.16.2022, stating, "PREA standard 115.73 requires that the Facility report the status of the alleged abuser such as post change, employment status, if applicable, and any potential criminal charges/convictions.</p> <p>Investigators can notify the incarcerated individual through the use the kiosk system for general population or a memo to segregated incarcerated individuals. Care shall be taken to ensure we are not disclosing confidential personnel issues to incarcerated individuals unnecessarily.</p> <p>Therefore, in instances of alleged abuse we notify the incarcerated individual utilizing one of these statements:</p> <ol style="list-style-type: none"> 1. Staffing has been modified to ensure the integrity of the investigation. 2. The pertinent staff member has ceased employment with the IDOC. 3. The pertinent former staff member has been charged and/or convicted <p>The notification and documentation of said notice is the responsibility of the primary investigative staff member."</p> <p>(a) The Iowa State Penitentiary PAQ states the agency has a policy requiring that any inmate who makes an allegation that he or she suffered sexual abuse in an agency facility is informed, verbally or in writing, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation by the agency. The number of criminal and/or administrative investigations of alleged inmate sexual abuse that were completed by the agency/facility in the past 12 months was four.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 20, section H. 1., states, "Following an investigation into an allegation of incarcerated individual sexual misconduct the sexual violence investigator shall inform the incarcerated individual victim as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded, using PREA-02 F-4, Investigator's Closure Letter to Incarcerated Individual."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 20, section I. 1., states, "Following an investigation into an allegation of sexual abuse the sexual violence investigator shall inform the incarcerated individual victim as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded, using PREA-03 F-3, Investigator's Closure Letter to Incarcerated Individual."</p> <p>(b) The Iowa State Penitentiary PAQ states If an outside entity conducts such investigations, the agency requests the relevant information from the investigative entity in order to inform the Inmate as to the outcome of the investigation is not applicable.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 21, section I. 2., states, "If IDOC did not conduct the investigation, it shall request the relevant information from the investigative agency in order to inform the incarcerated individual."</p>

(c) The Iowa State Penitentiary PAQ states following an inmate's allegation that a staff member has committed sexual abuse against the inmate, the agency/facility subsequently does inform the Inmate (unless the agency has determined that the allegation is unfounded) whenever:

- The staff member is no longer posted within the Inmate's unit;
- The staff member is no longer employed at the facility;
- The agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility; or
- The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility."

There has been one substantiated three unfounded complaint of sexual harassment committed by staff against an inmate in the last 12 months.

1. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 20, section 3. a-d, states, "Following a substantiated or unsubstantiated investigation of an allegation of staff sexual misconduct, the institution shall subsequently inform the incarcerated individual victim whenever:

- a. The staff member is no longer posted within the incarcerated individual's unit;
- b. The staff member is no longer employed at the facility;
- c. The institution learns that the staff member has been indicted on a charge related to sexual misconduct within the facility;
- d. The institution learns that the staff member has been convicted on a charge related to sexual misconduct within the facility."

The facility provided the substantiated investigation and the four closure notices documented in the agency database. (Information regarding the investigation and closure notices are intentionally left out of the report for confidentiality purposes.)

(d) The Iowa State Penitentiary PAQ states following an inmate's allegation that he or she has been sexually abused by another Inmate in an agency facility, the agency subsequently informs the alleged victim whenever: the agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 21, section 3. b., states, "Following a substantiated or unsubstantiated investigation of an allegation of sexual abuse, the institution shall subsequently inform the incarcerated individual victim whenever; b., The institution learns that the alleged perpetrator has been convicted on a charge related to sexual abuse within the facility."

(e) The Iowa State Penitentiary PAQ states the agency has a policy that all notifications to inmates described under this standard are documented. In the past 12 months, there has been four notifications to an inmate, pursuant to this standard. Of those notifications made in the past 12 months, the number that were documented was four.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 20, section 4., states, "All such notifications or attempted notifications shall be documented."

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-03, page 21, section 3. c., states, "All such notifications or attempted notifications shall be documented."

(f) State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 20, section 5., states, "IDOC's obligation to report shall terminate if the incarcerated individual is released from the IDOC's custody."

Through such reviews, the facility meets the standard requirements.

115.76	Disciplinary sanctions for staff
	<p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. PREA Compliance Manager <p>Interview with the PREA Compliance Manager demonstrated the employee would be placed on administrative leave until the investigation was completed. Depending on the outcome, would depend on disciplinary action that would take place.</p> <p>Site Observation:</p> <p>In the last 12 months, the facility had one staff who was disciplined for violation of an agency sexual abuse or sexual harassment policy.</p> <p>(a) The Iowa State Penitentiary PAQ states staff is subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 20-21, section I. 1., states, "Staff shall be subject to disciplinary sanctions up to and including termination for violating IDOC policies relating to sexual misconduct, sexual harassment, retaliation, or for any neglect or violation of duty that may have contributed to such incidents."</p> <p>(b) The Iowa State Penitentiary PAQ states in the last 12 months, there has been one staff from the facility that had violated agency sexual abuse or sexual harassment policies.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 21, section I. 2., states, "Termination shall be the presumptive disciplinary sanction for staff who have engaged in sexual misconduct."</p> <p>(c) The Iowa State Penitentiary PAQ states disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) are commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories. In the past 12 months there have zero staff requiring discipline for sexual abuse or sexual harassment.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 21, section I. 3., states, "Disciplinary sanctions for violations of IDOC policies relating to sexual misconduct, sexual harassment, retaliation, or for any neglect or violation of duty that may have contributed to such incidents shall be commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories."</p> <p>(d) The Iowa State Penitentiary PAQ states all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, are reported to law enforcement agencies, unless the activity was clearly not criminal, and to any relevant licensing bodies. In the past 12 months, zero staff have been terminated for sexual abuse or harassment.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 21, section I. 4., states, "All terminations for violations of IDOC policies relating to sexual misconduct, sexual harassment, retaliation, or for any neglect or violation of duty that may have contributed to such incidents or resignations by staff who would have been terminated if not for their resignation, shall be referred for criminal prosecution by the Deputy Director of Institution Operations when the evidence is sufficient for a criminal referral, and by the appropriate institution management team member to any relevant licensing bodies."</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.77	Corrective action for contractors and volunteers
	<p data-bbox="242 145 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="242 210 451 239">Auditor Discussion</p> <p data-bbox="242 275 435 304">Document Review:</p> <ol data-bbox="242 306 1485 398" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, dated, April 2016 <p data-bbox="242 434 352 463">Interviews:</p> <ol data-bbox="242 465 552 495" style="list-style-type: none"> 1. PREA Compliance Manager <p data-bbox="242 497 1474 560">The interview with the PREA Compliance Manager demonstrated any volunteer or contractor who engaged in sexual abuse would be removed from the facility and reported to law enforcement.</p> <p data-bbox="242 595 416 624">Site Observation:</p> <p data-bbox="242 627 1485 689">During the last audit cycle, the facility did not have any volunteers or contractors subject to disciplinary action due to violating sexual abuse or sexual harassment policies.</p> <p data-bbox="242 725 1485 878">(a) The Iowa State Penitentiary PAQ states agency policy requires that any contractor or volunteer who engages in sexual abuse be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies. agency policy requires that any contractor or volunteer who engages in sexual abuse be prohibited from contact with Inmates. In the past 12 months, there have been zero contractors or volunteers reported to law enforcement or relevant licensing bodies for engaging in sexual abuse of Inmates.</p> <p data-bbox="242 913 1461 1032">State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, page 4, section 2. a., states, "Any contractor who engages in sexual abuse shall be prohibited from contact with offenders and shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies."</p> <p data-bbox="242 1068 1477 1160">(b) The Iowa State Penitentiary PAQ states the facility takes appropriate remedial measures and considers whether to prohibit further contact with Inmates in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer.</p> <p data-bbox="242 1196 1461 1314">State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, page 4, section 2. b., states, "IDOC shall take appropriate remedial measures, and shall consider whether to prohibit further contact with offenders, in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor."</p> <p data-bbox="242 1350 919 1379">Through such reviews, the facility meets the standard requirements.</p>

