

**PREA AUDIT REPORT Interim Final
COMMUNITY CONFINEMENT FACILITIES**

Date of report: November 10, 2016

Auditor Information			
Auditor name: Joseph Rion			
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Date of facility visit: May 23-24, 2016			
Facility Information			
Facility name: Keeton Corrections, Inc., Jacksonville Community Services Center			
Facility physical address: 2020 Dahlia Road, Jacksonville, FL 32254			
Facility mailing address: <i>(if different from above)</i> same as above			
Facility telephone number: 904-783-7618			
The facility is:	<input type="checkbox"/> Federal	<input type="checkbox"/> State	<input type="checkbox"/> County
	<input type="checkbox"/> Military	<input type="checkbox"/> Municipal	<input checked="" type="checkbox"/> Private for profit
	<input type="checkbox"/> Private not for profit		
Facility type:	<input type="checkbox"/> Community treatment center	<input type="checkbox"/> Community-based confinement facility	
	<input checked="" type="checkbox"/> Halfway house	<input type="checkbox"/> Mental health facility	
	<input type="checkbox"/> Alcohol or drug rehabilitation center	<input type="checkbox"/> Other	
Name of facility's Chief Executive Officer: Clara Hathorn, Director			
Number of staff assigned to the facility in the last 12 months: 26			
Designed facility capacity: 70			
Current population of facility: 64			
Facility security levels/inmate custody levels: Minimum/Community			
Age range of the population: 25-70			
Name of PREA Compliance Manager:		Title: Facility Director	
Email address: Clara Hathorn		Telephone number: 904-783-7618	
Agency Information			
Name of agency: Keeton Corrections, Inc.			
Governing authority or parent agency: <i>(if applicable)</i> same as above			
Physical address: 213 Harrison Avenue, Panama City, FL 32401			
Mailing address: <i>(if different from above)</i> same as above			
Telephone number: 850-747-8776			
Agency Chief Executive Officer			
Name: Kimberly Spence		Title: President	
Email address: ceokks@keetoncorrections.com		Telephone number: 850-747-8776	
Agency-Wide PREA Coordinator			
Name: Terracina Davis		Title: Quality Assurance Manager	
Email address: kciqa@keetoncorrections.com		Telephone number: 850-747-8776	

AUDIT FINDINGS

NARRATIVE

The on-site portion of the Prison Rape Elimination Act (PREA) audit of the Jacksonville Community Services Center was conducted on May 23-24, 2016. The facility is also commonly known as Keeton Corrections, Inc. at Jacksonville. The Jacksonville Community Services Center is owned and operated by Keeton Corrections, Inc. For purposes of the audit, "agency" refers to Keeton Corrections, Inc. and "facility" refers to the Jacksonville Community Services Center. The facility is considered a community confinement facility. The audit was conducted by Joseph Rion, a United States Department of Justice certified auditor. Mr. Rion is certified to conduct audits of adult prisons, jails, lock-ups, and community confinement facilities.

Prior to the on-site portion of the audit, materials and data provided by the facility were reviewed. Materials reviewed included applicable agency policies, applicable BOP policies, facility statement of work (contract with federal customer), organizational charts, facility staffing pattern, facility employee roster, resident education materials, staff training curriculum, facility mission statement, the intake risk assessment screening form, the facility floor plan diagram, and the completed pre-audit questionnaire. The on-site portion of the audit provided an opportunity for the auditor to verify the information contained in the pre-audit questionnaire.

During the on-site portion of the audit, a variety of techniques were utilized to assess the compliance levels of the standards. Although a thorough review of applicable policies and procedures was an essential component of the audit process, much of the focus of the on-site portion of the audit was to verify the practices mandated by the standards. To the extent possible, each component of each standard was verified by multiple sources. A variety of verification methods were utilized toward this end. On-site random document reviews were conducted as one means of practice verification. Three resident case files were randomly selected by the auditor to ensure residents had received PREA educational materials during the intake process. Each resident file contained the appropriate documentation. The population of the facility was 64 on day one of the audit. The selection of three resident case files represented a sample size of 5% of the facility population. The auditor viewed the sample size to be large enough to be representative of the population from which the files were drawn. The size of the sample coupled with a random method of selection were deemed to be sufficient to enable the auditor to draw reasonably valid inferences which could be extrapolated from the cases sampled to the entire population from which the sample files were drawn. The facility census roster was the source document from which the residents were selected.

Three resident case files were also randomly reviewed to verify that intake screening forms were being completed timely and consistently. The three resident case files were randomly selected by the auditor from the census roster. Each of the three files contained the appropriate documentation. The sample size of three resident files represented 5% of the resident population and was considered to be a large enough sample that information contained within the files could be extrapolated to the population from which they were drawn. Additionally, three staff personnel files were randomly selected from the staff roster to ensure staff had completed the required training in PREA-related topics. Each selected staff personnel file contained the appropriate documentation that the required training had been received. The sample size of three staff personnel files represented 12% of the total number of employees. In the opinion of the auditor, the sample size of three staff personnel files was sufficiently large that the information within the files could be validly extrapolated to the entire population from which they were drawn.

Other verification methods employed by the auditor included random and targeted interviews of both staff and residents utilizing pre-established interview protocols and the on-site observations of the auditor.

A brief introductory meeting was conducted at the facility during the morning of May 23, 2016. Attendees included Joseph Rion, auditor; Byron Jasis, Assistant Director, Keeton Corrections-Paducah; Clara Hathorn, Facility Director, Jacksonville Community Services Center; and Terracina Davis, Quality Assurance Manager, Keeton Corrections, Inc. Mr. Jasis was heavily involved in drafting and implementing Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA. This policy sets forth agency-level PREA guidelines and serves as one of the primary mechanisms for the implementation of the PREA standards. Mr. Jasis assisted facility staff in preparing for the PREA audit and was available to answer questions concerning the PREA policy and its implementation or other related operational issues. Ms. Davis was available to respond to agency-level questions concerning PREA and serve as a liaison to the corporate office. During the meeting, the audit schedule was reviewed and the auditor presented a brief overview of the audit process including the applicable time frames for the compilation, review, and submission of the interim and final reports.

Ms. Hathorn and Mr. Jasis escorted the auditor on a tour of the facility. Inside areas visited included the male dormitory, the female dormitory, the multi-purpose room, the administrative office area, the monitor station, and the lobby. Outside areas visited included the parking area and an outside storage building. During the course of the tour, the auditor had the opportunity to ask questions and informally interact with the residents and staff encountered during the course of the tour. The auditor observed the audit notice poster containing the auditor contact information had been prominently posted in various parts of the facility with copies having been posted in both dormitories, the lobby area, the multi-purpose room, and inside the monitor station. The poster had been provided to the facility approximately seven weeks prior to the audit date and was posted within the required six week time frame. The auditor did not receive any pre-audit correspondence as a result of the posted notice. Both dormitories utilized open-bay barracks style bed configurations which provided each resident with an assigned bed and storage locker within a single open dormitory room. The restroom and shower areas were adjacent to the main living areas but only the entry way to these areas were in view from the main living area. The showers were located in single stalls which were equipped with privacy curtains. Additionally, the toilet areas were separated by privacy curtains. The facility maintains a PREA hotline which may be used to report abuse or harassment to an outside entity not affiliated with the agency. Educational posters

containing the zero tolerance policy and the PREA hotline phone number were posted throughout the facility in both dormitories, the multi-purpose room, and the lobby.

A significant portion of the on-site portion of the audit was spent conducting formal interviews with facility staff and residents. A total of nine staff members were interviewed. The staff interviews included seven facility staff representing approximately 33% of the staff complement. Two agency-level staff members were interviewed. Mr. Jasis provided information regarding policy and operational issues on an on-going basis. Facility staff included representatives from each shift (8:00 a.m. to 4:00 p.m., 4:00 p.m. to 12:00 a.m., and 12:00 a.m. to 8:00 a.m.). At the facility level, staff responsible for first-responder duties, general supervision of residents, intake processing, and counseling services were included. Random staff chosen for interviews were selected from the group of on-duty staff as reflected on the staff roster. The auditor utilized a method of random selection based on the beginning letter of the staff member's last name. There were two agency-level staff interviewed. The Vice President of Operations was interviewed via telephone. The agency-level PREA Coordinator was present at the facility and was interviewed on-site. The facility does not utilize medical staff, contractors, or volunteers as service providers so representatives from these groups were not included in the interview process. There were six residents interviewed representing approximately 10% of the population. The resident interview group included four male residents and two female residents. The male residents chosen for interviews were selected by the auditor from the census roster. The auditor utilized a method of random selection based on the beginning letter of the resident's last name or the beginning letter of the resident's first name. There were only two female residents on-site at the time of the audit and both were interviewed.

DESCRIPTION OF FACILITY CHARACTERISTICS

Keeton Corrections, Inc. is a private for profit mid-sized provider of residential correctional services based in Panama City, Florida. The company operates residential facilities in Florida, Alabama, and Kentucky. The Jacksonville Community Services Center is owned and operated by Keeton Corrections, Inc. The stated mission of Keeton Corrections, Inc. is "to assist individuals in any phase of the correctional system in finding, and maintaining suitable employment, resolving personal difficulties, defining and/or establishing healthy peer and family relationships, and planning for a successful reintegration into society." The mission goals are "to operate clean and safe facilities that provide a high degree of accountability for the safety of our staff, our residents and our community; to maintain a leadership role in the field of private community corrections programs; to continually update and introduce new technological advances in the field of community corrections management; to find innovative solutions for quality enhancement of programs and services provided to contract sources; to seek ancillary contracts at all facility sites which can supplement our revenue-producing potential; to pursue new facility contracts which meet our size and geographic requirements for quality and profitability; to ensure that all facilities, programs, services, and personnel meet or exceed community correctional standards; and to forge strong relationships with local law enforcement and community groups in each of our host communities."

The Jacksonville Community Services Center provides residential halfway house services pursuant to a contractual arrangement with the Federal Bureau of Prisons (BOP). The facility is designated as a residential re-entry center that houses low-risk, short-term offenders. The facility serves as a transitional step down facility for residents who have been received in transfer from a BOP facility and are nearing the end of their sentence. The facility also houses residents who have been granted probation or are otherwise under the supervision of the federal courts. These inmates are housed at the facility as a condition of supervision. All facility residents are classified as minimum custody offenders suitable for placement in community level custody. Most residents housed at the facility have six months or less to serve. A variety of programming opportunities are available with an emphasis on employment skills and placement. Residents in need of specialized programming such as substance abuse counseling can participate in off-site programs as deemed appropriate for their needs. Some residents will transition from placement at the facility to home incarceration where a variety of monitoring techniques such as telephone verification and the use of electronic monitoring via ankle bracelets are utilized. There are no industry programs in place at the facility.

The total facility design capacity is 70 which includes 60 male beds and 10 female beds. On day one of the audit, the population census count was 64. The population was comprised of 60 male residents and four female residents. The average daily population for the 12 months preceding the audit was 54 (does not include residents on home incarceration who are also carried on the facility roster).

Pedestrian traffic entering and exiting the facility is controlled by staff assigned to the monitor station. The monitor station is located off the lobby area which serves as the entry way into the facility. Pedestrian traffic is recorded by a sign-in and sign-out log maintained at the station. The monitoring station serves as the central control center for the facility.