115.78	Disciplinary sanctions for inmates
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, dated, April 2016 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-RD-03, dated, May 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Psychologist 2. Deputy Warden <p>Interview with the psychologist demonstrated incarcerated individuals are offered mental health services for perpetrators and victims; however, neither are required to accept services from mental health.</p> <p>Interview with the Deputy Warden demonstrated incarcerated individuals who falsely reported PREA allegations would be disciplined in accordance with disciplinary procedures.</p> <p>Observation:</p> <p>The Deputy Warden provided disciplinary procedures demonstrating measures for inappropriate sexual harassment and sexual abuse.</p> <p>(a) The Iowa State Penitentiary PAQ states inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following a criminal finding of guilt for inmate-on-inmate sexual abuse. Inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following a criminal finding of guilt for inmate-on-inmate sexual abuse. In the past 12 months there have been eight administrative findings of inmate-on-inmate sexual abuse have occurred at the facility. In the past 12 months there have no criminal findings of guilt for inmate-on-inmate sexual abuse, occurring at the facility.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, page 2, section Policy, states, "As described more fully in IDOC Policy IO-RD-01 Overview and Philosophy of Incarcerated Individual Discipline, it is the policy of the IDOC to use appropriate disciplinary action in the management of incarcerated individual violations of IDOC and institutional rules, regulations, policies, and procedures. Where the use of informal action or minor disciplinary report procedures are not appropriate or insufficient to achieve correctional goals, the major report process shall be used."</p> <p>(b) State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-RD-03, page 27, section I. 1., states, "Sanctions shall be explicit as to nature, extent, and duration, and are to be run consecutive with other sanction, unless otherwise noted by the ALJ."</p> <p>(c) State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-RD-03, page 17, section D. 11., states, "If an incarcerated individual is in a special needs or mental health status at the time of the incident, the investigator must obtain a statement from a mental health professional as to the incarcerated individual's responsibility for the incarcerated individual's conduct as stated in the report."</p> <p>(d) The Iowa State Penitentiary PAQ states the facility does offer therapy, counseling, or other interventions designed to address and correct the underlying reasons or motivations for abuse.</p> <p>(e) The Iowa State Penitentiary PAQ states the agency disciplines inmates for sexual contact with staff only upon finding that the staff member did not consent to such contact.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 3, Institutional Operations, Policy IO-RD-03, page 48, section A., states, "Proposes a consensual sexual contact or sexual relationship with another person through gestures, such as, kissing, petting, etc., or by written or oral communications or engages in a consensual sexual contact or relationship. An incarcerated individual may be disciplined for proposing a consensual sexual contact or sexual relationship with staff only upon a finding that the staff member did not explicitly or implicitly consent to or encourage such a proposal."</p> <p>(f) The Iowa State Penitentiary PAQ states the agency prohibits disciplinary action for a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred, even if an investigation does not establish evidence sufficient to substantiate the allegation.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-</p>

13, page 62, section 35., states, "False Statements - An incarcerated individual commits an offense under this subsection when the incarcerated individual knowingly makes a false statement whether or not under oath or affirmation including, but not limited to, dishonesty, deception, cheating, plagiarism, etc. A report of sexual harassment and/or sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred shall not constitute falsely reporting an incident or lying (or any other violation of this rule), even if an investigation does not establish evidence sufficient to substantiate the allegation."

(g) The Iowa State Penitentiary PAQ states the agency prohibits all sexual activity between inmates. If the agency prohibits all sexual activity between inmates and disciplines inmates for such activity, the agency deems such activity to constitute sexual abuse only if it determines that the activity is coerced.

State of Iowa Department of Corrections Policy and Procedures, Chapter 1, Administration & Management, Policy AD-GA-13, page 6, second paragraph., states, "Class "A" if weapon used, victim exposed to potentially infectious bodily fluids, secretions, tissue, or excrement, or the victim suffers a mental or physical injury; Class "B" for all other violations.

Through such reviews, the facility meets the standard requirements.

115.81	Medical and mental health screenings; history of sexual abuse
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, dated, June 2021 3. State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, dated, May 2021 4. Secondary Listing of Inmate Disclosures 5. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 6. Department of Corrections Medical and Mental Health Services Sexual Victimization Reporting Consent Form, dated September 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Targeted incarcerated individuals 2. Correctional Counselors 3. Psychologist <p>Interviews with specialized staff and incarcerated individuals demonstrated disclosures are reported to the Correctional Counselors who report disclosures to the psychologist/mental health personnel. Documentation of disclosures and follow up appointments are documented in the agency database. A majority of incarcerated individuals accepted mental health services offered.</p> <p>(a, c) The Iowa State Penitentiary PAQ states all Inmates at this facility who have disclosed any prior sexual victimization during a screening pursuant to §115.341 are offered a follow-up meeting with a medical or mental health practitioner. Follow up meetings are offered within 14 days of the intake screening. In the past 12 months 100% (18) of inmates who disclosed prior victimization during the intake screening. Medical and mental health staff maintain secondary materials, documenting compliance with the above required services.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 4, section c. 1., "If the paper SVP Intake Screening Tool, or the Sexual Violence Propensity (SVP) assessment in ICON indicates that the incarcerated individual has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, staff shall ensure the incarcerated individual is offered a follow-up meeting with a medical and mental health practitioner within 14 days of the SVP."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 4, section c. 1., "If the paper SVP Intake Screening Tool, or the Sexual Violence Propensity (SVP) assessment in ICON indicates that the incarcerated individual has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, staff shall ensure the incarcerated individual is offered a follow-up meeting with a medical and mental health practitioner within 14 days of the SVP."</p> <p>The facility provided a Secondary Listing of Inmate Disclosure listing. This listing includes the date of disclosure, inmate name and number, victim, request services, perpetrator.</p> <p>(b) The Iowa State Penitentiary PAQ states all Inmates who have previously perpetrated sexual abuse, as indicated during the screening pursuant to § 115.341, are offered a follow-up meeting with a mental health practitioner. All Inmates are allowed a follow-up meeting offered within 14 days of the intake screening. In the past 12 months 100% (6) of inmates who disclosed previously perpetrated sexual abuse, as indicated during the screening process.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-01, page 4, section c. 2., "If the paper SVP Intake Screening Tool, or the Sexual Violence Propensity (SVP) assessment in ICON indicates that, an incarcerated individual has previously perpetrated sexual violence, whether it occurred in an institutional setting or in the community, staff shall ensure the incarcerated individual is offered a follow-up meeting with a mental health practitioner within 14 days of the SVP."</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 4, Institutional Services, Policy IS-RO-02, page 4, section c. 2., "If the paper SVP Intake Screening Tool, or the Sexual Violence Propensity (SVP) assessment in ICON indicates that, an incarcerated individual has previously perpetrated sexual violence, whether it occurred in an institutional setting or in the community, staff shall ensure the incarcerated individual is offered a follow-up meeting with a mental health practitioner within 14 days of the SVP."</p>

(d) The Iowa State Penitentiary PAQ states, Information related to sexual victimization or abusiveness that occurred in an institutional setting is not strictly limited to medical and mental health practitioners.

State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 6, section C. 1., states, "Any information related to sexual violence that occurred in an institutional setting shall be strictly limited to medical and mental health practitioners and other staff, as necessary, to inform of treatment plans and security and management decisions, including housing, bed, work, education and program assignments, or as otherwise required by Federal, State or local law."

(e) The Iowa State Penitentiary PAQ states, Medical and mental health practitioners do obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institution setting unless the inmate is under the age of 18.

State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 6, section C. 2., states, "Medical and mental health practitioners shall obtain informed consent from incarcerated individual before reporting information about prior sexual victimization that did not occur in an institutional setting, unless the incarcerated individual is under the age of 18. (PREA 115.81 (e)) Electronic consent is recorded in Medical ICON."

The facility provided a Department of Corrections Medical and Mental Health Services Sexual Victimization Reporting Consent Form. The Consent form states and documents, the following: Pursuant to PREA standard 115.81 Medical and mental health practitioners shall obtain informed consent from inmates before reporting information about prior sexual victimizations that did NOT occur in an institutional setting, unless the inmate is under the age of 18. I, ___ No. ___, hereby voluntarily give consent to the reporting and disclosure of previous incidences of sexual assault, abuse or harassment that occurred outside an institutional or correctional setting." The form is signed and dated by the 'patient'.

Through such reviews, the facility meets the standard requirements.

115.82	Access to emergency medical and mental health services
	<p data-bbox="242 145 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="242 210 451 239">Auditor Discussion</p> <p data-bbox="242 271 435 300">Document Review:</p> <ol data-bbox="242 304 1430 398" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 <p data-bbox="242 430 352 459">Interviews:</p> <ol data-bbox="242 463 603 557" style="list-style-type: none"> 1. Targeted incarcerated individuals 2. Nurse 3. Mental Health Staff <p data-bbox="242 562 1473 624">Interviews with medical and mental health staff and incarcerated individuals demonstrated that each are aware of access to emergency medical and mental health services and such services, and those services are offered timely.</p> <p data-bbox="242 656 1484 882">(a-b) The Iowa State Penitentiary PAQ states Inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services. The nature and scope of such services are determined by medical and mental health practitioners according to their professional judgment. Medical and mental health staff maintain secondary materials (e.g., form, log) documenting the timeliness of emergency medical treatment and crisis intervention services that were provided; the appropriate response by non-health staff in the event health staff are not present at the time the incident is reported; and the provision of appropriate and timely information and services concerning contraception and sexually transmitted infection prophylaxis</p> <p data-bbox="242 913 1485 1140">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 1-2, section Policy, states, "It is the policy of the Iowa Department of Corrections that patients who report sexual abuse while incarcerated shall receive timely, unimpeded access to emergency medical treatment and crisis intervention services; be offered psychological (mental health) and medical services; and, when appropriate, a forensic examination or sexual abuse examination will be completed by a qualified professional. Treatment services shall be consistent with the community level of care and provided without financial cost regardless of whether the victim names the aggressor or cooperates with any investigation arising out of the incident."</p> <p data-bbox="242 1171 1485 1299">Page 5, section h., states, "The Shift Supervisor shall attempt to make available to the patient a victim advocate from a community crime victim center. If a community crime victim center is not available to provide victim advocate services, the Shift Supervisor shall make these services available through a qualified staff member from a community- based organization, or a qualified IDOC staff member. The Shift Supervisor shall document such efforts."</p> <p data-bbox="242 1330 1477 1424">(c) The Iowa State Penitentiary PAQ states Inmate victims of sexual abuse while incarcerated are offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate.</p> <p data-bbox="242 1456 1445 1583">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 5, section f., states, "Offer patients of sexual abuse timely information and access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care where medically appropriate."</p> <p data-bbox="242 1615 1445 1709">(d) The Iowa State Penitentiary PAQ states Treatment services are provided to every victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident. Policy compliance can be found in provision (a) of this standard.</p> <p data-bbox="242 1740 1477 1868">State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 5, section g., states, "Offer patients of sexually abusive vaginal penetration pregnancy tests if appropriate. If pregnancy results from the sexual abuse, patients shall receive timely and comprehensive information and timely access to all lawful pregnancy-related medical services."</p> <p data-bbox="242 1899 919 1928">Through such reviews, the facility meets the standard requirements.</p>

115.83	Ongoing medical and mental health care for sexual abuse victims and abusers
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, dated, September 2021 <p>Interviews:</p> <ol style="list-style-type: none"> 1. Nurse 2. Psychologist <p>Interviews with medical and mental health staff demonstrated that each interviewed are aware of access to emergency medical and mental health services.</p> <p>(a, c) The Iowa State Penitentiary PAQ states the facility offers medical and mental health evaluation and, as appropriate, treatment to all Inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 1-2, section Policy, states, "It is the policy of the Iowa Department of Corrections that patients who report sexual abuse while incarcerated shall receive timely, unimpeded access to emergency medical treatment and crisis intervention services; be offered psychological (mental health) and medical services; and, when appropriate, a forensic examination or sexual abuse examination will be completed by a qualified professional. Treatment services shall be consistent with the community level of care and provided without financial cost regardless of whether the victim names the aggressor or cooperates with any investigation arising out of the incident."</p> <p>(c) State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 11, section 2., states, "The evaluation and treatment of victims of sexual violence in any prison, jail, lockup, or juvenile facility shall 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."</p> <p>(d-e) This provision is not applicable as the facility does not serve female clients.</p> <p>(f) The Iowa State Penitentiary PAQ states Inmate victims of sexual abuse while incarcerated are offered tests for sexually transmitted infections as medically appropriate.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 8, section 3., states, "Encourage follow-up STI exams, testing, immunizations, counseling, and treatment as directed. Although patients may be reluctant to go for follow-up exams for STIs, such exams are essential because they provide an opportunity to detect new infections acquired during or after the abuse."</p> <p>(g) The Iowa State Penitentiary PAQ states treatment services are 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. Policy compliance can be found in provision (a) of this standard.</p> <p>(h) State of Iowa Department of Corrections Policy and Procedures, Chapter 6, Health Services, Policy HSP-628, page 6, section B. 2., states, "All institutions shall attempt to conduct a mental health evaluation of all known patient-on-patient aggressors within 60 days of learning of such sexual violence history and offer treatment when deemed appropriate by mental health practitioners."</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.86	Sexual abuse incident reviews
	<p data-bbox="240 147 738 174">Auditor Overall Determination: Meets Standard</p> <p data-bbox="240 210 451 237">Auditor Discussion</p> <p data-bbox="240 273 435 300">Document Review:</p> <ol data-bbox="240 304 1484 465" style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, dated, September 2021 3. DOC Investigation – Sexual Abuse Incident Review 4. Post Audit: Memorandum, from Deputy Warden, RE: PREA Audit Follow Up, received on 6.16.2022 <p data-bbox="240 501 352 528">Interviews:</p> <ul data-bbox="240 533 544 560" style="list-style-type: none"> • PREA Compliance Manager <p data-bbox="240 564 1166 591">The team on-site were aware of the requirements to document and safeguard investigations.</p> <p data-bbox="240 627 371 654">Observation:</p> <p data-bbox="240 658 1425 716">Investigation file review demonstrated one sexual abuse incident reviews was not documented at the conclusion of the sexual abuse investigations, within 30 days of the conclusion of investigations.</p> <p data-bbox="240 752 1493 873">Post Audit: The Deputy Warden provided a memorandum to the PREA Compliance Manger and the PREA Auditor, received by the Auditor on 6.16.2022, stating, "PREA standard 115.86 requires that the conduct incident reviews on investigations that are determined to be unsubstantiated and substantiated. The PCM will be responsible for ensuring the incident reviews are completed and entered into the investigative database.</p> <p data-bbox="240 909 1469 1030">The reviews are to be conducted within 30 days of the conclusion of the investigation. Therefore, the monthly PREA meetings will resume on the second Tuesday of each month with various members of the leadership team invited to attend. A calendar invite has been sent. The PCM will be responsible for ensuring the incident reviews are completed and entered into the investigative database.</p> <p data-bbox="240 1066 1414 1124">The standard agenda will include investigations, incident reviews, quality assurance and other sexual safety topics as relevant. The first meeting will be held July 12th at 1:00."</p> <p data-bbox="240 1160 1489 1249">(a) The Iowa State Penitentiary PAQ states the facility conducts a sexual abuse incident review at the conclusion of every criminal or administrative sexual abuse investigation, unless the allegation has been determined to be unfounded. In the past 12 months there has been one administrative investigations of alleged sexual abuse completed at the facility,</p> <p data-bbox="240 1285 1457 1406">State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 22, section K. 1, states, "The institution, in association with the PREA Coordinator, shall conduct a sexual violence incident review at the conclusion of every sexual violence investigation that results in a substantiated or unsubstantiated finding."</p> <p data-bbox="240 1442 1469 1532">The facility provided a completed DOC Investigation – Sexual Abuse Incident Review. For confidentiality purposes, the components of the form will be explained in this report without personal identifiers. The Sexual Abuse Incident Review form includes the following components.</p> <ul data-bbox="240 1536 1457 2002" style="list-style-type: none"> • Date of Initial Meeting • Review Closure Date • Review Team Members • Date Report / Recommendations to Warder, Deputy, PC, PCM • DIS Case Number • Findings • Perpetrator(s) • Victim(s) • Narrative of Case • Examine area of institution where contact occurred/For each area identify: • Was the incident or allegation motivated by: race, ethnicity, gender identity, lesbian, gay, bisexual, transgender, Intersex Identification, status or perceived, gang affiliation, motivated/caused by other group dynamics • Things that went well • Changes needed in policy or practice to better prevent, detect, or respond to sexual violence or retaliation <p data-bbox="240 2033 1406 2092">(b) The Iowa State Penitentiary PAQ states sexual abuse incident reviews are ordinarily conducted within 30 days of concluding the criminal or administrative investigation.</p> <p data-bbox="240 2128 1457 2154">State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy</p>