The physical plant of the facility is comprised of one main building which contains one male and one female dormitory. The dormitories utilize an open-bay barracks style bed configuration. Each dormitory contains at least one emergency egress door within the living quarters. These doors are equipped with an alarm system which will alert in the monitoring station when the door is opened. The staffing pattern of the facility requires a minimum of one male staff member to be on duty at all times with each dormitory being supervised by a staff member of the same gender as the residents assigned to the dormitory. The assigned staff members are titled as "monitors" and are stationed inside the dormitories in order to provide direct supervision of the residents within their assigned housing areas. Anytime a staff member of the opposite gender enters either of the dormitories a "knock and announce" system is utilized. Additionally, opposite gender staff will announce their presence prior to entering the restroom/shower areas. The auditor observed these systems in use during the course of the facility tour. The physical plant also includes a multi-purpose room utilized for visitation, group meetings and leisure time activities, an administrative office section, the monitoring station, a lobby area, an outdoor parking area, and an outdoor storage building. The facility has eight surveillance cameras which may be viewed from the monitor station. The cameras are utilized to provide on-going surveillance of key areas of the facility such as the multi-purpose room, hallways, lobby, and the outside of the facility. Cameras are not utilized in the dormitory or restroom/shower areas due to the expectation of privacy in these areas.

The facility does not employ medical staff. Emergency medical services are available by means of the local Emergency Medical Services (EMS). Residents requiring emergency medical treatment may be transported to one of the local hospitals. Residents placed at the facility must meet designated medical standards to qualify for placement at the facility. The facility has an informal agreement with the Jacksonville Sheriff's Office to investigate allegations of sexual abuse.

SUMMARY OF AUDIT FINDINGS

The facility reported that in the past year there were zero allegations of sexual abuse, sexual harassment, or retaliation for reporting instances of sexual abuse or sexual harassment. Accordingly, there were no investigations relating to sexual abuse, sexual harassment, or retaliation for reporting instances of sexual abuse or sexual harassment. All of the residents interviewed were aware of their rights to be free from sexual abuse, sexual harassment, and retaliation. The majority were familiar with the various reporting mechanisms and available services. All of the staff that were interviewed were familiar with the zero tolerance policies relating to sexual abuse, sexual harassment, and retaliation and knew their rights and responsibilities in regard to the policies. The staff were well versed in their duties and obligations regarding maintaining zero tolerance for sexual abuse, sexual harassment and retaliation for reporting sexual abuse and harassment. It was apparent to the auditor that both the facility and agency had put a substantial amount of resources into implementing the PREA standards. Although there were a number of standards that were non-compliant at the time of the audit, in most cases there had been significant progress made toward full compliance with the standard. In many cases, the non-compliance finding was based on the failure to demonstrate compliance with only one or two components of the standard. In these cases, the corrective action required to bring the standard into full compliance may be minimal. In general, the facility has made great strides toward the implementation of the PREA standards.

November 10, 2016 Update Since the Audit: Corrective Action Taken by the Jacksonville Community Services Center to Achieve Full Compliance:

The Interim Compliance Report reflected that there were 18 standards that were in non-compliance at the conclusion of the audit. The on-site portion of the audit was conducted on May 23-24, 2016 triggering a 180 day corrective action period beginning on June 24, 2016. The auditor recommended a corrective action plan for the facility and the agency administrative staff agreed. Corrective action efforts were initiated upon receipt of the interim report on July 5, 2016. Documentation demonstrating compliance with the corrective action plan were submitted to the auditor as each corrective action item was completed. All requested documentation had been submitted to the auditor and reviewed by November 9, 2016. On November 9, 2016 the auditor determined that the Jacksonville Community Services Center had fully implemented the corrective action plan and had demonstrated compliance with 100% of the applicable standards.

Compliance Tally Following the On-site Audit:

Number of standards exceeded: 0

Number of standards met: 18

Number of standards not met: 18

Number of standards not applicable: 3

Compliance Tally After Completion of Corrective Action:

Number of standards exceeded: 0

Number of standards met: 36

Number of standards not met: 0

Number of standards not applicable: 3

Standard 115.211 Zero tolerance of sexual abuse and sexual harassment; PREA Coordinator

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

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.

This standard requires the promulgation of a policy of zero tolerance for sexual abuse and sexual harassment and the appointment of an agency-level PREA coordinator. The Jacksonville Community Services Center has a zero tolerance of sexual abuse and sexual harassment which is outlined in Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA. The policy is comprehensive in scope and addresses key policy components such as definitions, prohibited conduct, staff training, resident education, resident risk assessment and monitoring, resident and staff reporting procedures, retaliation, investigations, first responder duties, and incident review procedures.

Keeton Corrections, Inc. has an assigned agency-level PREA Coordinator. Ms. Terracina Davis, Quality Assurance Manager for Keeton Corrections, Inc. serves as the agency PREA Coordinator. In this capacity Ms. Davis is responsible for coordinating the PREA efforts throughout all of the facilities owned and operated by Keeton Corrections, Inc. Specific duties include assisting in the development and implementation of PREA policies, conducting staff training in PREA issues, and providing technical assistance and guidance to field staff regarding PREA issues. Ms. Davis reports to Karen Hall, Vice President/Operations. Ms. Davis was present at the facility during the on-site portion of the audit. Ms. Davis indicated she has sufficient time and authority to develop, implement, and oversee the agency efforts toward PREA compliance. Interviews and discussion with administrative staff at both the agency and facility level reaffirmed that successful implementation of the PREA standards is a top-priority goal of Keeton Corrections, Inc. Based on interviews and discussions with administrative staff members and a review of the applicable policies and practices, it is apparent that the facility has put a great deal of effort into developing and implementing the PREA standards.

Policies, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 1, at pp. 1-12.
- (2) Jacksonville Statement of Work, pp. 20-21 (contractor shall comply with PREA standards).
- (3) Keeton Corrections Organizational Chart-2016.
- (4) Auditor Notes- Interview with Terracina Davis, Quality Assurance Manager (agency-level) & Agency PREA Coordinator.
- (5) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.
- (6) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (7) Pre-Audit Questionnaire, Jacksonville Community Services Center.

Standard 115.212 Contracting with other entities for the confinement of residents

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

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.

This standard addresses contracting with other entities for the confinement of residents. This standard is not applicable to the Jacksonville Community Services Center. The Jacksonville Community Services Center is a private, contracted residential service provider for the U.S. Bureau of Prisons. It does not subcontract with any other entity to house or confine any of its residents. This was confirmed through interviews with administrative staff.

Policies, Materials, Interviews, and Other Evidence Reviewed:

- (1) Jacksonville-Statement of Work, p. 7 (service contract with the BOP limits the contractor's use of subcontractors to fulfill the terms of the contract).
- (2) Auditor Notes-Interview with Taracina Davis, Agency PREA Coordinator.
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.

Standard 115.213 Supervision and monitoring

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

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.

This standard requires the development of a staffing plan that considers the physical layout of the facility, the composition of the resident population, the prevalence of substantiated and unsubstantiated incidents of sexual abuse, and any other relevant factors. The staffing plan must be reviewed as needed or at least least annually. Deviations from the staffing plan must be documented. When the staffing pattern is reviewed the facility must assess, determine, and document whether adjustments are needed to the staffing plan, the prevailing staffing patterns, the deployment of video monitoring or other monitoring techniques, and the resources the facility has available to commit to ensure adequate staffing levels. Under the terms of the contract with the Federal Bureau of Prisons, the facility will maintain a minimum of two staff members (one male and one female) on-site on a 24 hour per day, seven day per week basis. The entire contract is reviewed by facility, agency and Federal Bureau of Prisons staff at least annually or as the need arises. Additionally, staff from the Federal Bureau of Prisons conduct a minimum of three scheduled and one unscheduled on-site monitoring visits per year. The staffing pattern is one of the components that is reviewed during each monitoring visit. The auditor reviewed the findings from the most recent BOP monitoring visit which indicated that at the time of the visit the facility was compliant with the staffing plan. The facility currently maintains eight surveillance cameras which cover all areas of the facility except the dormitory living areas and the adjacent restroom/shower areas. The deployment of cameras and other appropriate technology is reviewed at least annually as part of an annual review of the IT systems conducted at the agency level. This was confirmed during interviews and discussion with upper level administrative staff at both the facility and agency level. Although there is ample evidence the staffing plan is reviewed frequently, there is no documentation that the criteria listed in (a), (1)-(4) of Standard 115.213 were considered when the plan was developed. Additionally, interviews and discussions with facility-level and agency-level administrative staff confirmed that there was no formal mechanism under which the staffing pattern is annually reviewed taking into account the factors listed in (c), (1)-(4) of Standard 115.213. A review of work rosters for the 30 days preceding the audit indicated there were only two instances in which there was a deviation in the staffing pattern based on not having both a male and female staff member assigned to the shift. This demonstrates a 98% compliance rate for the data set reviewed. In both cases, the deviation from the staffing pattern was the result of last minute call-ins by the regularly assigned staff. This information was documented on the shift rosters. The auditor reviewed rosters for the most recent 30 days preceding the audit so consecutive cases versus random samples could be examined to detect the presence or absence of any emerging trends. This also provided insight into the most recent available data regarding adherence with the staffing pattern. The facility makes on-going efforts to recruit and retain female staff members in an attempt to resolve this issue. This was confirmed during interviews and discussions with facility and agency-level administrative staff.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Facility Staffing Pattern.
- (2) Sample Work Roster.

- (3) Work Roster (including documentation of deviation from the staffing pattern).
- (4) Physical Plant Schematic Diagram.
- (5) Jacksonville Statement of Work, p. 1 (demonstrates annual contract reviews), p.10 (staffing pattern requirements).
- (6) Jacksonville Interim Monitoring Report, April 13-15, 2016; p. 2.
- (7) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (8) Auditor Notes-Interview with Karen Hall, Vice President/Operations.
- (9) Auditor Notes-Interview with Terracina Davis, Quality Assurance Manager (agency level) and Agency PREA Coordinator.

Corrective Action Required:

- (1) Document that the existing staffing plan has been reviewed based on the factors listed in (a), (1)-(4) of Standard 115.213.
- (2) Revise the PREA policy to add language that the staffing plan shall be reviewed as needed but at least annually and the review shall consider the factors listed in (c), (1)-(4) of Standard 115.213.
- (3) Train staff on the revised policy and document the training.
- (4) Document the annual reviews in some retrievable form such as generation of a report or keeping minutes of the review meeting.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task-review the existing staffing plan based on the factors listed in Section (a), Items (1)-(4) of Standard 115.213 and document the review in a retrievable manner.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On September 29, 2016 the auditor received a memorandum from Terracina Davis dated September 29, 2016. The memorandum documented that the staffing plan had been reviewed in accordance with Section (a) items (1)-(4) of Standard 115.113. The facility is now in compliance with this component of the standard and the standard in general.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis documenting the review of the staffing plan dated September 29, 2016.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to add language that the staffing plan shall be reviewed as needed but at least annually and the review shall consider the factors listed in (c), (1)-(4) of Standard 115.213.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2, Personnel. The policy contained language requiring the staffing plan to be reviewed at least annually taking into consideration the physical layout of the facility, the composition of the resident population, the prevalence of substantiated and unsubstantiated incidents of sexual abuse and other relevant factors. The facility is now compliant with this component of the standard and the standard in general.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 2, Personnel (revised) at page 1.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Facility Director.
- (B) Task-Train staff on the revised policies and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that all staff had been trained in the revisions to Keeton Corrections Policy and Procedure 2, Personnel. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that staff had been trained on the revised PREA policy.

(4) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Facility Director.

(B) Task-Document the annual reviews in a retrievable form such as a report or minutes .

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On September 29, 2016 the auditor reviewed a copy of a memorandum from Terracina Davis dated September 29, 2016 which verified that the staffing pattern had been reviewed in accordance with the requirements outlined in (a), (1)-(4) of Standard 115.213. This information has been documented in memorandum form. The facility is now in compliance with this component of the standard and the standard in general.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated September 29, 2016 documenting that the staffing plan had been reviewed in accordance with (a), (1)-(4) of Standard 115.213.

Standard 115.215 Limits to cross-gender viewing and searches

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

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.

This standard prohibits cross-gender pat-searches, strip searches, and visual body cavity searches except in exigent circumstances or when performed by medical practitioners. Facilities may not restrict female residents access to regularly available programming or other outside opportunities to comply with the standard. Facilities shall document all cross-gender strip searches, visual body cavity searches, and pat-down searches of female residents conducted by male staff. Residents shall be permitted an opportunity 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. Transgender or intersex residents shall not be subjected to a physical examination of their anatomy for the sole purpose of determining the resident's genital status. Security staff shall be trained in appropriate methods of conducting cross-gender pat-down searches and how to search transgender and intersex residents. Under the agency search policy, pat-down searches must be conducted by staff members of the same gender as the resident being searched unless exigent circumstances exist. Body cavity searches are not permitted on facility grounds. The search policy does not specifically address the guidelines for conducting resident strip searches. During the course of interviews and discussions with administrative staff, it was explained that the current practice was to not conduct resident strip searches. There are plans to add language to this effect to the search policy. The facility indicated that during the preceding 12 month period there were no instances in which cross-gender strip searches, visual body cavity searches or male to female pat-searches occurred. Administrative staff indicated that should any searches of this nature occur in the future, they would be documented. The PREA policy requires that residents be permitted to shower, perform bodily functions and change clothing without being viewed by staff of the opposite gender unless exigent circumstances exist. The auditor observed that measures to ensure the privacy of residents were in place. The cameras were not positioned in a manner to view residents within the dormitories. Privacy curtains were in place in the shower/restroom areas. The staffing plan requires that one male and one female staff be on duty at all times. In the event there are not both a male and female staff on duty, a hand-held metal detector may be utilized which does not require the staff member to make physical contact with the resident. Staff are prohibited from physically examining a transgender or

intersex resident for the sole purpose of determining the resident's genital status.

Residents are supervised within the dormitories by staff of the same gender. In the event a staff member of the opposite gender enters the living area or the restroom/shower area, a "knock and announce system" is utilized. Although the "knock and announce" system was in place and working effectively, there was no provision in the PREA policy that this system was a mandatory requirement. The surveillance cameras are not positioned to view the dormitory living areas or the restroom/shower areas.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, (E.), (1.), p. 6.
- (2) Keeton Corrections Policy and Procedure 9, Searches and Contraband, (A.), (1)-(4), pp. 1-2.
- (2) Jacksonville Statement of Work, pp. 68-69 (contractor required to adopt search policy and train staff in policy provisions and how to conduct searches).
- (3) Auditor Observation-Camera Placement.
- (4) Auditor Observation-"knock and announce" system during tour.
- (5) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (6) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.
- (7) Auditor Random Staff Interviews (confirming search practices and knock and announce system, 7 of 7 facility staff confirmed).
- (8) Auditor Random Resident Interviews (confirming search practices and "knock and announce" system, 6 of 6 residents confirmed).

Corrective Action Required:

- (1) Add specific policy language to Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA, that includes the requirement that the "knock and announce" procedure be followed when staff of the opposite gender enter the dormitory or restroom/shower areas of residents of the opposite gender.
- (2) Add policy language to Keeton Corrections Policy and Procedure 9, Searches and Contraband, that addresses resident strip searches.
- (3) Conduct and document staff training on the revised policies.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task-Add specific policy language to the PREA policy that requires staff to follow the "knock and announce" system when entering the living quarters of residents of the opposite gender.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 18, 2016 I reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language requiring staff to follow the "knock and announce" system when they enter the living quarters of residents of the opposite gender was added to the policy. The facility is now in compliance with this component of the standard and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 4.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task-Add policy language to Keeton Corrections Policy and Procedure 9, Searches and Contraband, that addresses resident strip searches.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 9.1, Searches and Contraband. Language has been added to the policy addressing strip searches and body cavity searches. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 9.1, Searches and Contraband (revised) at page 1.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task-conduct and document staff training in the revised policies.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.216 Residents with disabilities and residents who are limited English proficient

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

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.

This standard requires that residents with physical, intellectual, psychiatric or speech disabilities have equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. The facility reports that there have been no cases within the past year in which a resident was received with physical, intellectual or speech disabilities. In the event a resident with special needs of this type is received, the facility is authorized to take corrective measures to ensure that the resident can effectively communicate with staff. Such measures include but are not limited to purchasing special equipment such as a hearing aide or telephone amplification device. In interviews and discussions with administrative staff, it was explained that corrective measures would be individualized based on the specific needs of the resident. The PREA pamphlets are written in both English and Spanish. In the event a resident has language proficiency issues in another language, the facility has the ability to enlist the services of an interpreter if needed. During interviews with administrative staff it was explained that there are a number of providers in the local area that can serve as interpreters. Specifically, there are designated contract staff within the local court system who provide these services who could also be utilized by the facility. It is recommended that the facility maintain a list of service providers who would be willing to provide interpreter services should the need arise. Other residents will not be utilized for this purpose except in circumstances where extended delays would compromise the safety of the resident. This was confirmed during the course of interviews and discussions with administrative staff.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, Item (3.), at page 6
- (2) Jacksonville Satement of Work, pp. 8-9 (contractor will provide for translation of facility rules, emergency diagrams and other related documents into a foreign language as required by the composition of the offender population).
- (3) PREA Handout Materials-Spanish Version.
- (4) PREA Posters-English Version.
- (5) Auditor Notes-Interview with Karen Hall, Vice President/Operations.

(6) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Standard 115.217 Hiring and promotion decisions

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

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.

This standard requires that the agency not hire or promote to a position requiring contact with residents, anyone who has engaged in specified types of prohibited conduct. The specific prohibited acts are outlined in (a), (1)-(3) of Standard 115.217. The hiring process for facility employees includes an initial interview at the facility level. There is no provision within the PREA policy requiring an inquiry into an applicant's prior history of being engaged in sexual abuse within a confinement facility; having been convicted of engaging or attempting to engage in sexual activity in the community by force, threat of force, or lack of consent; or having been civilly or administratively adjudicated of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent. During the course of interviews and discussions with administrative staff, it was determined that the selection process for employees to include volunteers and contractors does take into account past employee conduct and criminal history, but not in the specific form that is required by the standard. The Keeton Corrections employment application does make an inquiry which captures any prior criminal convictions or civil adjudications but it does not address administrative adjudications as required by the standard. The applicant interview questionnaire contains a section regarding a discussion of ethical issues generally but it does not address the applicant's history of sexual abuse. Under the current employee evaluation system, employees do not submit written self-evaluations so the component of the standard requiring a statement as to past misconduct within a written self-evaluation does not apply to facility staff. The Facility Director indicated that it would be the practice to share information regarding substantiated allegations of sexual abuse or sexual harassment against a former employee upon receiving a request from a current prospective institutional employer. This is not provided for in the PREA policy or a related personnel policy. Pursuant to the contract with the Federal Bureau of Prisons, each applicant recommended for hire must successfully complete a background investigation which includes a criminal history records check by the National Criminal Information Center/National Law Enforcement Telecommunication System (NCIC/NLETS). Employees who are charged criminally while employed by the agency are required to report this to the facility. This system negates the necessity of conducting criminal history records checks of current employees every five years.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA
- (2) Jacksonville-Statement of Work, pp. 14-15 (background check required for employees working with BOP offenders)
- (3) Keeton Corrections Employee Orientation Packet-Standards of Conduct, Item 17 (requirement of current employees to report new arrests or convictions or suspension or revocation of drivers license)
- (4) Auditor Review-BOP Form-REQUEST FOR CONTRACT STAFF BACKGROUND INVESTIGATION
- (5) Auditor Review-Sample-Background Investigation Clearance Letter
- (6) Auditor Review-Sample-Employee Interview Form
- (7) Auditor Notes, Interview with Clara Hathorn, Facility Director
- (8) Auditor Notes, Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah

Corrective Action Required:

- (1.) Incorporate language into the PREA policy or an applicable personnel policy that requires inquiry into an applicant's history of engaging in sexual abuse within a confinement facility; and conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent
- (2.) Add specific questions to the Keeton Corrections application for employment and the applicant interview form inquiring into an applicant's history of engaging in sexual misconduct within a confinement facility and the applicant's conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent
- (3.) Incorporate language into the PREA policy or an applicable personnel policy, that the agency will not hire, promote, or enlist the services of a contractor who has a history of engaging in sexual abuse within a confinement facility or who was convicted, civilly

adjudicated, or administratively adjudicated; of engaging in or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent

- (4.) Incorporate language into the PREA policy or an applicable personnel policy, that material omissions or false statements concerning an applicant's history of sexual abuse shall be grounds for termination
- (5.) Incorporate language into the PREA policy or an applicable personnel policy, that the facility will share information regarding substantiated allegations against former employees upon inquiry from a current prospective institutional employer
- (6.) Conduct and document staff training on the revised policies

(1) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Incorporate language into the PREA policy or an applicable personnel policy that requires inquiry into an applicant's history of engaging in sexual abuse within a confinement facility; and conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. The revised policy includes language requiring inquiry into an applicant's history of engaging in sexual abuse within a confinement facility; and conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at pp.2-3.

(2) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Add language to the Keeton Corrections application for employment that requires inquiry into an applicant's history of engaging in sexual abuse within a confinement facility; and conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed the Keeton Corrections application for employment. Upon review it was determined that language had been added to the Keeton Corrections application for employment requiring inquiry into an applicant's history of engaging in sexual abuse within a confinement facility; and conviction, civil adjudication, or administrative adjudication of engaging or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent. The facility is now in compliance with this component of the standard.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Application for Employment (revised) at page 1.

(3) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Incorporate language into the PREA policy or an applicable personnel policy, that the agency will not hire, promote, or enlist the services of a contractor who has a history of engaging in sexual abuse within a confinement facility or who was convicted, civilly adjudicated, or administratively adjudicated; of engaging in or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. The revised policy included language that the agency will not hire, promote, or enlist the services of a contractor who has a history of engaging in sexual abuse within a confinement facility or who was convicted, civilly adjudicated, or administratively adjudicated; of engaging in or attempting to engage in sexual activity within the community by force, threat of force, or lack of consent. The facility is now in compliance with this component of the standard.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at page 2.

(4) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Incorporate language into the PREA policy or an applicable personnel policy, that material omissions or false statements concerning an applicants history of sexual abuse shall be grounds for termination.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. Language has been added to the policy that material omissions or false statements concerning an applicants history of sexual abuse shall be grounds for termination. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at page 3.

(5) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Incorporate language into the PREA policy or an applicable personnel policy, that the facility will share information regarding substantiated allegations against former employees upon inquiry from a current prospective institutional employer.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. Upon review it was determined that the revised policy contained language that the facility will share information regarding substantiated allegations against former employees upon inquiry from a current prospective institutional employer. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at p. 3.

(6) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Conduct and document staff training on the revised policies .

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.218 Upgrades to facilities and technologies

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

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.

This standard requires when designing or acquiring a new facility or when contemplating a substantial expansion or modification to an existing facility, the effect of the proposed design, acquisition, expansion, or modification on the agency's ability to protect residents from sexual abuse is considered. Additionally, when monitoring technology is installed or upgraded, the use of technology to enhance the agency's ability to protect residents from sexual abuse is considered. During the course of the interview with Karen Hall, Vice President of Operations, it was confirmed that the above-listed factors were considered when new facilities were designed or acquired or when substantial modifications were made to existing facilities.

Policy, Matrials, Interviews, and Other Evidence Reviewed:

- (1) Physical Plant Schematic Diagram.
- (2) Auditor Observation-Camera Placement.
- (3) Auditor Notes-Interview with Karen Hall, Vice President/Operations.

Standard 115.221 Evidence protocol and forensic medical examinations

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

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.