PREA-02, page 22, section K. 2, states, "Such review shall ordinarily occur within 30 days of the conclusion of the investigation."

(c) The Iowa State Penitentiary PAQ states the sexual abuse incident review team includes upper-level management officials and allows for input from line supervisors, investigators, and medical or mental health practitioners.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 22, section K. 3. a-g, states, "The review team shall include:

- a. Warden or designee;
- b. Unit managers or other upper-level management team members responsible for the areas of the institution where the incident occurred;
- c. Shift supervisors involved with the case or the shift on which the misconduct occurred;
- d. At least one of the sexual violence investigators on the case;
- e. Medical or mental health practitioners when involved with the perpetrator or the victim;
- f. Institution's PREA Compliance Manager/PREA Coordinator;
- g. PREA Coordinator in substantiated cases of staff sexual misconduct or incarcerated individual sexual abuse."

(d) The Iowa State Penitentiary PAQ states the facility prepares a report of its findings from sexual abuse incident reviews, including but not necessarily limited to determinations made pursuant to paragraphs (d)(1) -(d)(5) of this section, and any recommendations for improvement and submits such report to the facility head and PREA compliance manager.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 22-23, section K. 4. a-f., states, "The review team shall:

- a. Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or
- b. 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 institution;
- c. Examine the areas where the incident occurred to assess whether physical barriers in the area may enable abuse;
- d. Assess the adequacy of staffing levels in that area during different shifts;
- e. Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff; and
- f. Prepare a report of its findings using PREA-02 F-5, Sexual Abuse Incident Review Report, and by entry of Form 5 into the PREA Investigation Database. The report shall include but not necessarily be limited to determinations made pursuant the above, and any recommendations for improvement. The report shall be distributed to the Warden, Deputy Director of Institution Operations, and the institution's PREA Compliance Manager/PREA Coordinator."

(e) The Iowa State Penitentiary PAQ states, the facility implements the recommendations for improvement or documents its reasons for not doing so. Compliance can be found in provision (d) of this standard.

State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-02, page 23, section K. 5., states, "The institution shall implement the recommendations for improvement, or shall document its reasons for not doing so."

Through such reviews, the facility meets the standard requirements.

115.87	<p>Data collection</p> <p>Auditor Overall Determination: Meets Standard</p> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, dated, August 2021 3. SSV-2 Survey of Sexual Victimization, 2020 4. SSV-IA, Survey of Sexual Victimization, 2020 <p>(a)/(c)-1,2 The Iowa State Penitentiary PAQ states the agency collects accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions. The standardized instrument includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence (SSV) conducted by the Department of Justice.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, page 3, section 5., states, "The PREA Coordinator shall provide all such data from the previous calendar year to the Department of Justice no later than June 30 each year."</p> <p>(b) The Iowa State Penitentiary PAQ states the annual report includes a comparison of the current year's data and corrective action from prior years.</p> <p>(d) The Iowa State Penitentiary PAQ states the agency maintains, reviews, and collects data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews.</p> <p>(e) The Iowa State Penitentiary PAQ states N/A as the agency does not contract with private facilities, therefore this provision is not applicable to the agency.</p> <p>(f) The Iowa State Penitentiary PAQ states the Department of Justice has requested agency data for the previous calendar year.</p> <p>The facility provided a completed Department of Justice Survey of Sexual Victimization and a State of Iowa Survey of Sexual Victimization.</p> <p>Through such reviews, the facility meets the standard requirements.</p>
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115.88	Data review for corrective action
	<p>Auditor Overall Determination: Meets Standard</p> <hr/> <p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, dated, August 2021 3. Iowa Department of Corrections, PREA Annual Report, July 2021 <p>(a) The Iowa State Penitentiary PAQ states the agency reviews data collected and aggregated pursuant to §115.387 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, and training, including:</p> <ul style="list-style-type: none"> • Identifying problem areas; • Taking corrective action on an ongoing basis; and • Preparing an annual report of its findings from its data review and any corrective actions for each facility, as well as the agency as a whole. <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, page 3, section B. 4., states, "Specific material from the reports may be redacted when publications would present a clear and specific threat to the safety and security of an institution, but IDOC shall indicate the nature of the material redacted."</p> <p>(b) The Iowa State Penitentiary PAQ states the annual report includes a comparison of the current year's data and corrective actions to those from prior years. The annual report provides an assessment of the agency's progress in addressing sexual abuse.</p> <p>The agency provided the Iowa Department of Corrections, PREA Annual Report, July 2021. The annual report includes the following components.</p> <ul style="list-style-type: none"> • PREA Background • Annual Reports to DOJ / BJS 3 Governor's Certification • Data Comparison for 2020 and Prior Years • Trend Analysis for all Prisons • Trend Analysis by Prison • Trend Analysis Prison Populations and Investigations • Offender on Offender Allegation Sexual Assault • Offender on Offender Allegations Sexual Abuse • Offender on Offender Allegations Precursor Behavior • Staff, Contractor, or Volunteer on Offender Allegations Sexual Misconduct • Staff, Contractor, or Volunteer on Offender Allegations Sexual Harassment • Both Staff and Offender Allegations Retaliation • PREA Investigation Findings and CBC PREA Stats • Summary of year 2020 Goal completion • Data Assessment <p>(c) The Iowa State Penitentiary PAQ states the agency makes its annual report readily available to the public, at least annually, through its website. Annual reports are approved by the agency head. The following is the agency website where the annual reports for the last seven years are located is Annual PREA Reports Iowa Department of Corrections. Annual reports from 2014 through 2021 are posted on the agency website.</p> <p>(d) The Iowa State Penitentiary PAQ states when the agency redacts material from an annual report for publication, the redactions are limited to specific materials where publication would present a clear and specific threat to the safety and security of the facility. Policy compliance can be found in provision (a) of this standard.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.89	Data storage, publication, and destruction
	Auditor Overall Determination: Meets Standard
	<p>Auditor Discussion</p> <p>Document Review:</p> <ol style="list-style-type: none"> 1. Iowa State Penitentiary PAQ 2. State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, dated, August 2021 <p>(a) The Iowa State Penitentiary PAQ states the agency ensures that incident-based and aggregate data are securely retained.</p> <p>State of Iowa Department of Corrections Policy and Procedures, Chapter 11, Prison Rape Elimination Act, (PREA), Policy PREA-04, page 3-4, section C. 1-4, state, "Data Storage, Publication, and Destruction</p> <ol style="list-style-type: none"> 1. IDOC shall ensure that data collected is securely retained. 2. IDOC shall make all aggregated sexual abuse data readily available to the public at least annually on the IDOC website and posted on the State Library. IDOC shall make sexual abuse data available to the Department of Administration (DAS) Attorney. 3. Before making aggregated sexual abuse data publicly available, IDOC shall remove all personal identifiers. 4. Sexual abuse data shall be retained for at least 10 years after the date of the initial collection or for as long as the subject of the investigation is an employee of the State of Iowa." <p>(b) The Iowa State Penitentiary PAQ states agency policy requires that aggregated sexual abuse data from facilities under its direct control and private facilities with which it contracts be made readily available to the public at least annually through its website. Policy compliance can be found in provision (a) of this standard.</p> <p>(c) The Iowa State Penitentiary PAQ states before making aggregated sexual abuse data publicly available, the agency removes all personal identifiers. Policy compliance can be found in provision (a) of this standard.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