This standard requires that facilities conducting in-house investigations follow a uniform evidence protocol which conforms with specific guidelines outlined in sections (a)-(b) of Standard 115.221. Additionally, the facility shall provide access to forensic medical examinations and related follow-up services such as victim advocacy. The type of services that must be provided are listed in sections (c)-(d) of the standard. Based on interviews with administrative staff it was determined that the facility does have a number of processes in place that are designed to comply with the evidence protocol and provide for forensic examinations and victim advocacy services in the event an incident requiring these services should occur. The facility refers allegations of sexual abuse to the Jacksonville Sheriff's Office for investigation. There was no formal Memorandum of Understanding (MOU) on file at the facility outlining the investigative services that would be provided by the Jacksonville Sheriff's Office. The facility staff is responsible for the initial response which includes separation of the victim and perpetrator, ensuring medical treatment is rendered as needed, securing the scene, and preserving physical evidence. The initial steps taken at the facility level are in conformity with the general standards for ensuring the safety of the affected residents and preserving potential evidence. The facility has an informal agreement with the Women's Center of Jacksonville (WCJ) to provide services to

residents of the facility. Services include a confidential 24 hour hotline which residents may use to report incidents of sexual abuse (includes 3rd party reporting), providing access to a Sexual Assault Forensic Exam (SAFE) program location, victims advocate services including accompaniment during examinations and interviews, crisis intervention counseling, referrals to medical/mental health service providers, and providing emotional support. Although at the time of the audit there was no formal Memorandum of Understanding (MOU) in place between the facility and WCJ, the facility produced an email from the WJC Director outlining the services that would be provided to the facility and indicating a willingness to enter into a formal Memorandum of Understanding (MOU) with the facility. At the time of the audit there were plans for the Facility Director to meet with the WCJ Director to discuss and draft a formal MOU. Although the facility has taken substantial steps toward compliance with this standard, signed MOU's with the WCJ and the Jacksonville Sheriff's Office outlining the services provided to the facility are needed. These agreements should contain a certification statement that the agencies will adhere to the DOJ National Protocol for Sexual Assault Medical Forensic Examinations. It is noted that the agency cannot control the investigative protocols utilized by other allied agencies. Based on this, if certification statements regarding the forensic examination protocols cannot be documented within the MOU with each allied agency, the facility should document that the allied agencies have been made aware of the protocols. This can be accomplished by regular communications channels such as by letter or email. The facility indicated there were no incidents during the 12 months preceding the audit that required forensic examinations or the use of follow-up services such as victim advocate services. During interviews and discussions with administrative staff, it was determined that the facility would comply with the requirements of the standard if an incident requiring the utilization of these services actually occurred.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, at pp. 8-9.
- (2) Email dated May 23, 2016 from WCJ Director to Facility Director Clara Hathorn Re: Services Provided and MOU (services include coordination of forensic examinations and victim advocacy services).
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Corrective Action Required:

- (1) Obtain signed MOU with Jacksonville Sheriff's Office outlining the investigative services that will be provided to the facility.
- (2) Obtain a signed MOU from the Womens Center of Jacksonville (WCJ) outlining the services that will be provided to the facility.
- (3) Obtain documentation from the Jacksonville Sheriff's Office and the WCJ that they will abide by the DOJ National Protocol for Sexual Assault Medical Forensic Examinations or document that these allied agencies have been made aware of the protocol.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Obtain signed MOU with Jacksonville Sheriff's Office outlining the investigative services that will be provided to the facility.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The facility maintains an informal agreement with the Jacksonville Sheriff's Office under which the sheriff's office will investigate incidents of sexual misconduct that rises to the level of criminal conduct that occur at the facility. The facility attempted to enter into a Memorandum of Understanding (MOU) with the sheriff's office but was unsuccessful. It was the view of the representative of the sheriff's office that a MOU was unnecessary. The facility was able to document its efforts to obtain a MOU. The representative from the sheriff's office cited a Florida statute authorizing criminal investigations into incidents of sexual misconduct. Additionally, a 2015 Jacksonville Sheriff's Office Annual Report was presented. The report contained a mission statement indicating the sheriff's office would provide law enforcement services on a county-wide basis. In light of the revisions to the PREA policy defining the role of the outside law enforcement agencies a MOU with the sheriff's office is desirable but not essential in determining that the facility is compliant with this corrective action item and with the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 10.
- (2) Florida Statute 910.005 (Criminal Procedure and Corrections).
- (3) Jacksonville Sheriff's Office 2015 Annual Report.
- (4) Email from Byron Jasis dated September 18, 2016 (documenting the attempt to obtain a MOU with the sheriff's office).

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Obtain a signed MOU from the Womens Center of Jacksonville (WCJ) outlining the services that will be provided to the facility.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The facility has an informal agreement with the Women’s Center of Jacksonville (WCJ) to provide services to include sexual assault forensic medical examinations. Although the WCJ has indicated a willingness to provide services to the facility the center has to date been unwilling to sign a Memorandum of Understanding (MOU) with the facility. The facility has produced documentation that they have made a good faith effort to obtain a MOU with the center. On October 18, 2016 the auditor reviewed a memorandum from Terracina Davis dated October 18, 2016 that documented the effort to obtain a MOU between the facility and the WCJ. Although a MOU is desirable it is not essential in achieving compliance with the standard. Additionally November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that the WCJ was made aware of the DOJ National Protocol for Sexual Assault Forensic Medical Examinations. Accordingly, the facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated October 18, 2016 documenting the effort to obtain a MOU between the facility and the WCJ.
- (2) Memorandum from Terracina Davis dated November 1, 2016 documenting that the WCJ was made aware of the DOJ National protocol for Sexual assault Forensic Medical Examinations.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Obtain documentation from the Jacksonville Sheriff’s Office and the WCJ that they will abide by the DOJ National Protocol for Sexual Assault Medical Forensic Examinations or document that these allied agencies have been made aware of the protocol.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

Although the facility attempted to obtain a signed Memorandum of Understanding with the Jacksonville Sheriff’s Office, the Sheriff’s Office was unwilling to enter into an MOU with the facility. The facility does have an informal agreement with the sheriff’s office under which the sheriff’s office will investigate incidents of sexual misconduct that rise to the level of criminal behavior. Although a MOU between the facility and the Jacksonville Sheriff’s Office is desirable it is not essential in documenting compliance with the standard. On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis documenting the facility has made the sheriff’s office aware of the DOJ National Protocol for Sexual Assault Forensic Medical Examinations. Accordingly, the facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Byron Jasis dated September 18, 2016 (documenting the attempt to obtain a MOU with the sheriff’s office).
- (2) Memorandum from Terracina Davis dated November 1, 2016 documenting that the Jacksonville Sheriff’s Office was made aware of the DOJ National protocol for Sexual Assault Forensic Medical Examinations.

Standard 115.222 Policies to ensure referrals of allegations for investigations

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

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.

This standard requires that an administrative or criminal investigation is conducted for all allegations of sexual abuse and sexual harassment. The facility reported that there were no allegations of sexual abuse or sexual harassment that occurred during the 12 months preceding the audit. Accordingly, there were no administrative or criminal investigations which occurred. After interviews and discussions with administrative staff, it was determined that the facility has a mechanism in place to ensure all incidents of sexual abuse or sexual harassment would be investigated in the event an actual incident occurred. The facility will refer allegations of sexual abuse to the Jacksonville Sheriff's Office for investigation. There is no Memorandum of Understanding (MOU) on file at the facility which outlines the scope of investigative services that will be provided by the Jacksonville Sheriff's Office. To clarify the role of each agency, a MOU outlining the scope of services provided by the sheriff's office should be obtained. In most cases, law enforcement agencies will only investigate incidents involving criminal conduct. Incidents that don't rise to the level of criminal conduct may be investigated administratively at the facility level. Cases such as this are normally handled by the Facility Director. Pursuant to the contract with the Federal Bureau of Prisons, allegations of staff misconduct must be referred to a designated representative within the Federal Bureau of Prisons who shall determine if the investigation will be done at the facility level or referred to a BOP investigator or an allied federal law enforcement agency. The facility should obtain documentation that investigations into allegations of sexual abuse conducted by the BOP or other federal law enforcement agencies will conform to the DOJ protocol for sexual assault forensic medical examinations. If documentation that the agencies will conform to the protocols cannot be obtained, the facility should document that it has made the BOP or other allied federal law enforcement agencies aware of the protocol.

Policy, Materials, Interviews, or Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 8-10.
- (2) Jacksonville Statement of Work, p.18 (contractor prohibited from conducting investigations into alleged staff misconduct without the prior approval of the BOP).
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes, Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Corrective Action Required:

- (1) Add language to the PREA policy which clearly establishes to what extent the facility or agency will investigate incidents of sexual abuse and sexual harassment internally, without a referral to outside law enforcement.
- (2) Add language to the PREA policy which clearly establishes the circumstances that would trigger an investigation by a law enforcement agency.
- (3) Obtain a signed MOU with the Jacksonville Sheriff's Office which clearly defines the investigative services that will be provided to the facility.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Add language to the PREA policy which clearly establishes to what extent the facility or agency will investigate incidents of sexual abuse and sexual harassment internally, without a referral to outside law enforcement.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language has been added indicating that sexual abuse and sexual harassment investigations shall initially be conducted at the facility level by trained Keeton Corrections, Inc. staff. Conduct rising to the level of criminal behavior shall be referred to outside law enforcement agencies. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1(formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 10.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Add language to the PREA policy which clearly establishes the circumstances that would trigger an investigation by a law enforcement agency.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy that indicating that sexual misconduct involving potentially criminal behavior would be referred to the appropriate law enforcement agency for investigation. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 10.

(3) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Obtain a signed MOU with the Jacksonville Sheriff's Office which clearly defines the investigative services that will be provided to the facility.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The facility maintains an informal agreement with the Jacksonville Sheriff's Office under which the sheriff's office will investigate incidents of sexual misconduct that rises to the level of criminal conduct that occur at the facility. The facility attempted to enter into a Memorandum of Understanding (MOU) with the sheriff's office but was unsuccessful. It was the view of the representative of the sheriff's office that a MOU was unnecessary. The facility was able to document its efforts to obtain a MOU. The representative from the sheriff's office cited a Florida statute authorizing criminal investigations into incidents of sexual misconduct. Additionally, a 2015 Jacksonville Sheriff's Office Annual Report was presented. The report contained a mission statement indicating the sheriff's office would provide law enforcement services on a county-wide basis. In light of the revisions to the PREA policy defining the role of the outside law enforcement agencies a MOU with the sheriff's office is desirable but not essential in determining that the facility is compliant with this corrective action item and with the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(5) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 10.

(6) Florida Statute 910.005 (Criminal Procedure and Corrections).

(7) Jacksonville Sheriff's Office 2015 Annual Report.

(8) Email from Byron Jasis dated September 18, 2016 (documenting the attempt to obtain a MOU with the sheriff's office).

Standard 115.231 Employee training

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

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.

This standard outlines the mandated PREA related topics that staff who may have contact with residents are required to complete. The specific topics are listed in (a), (1)-(10) of Standard 115.231. The training shall be tailored to the gender of the residents housed at the facility. The initial training shall have been completed within one year of the effective date of the PREA standards and refresher training must be provided every two years. Based on interviews and discussions with administrative staff, it was determined facility staff who may have contact with residents are required to complete training in the designated PREA related topics. Facility staff receive training in the zero tolerance policy; employee responsibilities under agency policy in the prevention, detection, reporting, and response to sexual abuse and sexual harassment; the right of residents to be free from sexual abuse and sexual harassment; the right of residents and staff to be free from retaliation for reporting sexual abuse and sexual harassment; the dynamics of sexual abuse and sexual harassment within a confinement facility; the common reactions of sexual abuse and sexual harassment victims; how to detect and respond to signs of threatened and actual sexual abuse; how to avoid inappropriate relationships with residents; how to communicate effectively and professionally with residents, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming residents; and how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities. Since the facility houses both male and female residents, the training is not tailored to one specific gender. Employees sign an acknowledgement indicating they understand the training they have received. The training is documented in the employee personnel file. A spot check of three randomly selected employee training records indicated each

staff member had received the required training and had signed an acknowledgement indicating they understood the training. The employees were randomly selected by the auditor from the staff roster. The auditor utilized a random selection method utilizing the first letter of the staff members name to select the files to be reviewed. Additionally, staff selected for random staff interviews confirmed that they had been trained in the required topics. The auditor reviewed the training curriculum to ensure each of the prescribed topics were covered.

Policy, Materials, Interviews, and Other Evidence reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp.15-16
- (2) Jacksonville Statement of Work, p.13, (staff must complete training prior to working with BOP residents), p.20 (staff will comply with the PREA standards).
- (3) Auditor Review-Lesson Plan (staff PREA training).
- (4) Auditor Review- 3 randomly selected personnel files (containing staff PREA training records-3 of 3 contained the required documentation).
- (5) Interviews-random staff (7 of 7 random staff interviewed confirmed they had received the required training).

Standard 115.232 Volunteer and contractor training

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

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.

This standard requires that all volunteers and contractors who have contact with residents receive training in their responsibilities under the agency sexual abuse and sexual harassment prevention, detection, and response policies. After interviews and discussion with administrative staff, it was determined that currently the facility does not utilize contractors or volunteers to provide services to residents of the facility. The facility has a policy in place which would require that if contractors or volunteers were used they would be required to complete training in the zero tolerance policy and their responsibilities under the agency policies in the prevention, detection, and response to sexual abuse and harassment. It was confirmed during interviews and discussions with administrative staff that the requirements of the standard would be met in the event the facility utilized the services of contractors or volunteers in the future.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, page 4.
- (2) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance, page 22.
- (3) Jacksonville-Statement of Work, p. 22 (facility required to list volunteers on the staff roster).
- (4) Auditor Review-Staff Roster (no volunteers listed).
- (5) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (6) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Standard 115.233 Resident education

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

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.

This standard requires that during intake residents receive information regarding the agency PREA policies. The specific information to be provided is outlined in Section (a) of Standard 115.233. The agency must provide refresher information whenever a resident is transferred to a different facility. The information to be provided must be accessible to all residents including those with special communications needs. The facility shall document that each resident has participated in these education sessions. Additionally, the facility must ensure that the key information is readily accessible on a continuing basis. After interviews and discussions with administrative staff and a review of the applicable policies and practices, it was determined that the facility provides PREA related information to residents in accordance with the requirements of the standard. During the intake process, residents receive information explaining the zero tolerance policy regarding sexual abuse and sexual harassment, how to report incidents or suspicions of sexual abuse or sexual harassment, their rights to be free from sexual abuse or sexual harassment, their rights to be free from retaliation for reporting incidents or suspicions of sexual abuse or sexual harassment, and agency policies and procedures for responding to such incidents. The resident training is delivered by the staff member assigned as the Social Services Coordinator. Materials include handout pamphlets which are printed in both English and Spanish. The pamphlets address what constitutes sexual abuse and sexual harassment, the right of the resident to be free from sexual abuse and sexual harassment, and how to report sexual abuse and sexual harassment. Residents sign an acknowledgement that they have received and understand the PREA materials. Three resident files were randomly reviewed to ensure they included documentation that the resident had received the PREA information during the intake process. The residents were selected from the census roster. Each file contained the appropriate documentation. Additionally, 6 of 6 residents selected for random interviews confirmed that they received the required PREA related information during intake. Information reinforcing the materials contained in the pamphlets are contained in posters which are displayed in various parts of the facility including the dormitories and multi-purpose room. The facility has a policy in place under which they can provide services for residents who are hearing impaired, need the services of an interpreter, or have other special communications needs. Administrative staff confirmed that the facility would take appropriate measures to meet the specific communications needs of the resident. Specific examples mentioned included enlisting the services of an interpreter or purchasing special equipment such as hearing amplification aides.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 5-6.
- (2) Jacksonville- Statement of Work, pp. 8-9, (contractor shall provide translation services as needed based on the composition of the population).
- (3) Auditor Review-(3 randomly selected resident files-each contained documentation the resident had received the PREA information)
- (4) Handout-PREA Informational Pamphlet (English and Spanish).
- (5) Auditor Observation-PREA Information Posters .
- (6) Auditor Notes-Interview with Yvette Allen, Social Services Coordinator (staff member responsible for delivery of PREA information during intake).
- (7) Resident Random Interviews (6 of 6 residents interviewed confirmed they had received the PREA information during intake).

Standard 115.234 Specialized training: Investigations

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

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.

This standard requires that agency/facility staff who conduct investigations receive specialized training. Specific topics to be addressed in the training are listed in Sections (a)-(b) of Standard 115.234. Interviews with administrative staff indicated that some level of administrative investigation into allegations of sexual abuse or sexual harassment will be conducted at the facility level. The PREA policy has a provision that any administrative investigations resulting in substantiated cases of sexual abuse shall be reviewed to determine whether staff actions or failure to act contributed to the abuse. The facility also has an informal agreement with the Jacksonville Sheriff's Office that they will conduct investigations into allegations of sexual abuse. The policy does not make a clear distinction as to what type of issues will be investigated at the facility level and what type of issues will be investigated by the Jacksonville Sheriff's Office and there is no formal

Memorandum of Understanding (MOU) which specifies the extent of the investigative services that will be provided by the Jacksonville Sheriff's Office. In most jurisdictions, the determining factor as to whether or not the case will be investigated by law enforcement authorities is whether or not the alleged behavior rises to the level of criminal conduct, based on the laws of the jurisdiction where the facility is located. Making this determination requires a degree of coordination between the facility and the involved law enforcement agency and at least some degree of preliminary investigation at the facility level. Although the facility reports there have been no allegations of sexual abuse during the 12 months preceding the audit, if a sexual abuse allegation was made, a preliminary investigation of this type would be conducted by the Facility Director who serves the function of the PREA Compliance Manager at the facility level. Interviews and discussions with administrative staff indicated that at the time of the audit, neither the Facility Director or anyone else at the facility had received specialized investigative training. Accordingly, the Director should receive specialized investigative training to meet the requirements of the standard. The training should include techniques for interviewing sexual abuse victims, sexual abuse evidence collection in confinement settings, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or a referral for prosecution.

Policies, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 10
- (2) Organizational Chart (designating the facility director as the facility PREA Compliance Manager)
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah

Corrective Action Required:

- (1) Revise the PREA policy to clearly define the duties of the institutional investigator as distinguished from the investigative functions that will be performed by the Jacksonville Sheriff's Office.
- (2) Obtain a signed MOU with the Jacksonville Sheriff's Office which includes the specific investigative services that will be provided to the facility.
- (3) Revise the PREA policy at page 9 to replace the reference to the "Florida State Police" with "appropriate law enforcement agency" (this is an agency level policy, the specific law enforcement agency will vary based on the location of the facility)
- (4) Conduct staff training on the revised policies
- (5) Ensure the Facility Director completes specialized training for sexual abuse investigators and document completion of the training

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Revise the PREA policy to clearly define the duties of the institutional investigator as distinguished from the investigative functions that will be performed by the Jacksonville Sheriff's Office
- (C) Anticipated Completion Date-October 5, 2016

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. The policy has been revised to clarify the duties of in-house investigators employed by the agency and external investigators employed by outside law enforcement agencies. Administrative investigations involving conduct not rising to the level of criminal behavior shall be conducted by agency staff trained to conduct sexual misconduct investigations. Investigations involving conduct rising to the level of criminal behavior shall be conducted by outside law enforcement agencies. The facility is now in compliance with this corrective action item.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 10.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Obtain a signed MOU with the Jacksonville Sheriff's Office which includes the specific investigative services that will be provided to the facility.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The facility maintains an informal agreement with the Jacksonville Sheriff's Office under which the sheriff's office will investigate incidents of sexual misconduct that rises to the level of criminal conduct that occur at the facility. The facility attempted to enter into a Memorandum of Understanding (MOU) with the sheriff's office but was unsuccessful. It was the view of the representative of the sheriff's office that a MOU was unnecessary. The facility was able to document its efforts to obtain a MOU. The representative from the sheriff's office cited a Florida statute authorizing criminal investigations into incidents of sexual misconduct. Additionally, a 2015 Jacksonville Sheriff's Office

Annual Report was presented. The report contained a mission statement indicating the sheriff's office would provide law enforcement services on a county-wide basis. In light of the revisions to the PREA policy defining the role of the outside law enforcement agencies a MOU with the sheriff's office is desirable but not essential in determining that the facility is compliant with this corrective action item and with the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at p. 10.
- (2) Florida Statute 910.005 (Criminal Procedure and Corrections).
- (3) Jacksonville Sheriff's Office 2015 Annual Report.
- (4) Email from Byron Jasis dated September 18, 2016 (documenting the attempt to obtain a MOU with the sheriff's office).

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Revise the PREA policy at page 9 to replace the reference to the "Florida State Police" with "appropriate law enforcement agency." (this is an agency level policy, the specific law enforcement agency will vary based on the location of the facility).
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language had been added to the policy substituting "appropriate law enforcement agency" for "Florida State Police." The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 9.

(4) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Conduct staff training on the revised policies.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

(5) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Ensure the Facility Director completes specialized training for sexual abuse investigators and document completion of the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. The policy includes language that incidents of sexual abuse and sexual harassment shall be initially investigated by agency staff who have received specialized training in conducting investigations into incidents of sexual misconduct. In lieu of having each facility director complete specialized investigator training the agency has designated Byron Jasis as the agency-level staff member who will conduct in-

house investigations into allegations of sexual misconduct. This system meets the requirements of the standard and this corrective action item.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 10.
- (2) Memo from Karen Hall dated November 2, 2016 designating Byron Jasis as the agency-level PREA investigator.
- (3) Byron Jasis Training Record dated March 21, 2014 (showing completion of 16 hours of PREA Investigator Training).

Standard 115.235 Specialized training: Medical and mental health care

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

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.

This standard is not applicable to the facility. After discussion with administrative staff it was determined that the facility does not employ medical or mental health practitioners on a full-time or part-time basis. This was also confirmed by a review of the staff roster which lists each employee by name and job title. During the course of discussions with administrative staff, it was confirmed that in the event the facility employs medical or mental health practitioners at a later date, the facility will comply with the requirements of the standard.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Auditor Review-Staff Roster (documenting there are no medical/mental health practitioners on staff).
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.

Standard 115.241 Screening for risk of victimization and abusiveness

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

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.

This standard requires that residents be screened for risk of victimization or abusiveness within 72 hours of arrival at the facility. The risk screening must be conducted by means of a screening instrument that considers specific factors outlined in (d), (1)-(9) of Standard 115.241. After the initial screening, residents must be reassessed when warranted due to a referral, request, incident, or receipt of additional information. Additionally, all residents must be reassessed within a specified time frame not to exceed 30 days after arrival at the facility. After interviews and discussion with administrative staff and a review of the applicable policies and practices, it was determined that residents are initially screened in accordance with the requirements of the standard but there is no affirmative reassessment within 30 days after arrival. Incoming inmates are screened for risk of victimization or sexual abusiveness toward other residents within 24 hours of arrival at the facility. The screening instrument is completed by the Social Services Coordinator. During the screening, residents are given the option to self-report if they consider themselves to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming. Additionally, the screening instrument utilized to assess the risk for victimization considers whether the resident has a mental, physical, or developmental disability; the age of the resident; the physical build of the resident; whether the resident has been previously incarcerated; whether the resident's criminal history is exclusively nonviolent; whether the resident has prior convictions for sex offenses against an adult or child; whether the resident is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming; whether the resident has previously experienced sexual victimization; and the resident's own perception of vulnerability. The screening instrument utilized to assess the resident's risk of sexual abusiveness toward other residents considers prior acts of sexual abuse; prior convictions for violent offenses; and the resident's history of prior institutional violence, as known to the agency. Three resident files were randomly selected to ensure there were records of completion of the risk screening intake form within each file. The residents were selected from the census roster. Each resident file contained the required documentation. Although the screening form includes all of the mandated risk factors listed at (d), (1)-(9) within standard 115.241, these factors are not included within the language of the PREA policy. This language needs to be included within the policy to ensure any revisions to the screening instrument do not eliminate a required component of the standard. During the course of interviews and discussion with administrative staff, it was confirmed that a resident's risk for victimization or abusiveness shall be reassessed whenever warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the resident's risk of victimization or abusiveness. It was further determined that currently, there is no affirmative reassessment of the risk for victimization or abusiveness within 30 days of the resident's arrival at the facility, as required by the standard. Language needs to be added to the PREA policy requiring an affirmative reassessment of the risk for victimization or abusiveness within 30 days of the resident's arrival. Residents are not subject to disciplinary sanctions for refusing to answer or not fully disclosing the information sought in response to the questions contained in the screening instrument. The information recorded on the screening form is considered confidential and is only disclosed to staff with a bona fide "need to know."