115.401	Frequency and scope of audits
	Auditor Overall Determination: Meets Standard
	<p data-bbox="229 192 1509 255">Auditor Discussion</p> <p data-bbox="229 255 1509 318">(a) During the prior three-year audit period, the agency ensured that each facility operated was audited, once.</p> <p data-bbox="229 318 1509 380">(b) This is the third audit cycle for Iowa State Penitentiary and the third year of the third audit cycle.</p> <p data-bbox="229 380 1509 443">(h) The Auditor was granted complete access to, and the ability to observe, all areas of the facility.</p> <p data-bbox="229 443 1509 542">(i) The Auditor was permitted to request and receive copies of any relevant documents (including electronically stored information).</p> <p data-bbox="229 542 1509 604">(m) The Auditor was permitted to conduct private interviews with residents.</p> <p data-bbox="229 604 1509 689">(n) Residents permitted to send confidential information or correspondence to the Auditor in the same manner as if they were communicating with legal counsel.</p> <p data-bbox="229 689 1509 723">Through such reviews, the facility meets the standard requirements.</p>

115.403	Audit contents and findings
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	<p>(b) The agency has posted the current 2019 PREA audit report, on their website.</p> <p>Through such reviews, the facility meets the standard requirements.</p>

Appendix: Provision Findings		
115.11 (a)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment?	yes
	Does the written policy outline the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment?	yes
115.11 (b)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Has the agency employed or designated an agency-wide PREA Coordinator?	yes
	Is the PREA Coordinator position in the upper-level of the agency hierarchy?	yes
	Does the PREA Coordinator have sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities?	yes
115.11 (c)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	If this agency operates more than one facility, has each facility designated a PREA compliance manager? (N/A if agency operates only one facility.)	yes
	Does the PREA compliance manager have sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards? (N/A if agency operates only one facility.)	yes
115.12 (a)	Contracting with other entities for the confinement of inmates	
	If this agency is public and it contracts for the confinement of its inmates with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.)	no
115.12 (b)	Contracting with other entities for the confinement of inmates	
	Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure 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.)	no

115.13 (a)	Supervision and monitoring	
	Does the facility have a documented staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Generally accepted detention and correctional practices?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any judicial findings of inadequacy?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from Federal investigative agencies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from internal or external oversight bodies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: All components of the facility's physical plant (including "blind-spots" or areas where staff or inmates may be isolated)?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The composition of the inmate population?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The number and placement of supervisory staff?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The institution programs occurring on a particular shift?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any applicable State or local laws, regulations, or standards?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The prevalence of substantiated and unsubstantiated incidents of sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any other relevant factors?	yes
115.13 (b)	Supervision and monitoring	
	In circumstances where the staffing plan is not complied with, does the facility document and justify all deviations from the plan? (N/A if no deviations from staffing plan.)	na
115.13 (c)	Supervision and monitoring	
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The facility's deployment of video monitoring systems and other monitoring technologies?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The resources the facility has available to commit to ensure adherence to the staffing plan?	yes

115.13 (d)	Supervision and monitoring	
	Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment?	yes
	Is this policy and practice implemented for night shifts as well as day shifts?	yes
	Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility?	yes
115.14 (a)	Youthful inmates	
	Does the facility place all youthful inmates in housing units that separate them from sight, sound, and physical contact with any adult inmates through use of a shared dayroom or other common space, shower area, or sleeping quarters? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (b)	Youthful inmates	
	In areas outside of housing units does the agency maintain sight and sound separation between youthful inmates and adult inmates? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	In areas outside of housing units does the agency provide direct staff supervision when youthful inmates and adult inmates have sight, sound, or physical contact? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (c)	Youthful inmates	
	Does the agency make its best efforts to avoid placing youthful inmates in isolation to comply with this provision? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Does the agency, while complying with this provision, allow youthful inmates daily large-muscle exercise and legally required special education services, except in exigent circumstances? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Do youthful inmates have access to other programs and work opportunities to the extent possible? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.15 (a)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners?	yes
115.15 (b)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting cross-gender pat-down searches of female inmates, except in exigent circumstances? (N/A if the facility does not have female inmates.)	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 facility does not have female inmates.)	na
115.15 (c)	Limits to cross-gender viewing and searches	
	Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches?	yes
	Does the facility document all cross-gender pat-down searches of female inmates (N/A if the facility does not have female inmates)?	na

115.15 (d)	Limits to cross-gender viewing and searches	
	Does the facility have policies that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks?	yes
	Does the facility have procedures that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks?	yes
	Does the facility require staff of the opposite gender to announce their presence when entering an inmate housing unit?	yes
115.15 (e)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from searching or physically examining transgender or intersex inmates for the sole purpose of determining the inmate's genital status?	yes
	If an inmate's genital status is unknown, does the facility determine genital status during conversations with the inmate, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner?	yes
115.15 (f)	Limits to cross-gender viewing and searches	
	Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes
	Does the facility/agency train security staff in how to conduct searches of transgender and intersex inmates in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes

115.16 (a)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are deaf or hard of hearing?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are blind or have low vision?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have intellectual disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have psychiatric disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have speech disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Other (if "other," please explain in overall determination notes.)	yes
	Do such steps include, when necessary, ensuring effective communication with inmates who are deaf or hard of hearing?	yes
	Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have intellectual disabilities?	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: Have limited reading skills?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: are blind or have low vision?	yes
115.16 (b)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient?	yes
	Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes

115.16 (c)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations?	yes
115.17 (a)	Hiring and promotion decisions	
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?	yes
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?	yes
	Does the agency prohibit the hiring or promotion of anyone who 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
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the two bullets immediately above?	yes
115.17 (b)	Hiring and promotion decisions	
	Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with inmates?	yes
	Does the agency consider any incidents of sexual harassment in determining whether to enlist the services of any contractor who may have contact with inmates?	yes
115.17 (c)	Hiring and promotion decisions	
	Before hiring new employees who may have contact with inmates, does the agency perform a criminal background records check?	yes
	Before hiring new employees who may have contact with inmates, does the agency, consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse?	yes
115.17 (d)	Hiring and promotion decisions	
	Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates?	yes
115.17 (e)	Hiring and promotion decisions	
	Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with inmates or have in place a system for otherwise capturing such information for current employees?	yes

115.17 (f)	Hiring and promotion decisions	
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions?	yes
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees?	yes
	Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct?	yes
115.17 (g)	Hiring and promotion decisions	
	Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination?	yes
115.17 (h)	Hiring and promotion decisions	
	Does the agency provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work? (N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.)	yes
115.18 (a)	Upgrades to facilities and technologies	
	If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.)	na
115.18 (b)	Upgrades to facilities and technologies	
	If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.)	no
115.21 (a)	Evidence protocol and forensic medical examinations	
	If the agency is responsible for investigating allegations of sexual abuse, does the agency follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
115.21 (b)	Evidence protocol and forensic medical examinations	
	Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
	Is this protocol, as appropriate, adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes

115.21 (c)	Evidence protocol and forensic medical examinations	
	Does the agency offer all victims of sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate?	yes
	Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible?	yes
	If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)?	yes
	Has the agency documented its efforts to provide SAFEs or SANEs?	yes
115.21 (d)	Evidence protocol and forensic medical examinations	
	Does the agency attempt to make available to the victim a victim advocate from a rape crisis center?	yes
	If a rape crisis center is not available to provide victim advocate services, does the agency make available to provide these services a qualified staff member from a community-based organization, or a qualified agency staff member? (N/A if the agency always makes a victim advocate from a rape crisis center available to victims.)	yes
	Has the agency documented its efforts to secure services from rape crisis centers?	yes
115.21 (e)	Evidence protocol and forensic medical examinations	
	As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews?	yes
	As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals?	yes
115.21 (f)	Evidence protocol and forensic medical examinations	
	If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating agency follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.)	na
115.21 (h)	Evidence protocol and forensic medical examinations	
	If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? (N/A if agency always makes a victim advocate from a rape crisis center available to victims.)	yes
115.22 (a)	Policies to ensure referrals of allegations for investigations	
	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse?	yes
	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment?	yes

115.22 (b)	Policies to ensure referrals of allegations for investigations	
	Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior?	yes
	Has the agency published such policy on its website or, if it does not have one, made the policy available through other means?	yes
	Does the agency document all such referrals?	yes
115.22 (c)	Policies to ensure referrals of allegations for investigations	
	If a separate entity is responsible for conducting criminal investigations, does the policy describe the responsibilities of both the agency and the investigating entity? (N/A if the agency/facility is responsible for criminal investigations. See 115.21(a).)	yes
115.31 (a)	Employee training	
	Does the agency train all employees who may have contact with inmates on its zero-tolerance policy for sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures?	yes
	Does the agency train all employees who may have contact with inmates on inmates' right to be free from sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the right of inmates and employees to be free from retaliation for reporting sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the dynamics of sexual abuse and sexual harassment in confinement?	yes
	Does the agency train all employees who may have contact with inmates on the common reactions of sexual abuse and sexual harassment victims?	yes
	Does the agency train all employees who may have contact with inmates on how to detect and respond to signs of threatened and actual sexual abuse?	yes
	Does the agency train all employees who may have contact with inmates on how to avoid inappropriate relationships with inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities?	yes
115.31 (b)	Employee training	
	Is such training tailored to the gender of the inmates at the employee's facility?	yes
	Have employees received additional training if reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa?	yes

115.31 (c)	Employee training	
	Have all current employees who may have contact with inmates received such training?	yes
	Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures?	yes
	In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies?	yes
115.31 (d)	Employee training	
	Does the agency document, through employee signature or electronic verification, that employees understand the training they have received?	yes
115.32 (a)	Volunteer and contractor training	
	Has the agency ensured that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures?	yes
115.32 (b)	Volunteer and contractor training	
	Have all volunteers and contractors who have contact with inmates been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with inmates)?	yes
115.32 (c)	Volunteer and contractor training	
	Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received?	yes
115.33 (a)	Inmate education	
	During intake, do inmates receive information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment?	yes
	During intake, do inmates receive information explaining how to report incidents or suspicions of sexual abuse or sexual harassment?	yes
115.33 (b)	Inmate education	
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from sexual abuse and sexual harassment?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from retaliation for reporting such incidents?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Agency policies and procedures for responding to such incidents?	yes
115.33 (c)	Inmate education	
	Have all inmates received the comprehensive education referenced in 115.33(b)?	yes
	Do inmates receive education upon transfer to a different facility to the extent that the policies and procedures of the inmate's new facility differ from those of the previous facility?	yes

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

115.35 (a)	Specialized training: Medical and mental health care	
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to detect and assess signs of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to preserve physical evidence of sexual abuse? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to respond effectively and professionally to victims of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how and to whom to report allegations or suspicions 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
115.35 (b)	Specialized training: Medical and mental health care	
	If medical staff employed by the agency conduct forensic examinations, do such medical staff receive appropriate training to conduct such examinations? (N/A if agency medical staff at the facility do not conduct forensic exams or the agency does not employ medical staff.)	no
115.35 (c)	Specialized training: Medical and mental health care	
	Does the agency maintain documentation that medical and mental health practitioners have received the training referenced in this standard either from the agency or elsewhere? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
115.35 (d)	Specialized training: Medical and mental health care	
	Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.31? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners employed by the agency.)	yes
	Do medical and mental health care practitioners contracted by or volunteering for the agency also receive training mandated for contractors and volunteers by §115.32? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners contracted by or volunteering for the agency.)	yes
115.41 (a)	Screening for risk of victimization and abusiveness	
	Are all inmates assessed during an intake screening for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
	Are all inmates assessed upon transfer to another facility for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
115.41 (b)	Screening for risk of victimization and abusiveness	
	Do intake screenings ordinarily take place within 72 hours of arrival at the facility?	yes
115.41 (c)	Screening for risk of victimization and abusiveness	
	Are all PREA screening assessments conducted using an objective screening instrument?	yes

115.41 (d)	Screening for risk of victimization and abusiveness	
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (1) Whether the inmate has a mental, physical, or developmental disability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (2) The age of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (3) The physical build of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (4) Whether the inmate has previously been incarcerated?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (5) Whether the inmate's criminal history is exclusively nonviolent?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (6) Whether the inmate has prior convictions for sex offenses against an adult or child?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (7) Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the inmate about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the inmate is gender non-conforming or otherwise may be perceived to be LGBTI)?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (8) Whether the inmate has previously experienced sexual victimization?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (9) The inmate's own perception of vulnerability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (10) Whether the inmate is detained solely for civil immigration purposes?	yes
115.41 (e)	Screening for risk of victimization and abusiveness	
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior acts of sexual abuse?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior convictions for violent offenses?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: history of prior institutional violence or sexual abuse?	yes
115.41 (f)	Screening for risk of victimization and abusiveness	
	Within a set time period not more than 30 days from the inmate's arrival at the facility, does the facility reassess the inmate's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening?	yes