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 6-7.
- (2) National PREA Resources Center-Interpretation of Standard 115.241 (reference FAQ dated June 20, 2014-an affirmative reassessment is required within 30 days of the resident's arrival at the facility).
- (3) Auditor Review- Intake Risk of Victimization/Abusiveness Screening Form (all required items included on screening form).
- (4) Auditor Observation-(3 of 3 randomly selected files contained the appropriate intake risk screening documents).
- (5) Auditor Notes-Interview with Yvette Allen, Social Services Coordinator (staff member who completes the risk screening form).
- (6) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Corrective Action Required:

- (1) Revise the PREA policy to include language outlining the mandatory components of the intake risk screening document.
- (2) Revise the PREA policy to include an affirmative reassessment of risk within 30 days of the resident's arrival.
- (3) Train staff on the policy revisions and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to include language outlining the mandatory components of the intake risk screening document.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 7.3, Intake. Language had been added to the policy outlining the mandatory components of the intake risk screening document outlined in (d), (1)-(9) of Standard 115.241. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 7.3, Intake (revised) at page 3.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to include an affirmative reassessment of risk within 30 days of the resident's arrival.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 7.3, Intake. Language has been added to the policy confirming that the facility has an affirmative duty to conduct a reassessment of risk for victimization or abuseiveness within 30 days of arrival. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 7.3, Intake (revised) at page 3.
- (2) Email from Byron Jasis dated November 8, 2016 confirming the practice of conducting the reassessments within 30 days of arrival.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Train staff on the policy revisions and document the training.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policies.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Terracina Davis dated November 1, 2016.

Standard 115.242 Use of screening information

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

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.

This standard requires that the agency use information from the risk screening to inform housing, bed, work, education, and program assignments. The standard also has specific requirements regarding the placement of transgender or intersex residents which are listed in sections (a)-(e) of Standard 115.242. Additional requirements regarding the placement of residents who are lesbian, gay, bisexual, transgender or intersex are listed in section (f) of the standard. The PREA policy states in general terms that the information from the screening will be utilized to inform decisions regarding housing, bed, work, education, and program assignments. The PREA policy does not address how screening information shall be utilized in determining appropriate housing for lesbian, gay, bisexual, transgender, or intersex residents other than to reference the applicable sections of Standard 115.242. The facility reports that they have not received any transgender or intersex residents within the 12 months preceding the audit. Additionally, there have been no cases within the preceding 12 months in which a resident has self-identified as a transgender resident. Based on interviews and discussions with administrative staff members, there is no specific policy as to how placement decisions would be made as to residents identifying or perceived as gay, lesbian, bisexual, transgender, intersex, or gender nonconforming. When the hypothetical question was asked regarding how a resident presenting as transgender would be housed, there was no definitive answer other than the agency corporate office and the federal customer (BOP) would have to be consulted. At a minimum, policy language should be added to the PREA policy that requires that decisions regarding the placement of transgender or intersex residents should be made on a case by case basis and that the determination cannot be based on one singular factor such as the presence or absence of male/female genitalia. The policy should also indicate that the affected resident's own

views regarding appropriate placement should be given serious consideration. Additionally, the policy should prohibit the utilization of a dedicated facility, housing unit, or living unit wing for placement of residents who are gay, lesbian, bisexual, transgender, or intersex unless this is required pursuant to a consent decree, legal settlement, or legal judgement for the purpose of protecting these residents. If this applies, the facility should maintain a file copy of the applicable consent decree, legal settlement or legal judgment.

Policy, Materials, Interviews and Other Evidence Considered:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 7
- (2) National PREA Resource Center- Interpretation of Standard 115.242 (reference FAQ dated March 24, 2016-housing transgender or intersex residents based exclusively on external genital anatomy violates the standard)
- (3) Auditor Notes-Interview with Terracina Davis, Quality Assurance Manager (agency level) and Agency PREA Coordinator
- (4) Auditor Notes-Interview with Clara Hathorn, Facility Director
- (5) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah

Corrective Action Required:

- (1) Revise the PREA policy to reflect the requirements of the standard as to placement decisions regarding gay, lesbian, bisexual, transgender, and intersex residents.
- (2) Train staff on the revised policy and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to reflect the requirements of the standard as to placement decisions regarding gay, lesbian, bisexual, transgender, and intersex residents.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 7.3, Intake. Language has been added to the policy addressing the use of screening information when making placement decisions regarding gay, lesbian, bisexual, transgender, and intersex residents. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 7.3, Intake (revised) at page 3.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Train staff on the revised policy and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Terracina Davis dated November 1, 2016.

Standard 115.251 Resident reporting

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

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.

This standard requires that the agency should provide multiple internal methods for residents to privately report sexual abuse, sexual harassment, and retaliation. The agency must also inform residents of at least one method of reporting sexual abuse or sexual harassment to a public or private entity outside the agency that is able to forward reports of sexual abuse to the agency with the identity of the reporting resident remaining anonymous if requested. After interviews and discussions with administrative staff, and a review of the applicable policies and practices, it was determined that the facility does provide multiple reporting options for residents who wish to report allegations of sexual abuse, sexual harassment or retaliation for reporting these allegations. Residents may make reports to any staff member of the facility. There is no language within the PREA policy indicating staff will receive anonymous reports or reports from third parties. Information regarding third party and anonymous reports is not included in the PREA pamphlet but should be added. During the course of interviews and discussions with administrative staff it was determined that staff would accept anonymous and third party reports of sexual abuse, sexual harassment and retaliation. Additional reporting options for residents include reporting allegations of resident to resident sexual abuse to the Federal Bureau of Prisons National PREA Coordinator (contact information included in the PREA information pamphlet). Staff to resident sexual abuse may be reported to the Federal Bureau of Prisons Internal Affairs Division (contact information included in the PREA education pamphlet). During the course of the random resident interviews, 4 of 6 residents interviewed were aware they had the option to report allegations of sexual abuse to the Keeton Corrections Corporate Office but this was not addressed in the PREA policy or contained in the PREA information pamphlet. It is recommended that information as to how to make a report to the Keeton Corporate office be included in the PREA information pamphlet. Residents may also utilize the PREA hotline to report incidents of sexual abuse. The hotline is staffed by the Womens Center of Jacksonville, an independent agency that serves as a 24 hour rape crisis center (anonymous and third party reports are accepted).

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 7-8.
- (2) Auditor Observation- PREA Hotline Poster (located in both dormitories and the multipurpose room).
- (3) Auditor Review -PREA Information Pamphlet (distributed to residents during intake & contains information regarding how to make internal and external reports of sexual abuse and sexual harassment).
- (4) Random Resident Interviews (4 of 6 residents were aware of the various reporting methods including the ability to make reports to the Keeton Corrections Inc. Corporate Office).

Corrective Action Required:

- (1) Add language to the PREA policy and the PREA pamphlet stating that staff will receive anonymous reports and reports from third parties.
- (2) Train staff on the policy revisions and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Add language to the PREA policy and the PREA pamphlet stating that staff will receive anonymous reports and reports from third parties.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA and the PREA pamphlet distributed to residents of the facility. Upon review it was determined that language had been added to both the PREA policy and the pamphlet that staff will receive anonymous reports and reports from third parties. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 7.
- (2) PREA Information Pamphlet (revised).

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.

- (B) Task-Train staff on the policy revisions and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.252 Exhaustion of administrative remedies

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

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.

This standard requires that the agency provide an internal grievance mechanism which may be utilized by residents to report allegations of sexual abuse. After interviews and discussions with administrative staff and a review of the applicable policies and practices, it was determined that the facility has an in-house grievance mechanism that is consistent with the requirements of the standard. The system currently in place permits residents to submit grievances involving sexual abuse allegations directly to the Facility Director. There is no time limitation on submitting a grievance concerning an allegation of sexual abuse. Upon receipt of a grievance alleging sexual abuse, the Facility Director shall render a response within 90 days of receipt of the grievance. The 90 day time limit may be extended for cause for a period of up to 70 days. Residents may file emergency grievances alleging sexual abuse with the Facility Director. Residents filing emergency grievances alleging sexual abuse will receive an initial response within 48 hours of submission and a final response within five calendar days of submission. The facility reports that there have been no incidents within the 12 months preceding the audit in which the grievance mechanism has been utilized to report allegations of sexual abuse. Accordingly, there were no applicable grievances for the auditor to review. Administrative staff confirmed that if an allegation of sexual abuse was reported by means of the grievance mechanism it would be handled in accordance with the requirements of this standard.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 15, Administrative Remedy, pp.124-125.
- (2) Offender Handbook (specific section addressing grievance mechanism).
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Standard 115.253 Resident access to outside confidential support services

- Exceeds Standard (substantially exceeds requirement of standard)

- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (requires corrective action)

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.

This standard requires the facility to provide residents with access to outside victim support services. After interviews and discussions with administrative staff and a review of the applicable policies and practices, it was determined that the facility will provide access to outside victim services. The facility reports that during the 12 months preceding the audit there have been no no allegations of sexual abuse. Accordingly, there have been no incidents in which a sexual assault victim has sought victim advocate services. Victim advocate services should be provided to any victim of sexual abuse, even residents who were victimized prior to incarceration. During the course of interviews and discussions with administrative staff it was determined that the facility will provide access to victim support services if the need arises. The facility is currently operating under an informal agreement with the Women’s Center of Jacksonville (WCJ) to provide confidential victim support services to residents of the facility. The facility is in the process of finalizing a Memorandum of Understanding (MOU) with WCJ that will specifically address the range of services that will be provided to the facility. A review of the email from the WCJ Director to Clara Hathorn indicates that victims advocate services are included within the list of services that the WCJ will provide to residents of the facility. The email indicated that these services are currently available even though the formal MOA has not yet been finalized. Residents are informed that services of this nature are confidential. The procedures for accessing the services provided by the WCJ (including victim support services) are explained during the PREA orientation that is provided at intake. The contact number and mailing address for the WCJ is included in the PREA pamphlet that is given to each resident during intake.

Policy, Materials, Interviews and Other Evidence reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, at page 9.
- (2) Email dated May 23, 2016 from WCJ to Facility Director re: provision of services and MOU.
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Interview with Yvette Allan, Social Services Coordinator (staff member responsible for conducting PREA orientation during intake.)
- (5) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.
- (6) Random Resident Interviews (5 of 6 residents interviewed were aware of the availability of confidential victim services and the procedure for accessing these services).

Standard 115.254 Third-party reporting

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

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.

This standard requires that the agency establish a method to receive third party reports of sexual abuse and sexual harassment and that information as to how the agency will receive third party reports will be made available to the public. After interviews and discussions with administrative staff and a review of the applicable policies, it was determined that the PREA policy does not provide for a method to receive third party reports. Additionally, there is no information regarding third party reporting within the PREA information pamphlet. Administrative staff indicated that third party reports of allegations of sexual abuse and sexual harassment would be received and investigated. Four of six residents interviewed were aware they could utilize third parties to report allegations of sexual abuse. Information regarding third party reports should be added to the PREA policy and the PREA information pamphlet. Information regarding how to report sexual abuse on behalf of a resident (third party reporting) should also be made available to the public. One common method of making this

information publically available is to publish it on the agency website.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 7-8.
- (2) PREA Information Pamphlet (does not address third party reports).
- (3) Auditor Observation-Keeton Corrections Inc. Website (at the time of the audit there was no information concerning third party reporting posted on the website).
- (4) Random Resident Interviews (4 of 6 residents interviewed were aware they could report allegations of sexual abuse by means of a third party).

Corrective Action Required:

- (1) Revise the PREA policy to include third party reporting as a permitted method of reporting allegations of sexual abuse.
- (2) Train staff on the revised policy and document the training.
- (3) Add information regarding third party reporting to the PREA information pamphlet.
- (4) Provide refresher training to the resident population addressing the revisions to the PREA pamphlet.
- (5) Add information as to how to report allegations of sexual abuse on behalf of a resident to the agency website or otherwise make the information accessible to the public.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to include third party reporting as a permitted method of reporting allegations of sexual abuse.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language had been added to the policy adding third party reporting as an additional method of reporting sexual misconduct. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1, Sexual Abuse and Assault and PREA (revised) at page 7.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Train staff on the revised policy and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Add information regarding third party reporting to the PREA information pamphlet.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 4, 2016 the auditor reviewed the PREA pamphlet. Information had been added to the pamphlet indicating third party reporting as a method for reporting incidents of sexual misconduct. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(4) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Provide refresher training to the resident population addressing the revisions to the PREA pamphlet.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On July 28, 2016 the auditor reviewed the PREA pamphlet issued to new residents during the orientation process. The pamphlet was revised to include language that third party reporting was one of the methods that could be utilized to report instances of sexual misconduct. Effective July 28, 2016 incoming residents were informed of the availability of third party reporting during the orientation process. Based on the short-term nature of the population all of the current residents of the facility have received orientation since July 28, 2016. Thus, all current residents of the facility have been informed of the availability of third party reporting. This was confirmed by Byron Jasis in an email dated November 8, 2016.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) PREA Pamphlet (revised) at page 1.

(5) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Add information as to how to report allegations of sexual abuse on behalf of a resident to the agency website or otherwise make the information accessible to the public.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 25, 2016 the auditor reviewed the Keeton Corrections Inc. web page. Information regarding how to report PREA-related incidents has been added to the web site. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Byron Jasis dated August 25, 2016 with a link to the Keeton Corrections web page.
- (2) Auditor review-Keeton Corrections web page-November 8, 2016.

Standard 115.261 Staff and agency reporting duties

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

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.

This standard requires that all agency staff report immediately any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in any facility. The facility reports that within the preceding 12 months there were no incidents in which staff received and reported knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment within a facility. Based on interviews and discussions with administrative staff, and a review of the applicable policies and practices, the auditor notes that the facility has taken substantial steps toward compliance with the requirements of this standard. There are some components of the

standard that are not provided for within the PREA policy. The provisions of the standard that have been omitted from the policy have similarly been omitted as matters of practice. The PREA policy requires that all staff immediately report all knowledge, suspicions, or information of an incident of a "sexual offense" within a Keeton Corrections, Inc. facility. The PREA policy defines sexual offense as "any behavior or act of a sexual nature directed toward an offender by a staff member, visitor, or other offender. This includes completed, attempted, threatened or requested acts, including sexual abuse, sexual harassment, voyeurism, sexual contact, contact of a sexual nature or implication, obscenity, and unreasonable invasion of privacy. Sexual offense also includes conversations or correspondence, which suggest a romantic or sexual relationship between an offender and a staff member." For the purposes of the PREA policy only, "staff member" means full-time, part-time and interim employees, interns, students, volunteers, and contractors doing business on a recurring basis with Keeton Corrections, Inc. Since the behavior which constitutes "sexual offense" includes sexual abuse and sexual harassment (as defined within Standard 115.6), this provision of the PREA policy is consistent with the requirements of this standard. The standard further requires that staff are required to report sexual abuse or sexual harassment that has occurred at any facility, whether or not the facility is a part of the agency. The PREA policy limits the duty to report to incidents that occurred within a Keeton Corrections, Inc. facility. The standard further requires that the duty to report extends to incidents of retaliation against residents or staff who have reported sexual abuse or sexual harassment and to incidents of staff neglect or violation of responsibilities that may have contributed to an incident of retaliation. The PREA policy imposes a duty to report staff neglect but does not extend the duty to report to acts of retaliation or acts of violation of responsibilities. The PREA policy does impose the duty of confidentiality and limits disclosure of information to that necessary for treatment, investigative, or management decisions. The standard requires that the designated facility investigator be notified of the incident. This requirement has been incorporated into the PREA policy. The component of the standard imposing the duty to report to medical and mental health practitioners is not applicable to the facility since the facility does not employ medical or mental health staff. Additionally, the provision of the standard imposing the duty to report allegations involving persons under 18 or vulnerable adults is not applicable to the facility since the facility does not house minors or vulnerable adults. The PREA policy should be revised to conform with the requirements of the standard.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p.3, pp. 8-9, p. 11.
- (2) Staff Roster (demonstrates no medical or mental health practitioner employed at the facility).
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Corrective Action Required:

- (1) Amend the PREA policy to add language extending the duty to report to include incidents occurring at any facility within or outside of the agency.
- (2) Amend the PREA policy to extend the duty to report to acts of retaliation.
- (3) Amend the PREA policy to extend the duty to report to acts of violation of responsibilities.
- (4) Train staff on the revised policies and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Amend the PREA policy to add language extending the duty to report to include incidents occurring at any facility within or outside of the agency.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy extending the duty to report to incidents occurring at any facility within or outside the agency. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 9.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Amend the PREA policy to extend the duty to report to acts of retaliation.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language has been added to the policy extending the duty to report to acts of retaliation. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 12.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Amend the PREA policy to extend the duty to report to acts of violation of responsibilities.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language has been added to the policy extending the duty to report to acts of violation of responsibilities. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 12.

(4) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Train staff on the revised policies and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.262 Agency protection duties

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

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.

This standard requires that an agency take immediate action when it learns that a resident is subject to a substantial risk of imminent sexual abuse. The facility reports that there were no incidents within the preceding 12 months prior to the audit in which it was learned that a resident was subject to a substantial risk of imminent sexual abuse. The PREA policy includes a provision that when it is learned that a

resident is subject to a substantial risk of imminent sexual abuse, immediate action to protect the resident shall be taken. This is consistent with the requirements of the standard. Based on interviews and discussions with administrative staff, it was confirmed that if a future incident occurred in which it was learned that a resident was subject to a substantial risk of imminent sexual abuse, the facility would take immediate action as required by the standard.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, at page 7.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (3) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Standard 115.263 Reporting to other confinement facilities

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

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.

The Jacksonville Community Services Center reports that there were no incidents within the preceding 12 months in which the facility received information that a resident was sexually abused while at another facility. Additionally, the Jacksonville Community Services Center reports that there were no incidents within the preceding 12 months in which the facility was notified by another facility that a former resident had been sexually abused while at the Jacksonville Community Services Center. The standard requires that if information is received at a facility that a current resident was sexually abused while at another facility, the facility receiving the information will report these allegations to the facility where the abuse was reported to have occurred within 72 hours of receiving the information. Under the PREA policy, if information is reported to the Jacksonville Community Services Center that a current resident was sexually abused while at a previous facility, it will notify the head of the facility where the incident was reported to have occurred within 72 hours of receipt of the information. The PREA policy also requires that if the Jacksonville Community Services Center receives information from another facility that a former resident was sexually abused while at the Jacksonville Community Services Center, this allegation will be investigated. These provisions are consistent with the requirements of the standard. Based on interviews and discussions with administrative staff, it was confirmed that if information was received that a resident of the Jacksonville Community Services Center had been sexually abused while confined at a previous facility, the head of the facility where the abuse was alleged to have occurred would be contacted. Additionally, during the course of interviews and discussions with administrative staff, it was confirmed that if information was received from another facility that a former resident of the Jacksonville Community Services Center had been sexually abused while housed at the Jacksonville Community Services Center, this allegation would be investigated.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, at page 9.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (3) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Standard 115.264 Staff first responder duties

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

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.

The facility reports that there have been no incidents within the preceding 12 months in which staff were required to respond to the scene of a sexual abuse incident. The standard requires that staff responding to the scene of sexual abuse incident shall separate the alleged victim and abuser, and preserve and protect the crime scene until steps can be taken to collect evidence. If the incident occurs within a time period that still allows for the collection of physical evidence, the responding staff member shall request that the alleged victim not take any actions that could destroy physical evidence. These actions include washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating. Additionally, if the abuse occurred within a time period that still allows for the collection of physical evidence, the responding staff member shall ensure that the alleged abuser does not take any action that could destroy physical evidence. These actions include washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating. If the first responding staff member is not a security staff member, the staff member shall be required to request that the alleged victim not take any actions that could destroy physical evidence and then notify security staff. Each of these provisions has been incorporated into the PREA policy except the component of the standard requiring first responders who are not security staff to request that the alleged victim not take any actions that could destroy physical evidence and then notify security staff. This component of the standard should be incorporated into the PREA policy. Interviews and discussions with administrative staff confirmed that this component of the standard is not within the current PREA policy and that potential responding non-security staff have not been trained on this provision of the standard.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p.8.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (3) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Corrective Action Required:

- (1) Amend the PREA policy to include a provision requiring first responding staff that are not security staff to request that the alleged victim not take any actions that could destroy physical evidence and then notify security staff.
- (2) Train staff on the revised policy and document the training.

(1) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Amend the PREA policy to include a provision requiring first responding staff that are not security staff to request that the alleged victim not take any actions that could destroy physical evidence and then notify security staff.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language has been added to the policy stating that first responding staff that are not security staff shall request the alleged victim not take any actions that could destroy evidence and then notify security staff. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at p. 8.

(2) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Train staff on the revised policy and document the training.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On October 31, 2016 the auditor reviewed a memorandum from Terracina Davis dated October 31, 2016. The memorandum documented that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated October 31, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.265 Coordinated response

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

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.

The standard requires the facility to develop a written institutional plan to coordinate actions taken in response to an incident of sexual abuse among staff first responders, medical and mental health practitioners, investigators and facility leadership. The facility reports that in the 12 months preceding the audit there have been no allegations of sexual abuse. Accordingly, there have been no instances in which staff actions were coordinated in response to an incident of sexual abuse. The PREA policy specifies that first responding staff will separate the victim and abuser, secure the scene, preserve and collect physical evidence, request the victim not take actions that could destroy physical evidence, ensure the abuser does not take actions that could destroy physical evidence, and restrict traffic entering the scene. Investigators are authorized to enter the scene as needed to carry out their duties. The Facility Director is responsible for arranging for the resident to be transported to a medical facility for treatment and forensic medical examination and ensuring first responder duties have been carried out. The PREA policy does not address the role of medical and mental health practitioners since the facility does not have any medical or mental health staff. These provisions of the PREA policy serve the functions of a written plan coordinating the functions of the various staff in responding to an incident of sexual abuse. Thus, the applicable provisions of the PREA policy meet the requirements of the standard. During interviews and discussions with administrative staff, it was confirmed that if an actual incident of sexual abuse occurred, the actions of staff would be coordinated in accordance with the requirements of the standard.

Standard 115.266 Preservation of ability to protect residents from contact with abusers

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

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.