115.41 (g)	Screening for risk of victimization and abusiveness	
	Does the facility reassess an inmate's risk level when warranted due to a referral?	yes
	Does the facility reassess an inmate's risk level when warranted due to a request?	yes
	Does the facility reassess an inmate's risk level when warranted due to an incident of sexual abuse?	yes
	Does the facility reassess an inmate's risk level when warranted due to receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness?	yes
115.41 (h)	Screening for risk of victimization and abusiveness	
	Is it the case that inmates are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section?	yes
115.41 (i)	Screening for risk of victimization and abusiveness	
	Has the agency implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive information is not exploited to the inmate's detriment by staff or other inmates?	yes
115.42 (a)	Use of screening information	
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments?	yes
115.42 (b)	Use of screening information	
	Does the agency make individualized determinations about how to ensure the safety of each inmate?	yes
115.42 (c)	Use of screening information	
	When deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns inmates to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)?	yes
	When making housing or other program assignments for transgender or intersex inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems?	yes

115.42 (d)	Use of screening information	
	Are placement and programming assignments for each transgender or intersex inmate reassessed at least twice each year to review any threats to safety experienced by the inmate?	yes
115.42 (e)	Use of screening information	
	Are each transgender or intersex inmate's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments?	yes
115.42 (f)	Use of screening information	
	Are transgender and intersex inmates given the opportunity to shower separately from other inmates?	yes
115.42 (g)	Use of screening information	
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: lesbian, gay, and bisexual inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: transgender inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
115.43 (a)	Protective Custody	
	Does the facility always refrain from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers?	yes
	If a facility cannot conduct such an assessment immediately, does the facility hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment?	yes

115.43 (b)	Protective Custody	
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Programs to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Privileges to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Education to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Work opportunities to the extent possible?	yes
	If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the opportunities that have been limited? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the duration of the limitation? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the reasons for such limitations? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
115.43 (c)	Protective Custody	
	Does the facility assign inmates at high risk of sexual victimization to involuntary segregated housing only until an alternative means of separation from likely abusers can be arranged?	yes
	Does such an assignment not ordinarily exceed a period of 30 days?	yes
115.43 (d)	Protective Custody	
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The basis for the facility's concern for the inmate's safety?	yes
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The reason why no alternative means of separation can be arranged?	yes
115.43 (e)	Protective Custody	
	In the case of each inmate who is placed in involuntary segregation because he/she is at high risk of sexual victimization, does the facility afford a review to determine whether there is a continuing need for separation from the general population EVERY 30 DAYS?	yes
115.51 (a)	Inmate reporting	
	Does the agency provide multiple internal ways for inmates to privately report: Sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Retaliation by other inmates or staff for reporting sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Staff neglect or violation of responsibilities that may have contributed to such incidents?	yes

115.51 (b)	Inmate reporting	
	Does the agency also provide at least one way for inmates to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency?	yes
	Is that private entity or office able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials?	yes
	Does that private entity or office allow the inmate to remain anonymous upon request?	yes
	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.)	yes
115.51 (c)	Inmate reporting	
	Does staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties?	yes
	Does staff promptly document any verbal reports of sexual abuse and sexual harassment?	yes
115.51 (d)	Inmate reporting	
	Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates?	yes
115.52 (a)	Exhaustion of administrative remedies	
	Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address inmate grievances regarding sexual abuse. This does not mean the agency is exempt simply because an inmate does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse.	no
115.52 (b)	Exhaustion of administrative remedies	
	Does the agency permit inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.)	na
	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.)	na
115.52 (c)	Exhaustion of administrative remedies	
	Does the agency ensure that: An inmate who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.)	na
	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.)	na

115.52 (d)	Exhaustion of administrative remedies	
	Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by inmates in preparing any administrative appeal.) (N/A if agency is exempt from this standard.)	na
	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.)	na
	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.)	na
115.52 (e)	Exhaustion of administrative remedies	
	Are third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.)	na
	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.)	na
	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.)	na
115.52 (f)	Exhaustion of administrative remedies	
	Has the agency established procedures for the filing of an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)	na
	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.)	na
	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.)	na
	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.)	na
	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.)	na
	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.)	na
	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.)	na
115.52 (g)	Exhaustion of administrative remedies	
	If the agency disciplines an inmate for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the inmate filed the grievance in bad faith? (N/A if agency is exempt from this standard.)	na

115.53 (a)	Inmate access to outside confidential support services	
	Does the facility provide inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations?	yes
	Does the facility provide persons detained solely for civil immigration purposes mailing addresses and telephone numbers, 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.)	yes
	Does the facility enable reasonable communication between inmates and these organizations and agencies, in as confidential a manner as possible?	yes
115.53 (b)	Inmate access to outside confidential support services	
	Does the facility inform inmates, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws?	yes
115.53 (c)	Inmate access to outside confidential support services	
	Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide inmates with confidential emotional support services related to sexual abuse?	yes
	Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements?	yes
115.54 (a)	Third-party reporting	
	Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment?	yes
	Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate?	yes
115.61 (a)	Staff and agency reporting duties	
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency?	yes
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment?	yes
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual abuse or sexual harassment or retaliation?	yes
115.61 (b)	Staff and agency reporting duties	
	Apart from reporting to designated supervisors or officials, does staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions?	yes

115.61 (c)	Staff and agency reporting duties	
	Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section?	yes
	Are medical and mental health practitioners required to inform inmates of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services?	yes
115.61 (d)	Staff and agency reporting duties	
	If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws?	yes
115.61 (e)	Staff and agency reporting duties	
	Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators?	yes
115.62 (a)	Agency protection duties	
	When the agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the inmate?	yes
115.63 (a)	Reporting to other confinement facilities	
	Upon receiving an allegation that an inmate was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred?	yes
115.63 (b)	Reporting to other confinement facilities	
	Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation?	yes
115.63 (c)	Reporting to other confinement facilities	
	Does the agency document that it has provided such notification?	yes
115.63 (d)	Reporting to other confinement facilities	
	Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards?	yes
115.64 (a)	Staff first responder duties	
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes

115.64 (b)	Staff first responder duties	
	If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff?	yes
115.65 (a)	Coordinated response	
	Has the facility developed a written institutional plan to coordinate actions among staff first responders, medical and mental health practitioners, investigators, and facility leadership taken in response to an incident of sexual abuse?	yes
115.66 (a)	Preservation of ability to protect inmates from contact with abusers	
	Are both the agency and any other governmental entities responsible for collective bargaining on the agency's behalf prohibited from entering into or renewing any collective bargaining agreement or other agreement that limit the agency's ability to remove alleged staff sexual abusers from contact with any inmates pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted?	yes
115.67 (a)	Agency protection against retaliation	
	Has the agency established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff?	yes
	Has the agency designated which staff members or departments are charged with monitoring retaliation?	yes
115.67 (b)	Agency protection against retaliation	
	Does the agency employ multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations?	yes

115.67 (c)	Agency protection against retaliation	
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of 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?	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 any inmate disciplinary reports?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate housing changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate program changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff?	yes
	Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need?	yes
115.67 (d)	Agency protection against retaliation	
	In the case of inmates, does such monitoring also include periodic status checks?	yes
115.67 (e)	Agency protection against retaliation	
	If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation?	yes
115.68 (a)	Post-allegation protective custody	
	Is any and all use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse subject to the requirements of § 115.43?	yes
115.71 (a)	Criminal and administrative agency investigations	
	When the agency conducts its own investigations into allegations 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).)	yes
	Does the agency conduct such investigations for all allegations, including third party and anonymous reports? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).)	yes

115.71 (b)	Criminal and administrative agency investigations	
	Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.34?	yes
115.71 (c)	Criminal and administrative agency investigations	
	Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data?	yes
	Do investigators interview alleged victims, suspected perpetrators, and witnesses?	yes
	Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator?	yes
115.71 (d)	Criminal and administrative agency investigations	
	When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution?	yes
115.71 (e)	Criminal and administrative agency investigations	
	Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmate or staff?	yes
	Does the agency investigate allegations of sexual abuse without requiring an inmate who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding?	yes
115.71 (f)	Criminal and administrative agency investigations	
	Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse?	yes
	Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings?	yes
115.71 (g)	Criminal and administrative agency investigations	
	Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible?	yes
115.71 (h)	Criminal and administrative agency investigations	
	Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?	yes
115.71 (i)	Criminal and administrative agency investigations	
	Does the agency retain all written reports referenced in 115.71(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years?	yes
115.71 (j)	Criminal and administrative agency investigations	
	Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation?	yes
115.71 (l)	Criminal and administrative agency investigations	
	When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? (N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.21(a).)	yes

115.72 (a)	Evidentiary standard for administrative investigations	
	Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated?	yes
115.73 (a)	Reporting to inmates	
	Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded?	yes
115.73 (b)	Reporting to inmates	
	If the agency did not conduct the investigation into an inmate's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency in order to inform the inmate? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.)	na
115.73 (c)	Reporting to inmates	
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer posted within the inmate's unit?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer employed at the facility?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been indicted on a charge related to sexual abuse in the facility?	yes
	Following an inmate's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility?	yes
115.73 (d)	Reporting to inmates	
	Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility?	yes
	Following an inmate's allegation that he or she has been sexually 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?	yes
115.73 (e)	Reporting to inmates	
	Does the agency document all such notifications or attempted notifications?	yes
115.76 (a)	Disciplinary sanctions for staff	
	Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies?	yes
115.76 (b)	Disciplinary sanctions for staff	
	Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse?	yes

115.76 (c)	Disciplinary sanctions for staff	
	Are disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories?	yes
115.76 (d)	Disciplinary sanctions for staff	
	Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Law enforcement agencies(unless the activity was clearly not criminal)?	yes
	Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Relevant licensing bodies?	yes
115.77 (a)	Corrective action for contractors and volunteers	
	Is any contractor or volunteer who engages in sexual abuse prohibited from contact with inmates?	yes
	Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies (unless the activity was clearly not criminal)?	yes
	Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies?	yes
115.77 (b)	Corrective action for contractors and volunteers	
	In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with inmates?	yes
115.78 (a)	Disciplinary sanctions for inmates	
	Following an administrative finding that an inmate engaged in inmate-on-inmate sexual abuse, or following a criminal finding of guilt for inmate-on-inmate sexual abuse, are inmates subject to disciplinary sanctions pursuant to a formal disciplinary process?	yes
115.78 (b)	Disciplinary sanctions for inmates	
	Are sanctions commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories?	yes
115.78 (c)	Disciplinary sanctions for inmates	
	When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether an inmate's mental disabilities or mental illness contributed to his or her behavior?	yes
115.78 (d)	Disciplinary sanctions for inmates	
	If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming and other benefits?	yes
115.78 (e)	Disciplinary sanctions for inmates	
	Does the agency discipline an inmate for sexual contact with staff only upon a finding that the staff member did not consent to such contact?	yes

115.78 (f)	Disciplinary sanctions for inmates	
	For the purpose of disciplinary action does a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation?	yes
115.78 (g)	Disciplinary sanctions for inmates	
	If the agency prohibits all sexual activity between inmates, does the agency always refrain from considering non-coercive sexual activity between inmates to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between inmates.)	yes
115.81 (a)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison).	yes
115.81 (b)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.)	yes
115.81 (c)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a jail inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a jail).	yes
115.81 (d)	Medical and mental health screenings; history of sexual abuse	
	Is any information related to sexual victimization or abusiveness that occurred in an institutional setting strictly limited to medical and mental health practitioners and other staff as necessary to inform treatment plans and security management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law?	yes
115.81 (e)	Medical and mental health screenings; history of sexual abuse	
	Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18?	yes
115.82 (a)	Access to emergency medical and mental health services	
	Do inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment?	yes
115.82 (b)	Access to emergency medical and mental health services	
	If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.62?	yes
	Do security staff first responders immediately notify the appropriate medical and mental health practitioners?	yes

115.82 (c)	Access to emergency medical and mental health services	
	Are inmate victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate?	yes
115.82 (d)	Access to emergency medical and mental health services	
	Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident?	yes
115.83 (a)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility?	yes
115.83 (b)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody?	yes
115.83 (c)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the facility provide such victims with medical and mental health services consistent with the community level of care?	yes
115.83 (d)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (e)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If pregnancy results from the conduct described in paragraph § 115.83(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (f)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate?	yes
115.83 (g)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident?	yes
115.83 (h)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If the facility is a prison, does it attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners? (NA if the facility is a jail.)	yes
115.86 (a)	Sexual abuse incident reviews	
	Does the facility conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded?	yes

115.86 (b)	Sexual abuse incident reviews	
	Does such review ordinarily occur within 30 days of the conclusion of the investigation?	yes
115.86 (c)	Sexual abuse incident reviews	
	Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners?	yes
115.86 (d)	Sexual abuse incident reviews	
	Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse?	yes
	Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility?	yes
	Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse?	yes
	Does the review team: Assess the adequacy of staffing levels in that area during different shifts?	yes
	Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff?	yes
	Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.86(d)(1)-(d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager?	yes
115.86 (e)	Sexual abuse incident reviews	
	Does the facility implement the recommendations for improvement, or document its reasons for not doing so?	yes
115.87 (a)	Data collection	
	Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions?	yes
115.87 (b)	Data collection	
	Does the agency aggregate the incident-based sexual abuse data at least annually?	yes
115.87 (c)	Data collection	
	Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice?	yes
115.87 (d)	Data collection	
	Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews?	yes
115.87 (e)	Data collection	
	Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates? (N/A if agency does not contract for the confinement of its inmates.)	na
115.87 (f)	Data collection	
	Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.)	yes

115.88 (a)	Data review for corrective action	
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas?	yes
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis?	yes
	Does the agency review data collected and aggregated pursuant 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?	yes
115.88 (b)	Data review for corrective action	
	Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse?	yes
115.88 (c)	Data review for corrective action	
	Is the agency's annual report approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means?	yes
115.88 (d)	Data review for corrective action	
	Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility?	yes
115.89 (a)	Data storage, publication, and destruction	
	Does the agency ensure that data collected pursuant to § 115.87 are securely retained?	yes
115.89 (b)	Data storage, publication, and destruction	
	Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means?	yes
115.89 (c)	Data storage, publication, and destruction	
	Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available?	yes
115.89 (d)	Data storage, publication, and destruction	
	Does the agency maintain sexual abuse data collected pursuant to § 115.87 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise?	yes
115.401 (a)	Frequency and scope of audits	
	During the prior three-year audit period, did the agency ensure that each facility operated by the agency, or by a private organization on behalf of the agency, was audited at least once? (Note: The response here is purely informational. A "no" response does not impact overall compliance with this standard.)	yes

115.401 (b)	Frequency and scope of audits	
	Is this the first year of the current audit cycle? (Note: a "no" response does not impact overall compliance with this standard.)	no
	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.)	yes
115.401 (h)	Frequency and scope of audits	
	Did the auditor have access to, and the ability to observe, all areas of the audited facility?	yes
115.401 (i)	Frequency and scope of audits	
	Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)?	yes
115.401 (m)	Frequency and scope of audits	
	Was the auditor permitted to conduct private interviews with inmates, residents, and detainees?	yes
115.401 (n)	Frequency and scope of audits	
	Were inmates permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel?	yes
115.403 (f)	Audit contents and findings	
	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