This standard is not applicable to the Jacksonville Community Services Center. The facility is a private, "at will" employer not involved in a collective bargaining process. This information was confirmed during interviews and discussions with administrative staff.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Inc.-Mission Statement
- (2) Pre-Audit Questionnaire

- (3) Auditor Notes- Interview with Clara Hathorn, Facility Director
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah

Standard 115.267 Agency protection against retaliation

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

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.

The facility reports that there have been no reported incidents of sexual abuse or sexual harassment during the preceding 12 months. Accordingly, there have been no incidents requiring a monitoring period to protect residents or staff from retaliation. The standard requires that a policy be established to protect all staff and residents who report sexual abuse or sexual harassment, or who cooperate with sexual abuse or sexual harassment investigations, from retaliation. The standard also requires that a designated staff member shall be responsible for monitoring retaliation. The monitoring period shall occur for at least 90 days and may terminate if the allegation is determined to be unfounded. These provisions have been incorporated into the PREA policy which is consistent with the requirements of the standard. The designated staff member for monitoring retaliation is the Social Services Coordinator, a senior administrative position at the facility. During interviews with administrative staff it was confirmed that the requirements of the standard would be met in the event of an incident of retaliation.

Policy, Materials, Interviews and Other Documents Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, page 11.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director
- (3) Auditor Notes-Interview with Yvette Allen, Social Services Coordinator

Standard 115.271 Criminal and administrative agency investigations

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

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.

The facility reports there have been no allegations of sexual abuse or sexual harassment during the preceding 12 months. Accordingly, there have been no administrative or criminal investigations into allegations of this type. Interviews and discussions with administrative staff members confirm that the facility has taken substantial steps toward compliance with the requirements of this standard but there is a lack of clarity regarding the specific role of the facility/agency in conducting administrative investigations as well as a lack of clarity as to the specific role of the Jacksonville Sheriff’s Office in investigating allegations of sexual abuse and sexual harassment.

The standard requires that all sexual abuse and sexual harassment investigations conducted at the agency level be done promptly, thoroughly, and objectively for all allegations including those resulting from anonymous and third party sources. When sexual abuse is alleged, the agency shall use investigators who have received special training in sexual abuse investigations as outlined in Standard 115.234. Duties of the investigator include gathering and preserving direct and circumstantial evidence, including any DNA evidence and any

available electronic monitoring data. Investigators shall interview alleged victims, suspected perpetrators, and witnesses; and shall review prior complaints and reports of sexual abuse involving the suspected perpetrator. When the quality of evidence appears to support criminal prosecution, the agency should conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution. The credibility of an alleged victim, suspect, or witness shall not be determined by the persons status as resident or staff. An agency may not require a resident who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding with the investigation into such an allegation.

In the case of administrative investigations, efforts shall be made to determine whether staff actions or failures to act contributed to the abuse; and shall be documented in written reports describing the physical and testimonial evidence, the reasoning behind credibility statements, and and investigative facts and findings.

Criminal investigations shall be documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of documentary evidence where feasible. Substantiated allegations of conduct that appear to be criminal shall be referred for prosecution. The agency shall maintain all administrative and criminal investigative reports for as long as the abuser is incarcerated or employed plus an additional five years. When outside agencies investigate sexual abuse, the facility shall endeavor to remain informed about the progress of the investigation.

The PREA policy makes reference to administrative investigations and requires that facility-level investigators receive training in accordance with the requirements of Standard 115.234. The PREA policy also contains a provision that the investigators from the Jacksonville Sheriff's Office shall be permitted to enter the scene of a sexual abuse incident. The facility has an informal arrangement with the Jacksonville Sheriff's Office under which investigators are permitted to enter the scene of sexual abuse incidents but the policy does not specify which incidents will be investigated at the facility level and which incidents will be investigated by the Jacksonville Sheriff's Office. Additionally, the PREA policy does not incorporate the various investigative duties as outlined above when incidents are investigated at the facility level. These issues need to be clarified and the policy needs to be revised accordingly. The retention schedule for administrative and criminal investigative reports should also be incorporated into the PREA policy.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 5, p.8, p.10.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (3) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections-Paducah.

Corrective Action Required:

- (1) Review the PREA Policy and determine specific criteria for facility-level sexual abuse and sexual harassment investigations as opposed to investigations conducted by the Jacksonville Sheriff's Office.
- (2) Obtain a signed MOU with the Jacksonville Sheriff's Office specifying the investigative services they will provide to the facility.
- (3) Revise the PREA policy to include the duties of facility-level investigators based on the investigative duties outlined above.
- (4) Revise the PREA policy to include the retention schedule for administrative and criminal investigative reports.
- (5) Train staff on the policy revisions and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Review the PREA Policy and determine specific criteria for facility-level sexual abuse and sexual harassment investigations as opposed to investigations conducted by the Jacksonville Sheriff's Office.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy indication investigations into incidents rising to the level of criminal behavior shall be referred to the appropriate law enforcement agency (Jacksonville Sheriff's Office). Investigations into incidents that don't rise to the level of criminal behavior shall be conducted at the facility level. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 10.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Obtain a signed MOU with the Jacksonville Sheriff's Office specifying the investigative services they will provide to the facility.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The facility maintains an informal agreement with the Jacksonville Sheriff's Office under which the sheriff's office will investigate incidents of sexual misconduct that rises to the level of criminal conduct that occur at the facility. The facility attempted to enter into a Memorandum of Understanding (MOU) with the sheriff's office but was unsuccessful. It was the view of the representative of the sheriff's office that a MOU was unnecessary. The facility was able to document its efforts to obtain a MOU. The representative from the sheriff's office cited a Florida statute authorizing criminal investigations into incidents of sexual misconduct. Additionally, a 2015 Jacksonville Sheriff's Office Annual Report was presented. The report contained a mission statement indicating the sheriff's office would provide law enforcement services on a county-wide basis. In light of the revisions to the PREA policy defining the role of the outside law enforcement agencies a MOU with the sheriff's office is desirable but not essential in determining that the facility is compliant with this corrective action item and with the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at p. 10.
- (2) Florida Statute 910.005 (Criminal Procedure and Corrections).
- (3) Jacksonville Sheriff's Office 2015 Annual Report.
- (4) Email from Byron Jasis dated September 18, 2016 (documenting the attempt to obtain a MOU with the sheriff's office).

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Revise the PREA policy to include the duties of facility-level investigators based on the investigative duties outlined above.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language had been added to the policy outlining the duties of facility investigators as listed in accordance with this standard. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 10.

(4) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Revise the PREA policy to include the retention schedule for administrative and criminal investigative reports.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language had been added to the policy specifying the retention schedule for administrative and criminal investigative reports. The facility is now in compliance with the corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 10.

(5) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Train staff on the policy revisions and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff have been trained in the revised policy.

Standard 115.272 Evidentiary standard for administrative investigations

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

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.

The standard requires that the agency shall impose no standard higher than a preponderance of evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated. This requirement has been incorporated into the PREA policy. The facility reports that there have been no allegations of sexual abuse or sexual harassment during the 12 months preceding the audit. As a result, there have been no incidents in which a determination was made as to whether or not an incident of sexual abuse or sexual harassment was substantiated. Based on interviews and discussions with administrative staff, it was confirmed that if a future incident occurred which required that a determination be made as to whether or not an allegation of sexual abuse or sexual harassment was substantiated, the evidentiary standard that would be applied would be no higher than a preponderance of evidence.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 7
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director
- (3) Auditor Notes-discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah

Standard 115.273 Reporting to residents

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

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.

The facility reports there have been no allegations of sexual abuse within the preceding 12 months. Accordingly, there have been no instances in which the facility reported the final outcome of an investigation to a resident alleging sexual abuse. The standard requires the agency to inform residents alleging sexual abuse whether the allegation was substantiated, unsubstantiated, or unfounded. This requirement applies to both investigations conducted by the agency or by an outside agency. Following the resident’s allegation that a staff member has committed sexual abuse against the resident, the agency shall subsequently inform the resident whenever the staff member is no longer posted within the resident’s unit, whenever the staff member is no longer employed at the facility, or whenever the facility learns that the staff member has been indicted on a charge related to sexual abuse within the facility. These notifications need not be made when it has been determined that the allegation is unfounded. Additionally, following a resident’s allegation they have been sexually abused by another

resident, the agency shall inform the alleged victim whenever the agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility, or when the agency learns the alleged abuser has been convicted on a charge related to sexual abuse within the facility. All such notifications or attempted notifications shall be documented. The agency obligation to report shall terminate if the resident making the allegation is released from the custody of the agency. The agency has incorporated the notification requirements within the standard into the PREA policy. During the course of interviews and discussions with administrative staff it was confirmed that if a future incident occurred requiring that a resident be notified of any of the above listed events, the resident would be notified in accordance with the requirements of this standard.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 10
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director
- (3) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah

Standard 115.276 Disciplinary sanctions for staff

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

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.

The facility reports there have been no allegations a staff member has violated the agency sexual abuse or sexual harassment policies during the preceding 12 months. Accordingly, there have been no instances in which it was found that a staff member violated agency sexual abuse or sexual harassment policies and no resulting disciplinary sanctions against staff. The standard requires that staff shall be subject to disciplinary sanctions, up to and including termination for violating agency sexual abuse and sexual harassment policies. The presumptive disciplinary sanction for staff who have engaged in sexual abuse is termination. Disciplinary sanctions for staff violating agency policies relating to sexual abuse or sexual harassment other than actually engaging in sexual abuse, shall be commensurate with a number of specific factors. These factors include the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed on other staff with similar histories who committed comparable offenses. All terminations for violations of sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, shall be reported to law enforcement agencies and the appropriate licensing authority, if applicable. Neither the current personnel handbook containing the employee conduct policy or the PREA policy contain a provision that the appropriate licensing authority, if applicable, will be notified. This language should be added to the PREA policy or the personnel handbook to comply with this component of the standard. The notification to law enforcement is not required if it is clear the activity was not criminal. The Keeton Corrections Inc. employee conduct policy published in the personnel handbook provides for the termination of staff who have engaged in serious misconduct such as violation of agency sexual abuse policies. Lesser sanctions such as suspension may be administered for violations that do not rise to the level of sexual abuse. This is consistent with the requirements of the standard. Under the PREA policy, allegations of sexual abuse that may rise to the level of criminal conduct shall be referred to the Florida State Police. This language should be replaced with a more general reference such as "the appropriate law enforcement agency". The facility currently has an informal agreement with the Jacksonville Sheriff's Office to conduct criminal investigations.

Policy, Materials, interviews, and Other Evidence Reviewed:

- (1) Personnel Handbook, Employee Conduct and Disciplinary Action, p. 24.
- (2) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, page 9.
- (3) Jacksonville-Statement of Work, pp. pp. 16-18 (professional standards for employees).

Corrective Action Required:

- (1) Revise the PREA policy at p. 9 replacing "Florida State Police with "appropriate law enforcement agency" (this is an agency-level policy, the appropriate law enforcement agency will vary based on the location of the facility).
- (2) Add language to the PREA policy or the Personnel Handbook that violations of the sexual abuse or sexual harassment policies by

- licensed employees shall be referred to the applicable licensing authority .
- (3) Train staff in the revised policies and document the training .

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Revise the PREA policy at p. 9 replacing “Florida State Police with “ appropriate law enforcement agency” (this is an agency - level policy, the appropriate law enforcement agency will vary based on the location of the facility).

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy replacing “Florida State Police” with “appropriate law enforcement agency.” The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 9.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Add language to the PREA policy or the Personnel Handbook that violations of the sexual abuse or sexual harassment policies by licensed employees shall be referred to the applicable licensing authority.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. Language has been added to the policy stating that violations of of sexual abuse or sexual harassment policies by licensed employees shall be referred to the applicable licensing authority. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at page 2.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Train staff in the revised policies and document the training.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff have been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

Standard 115.277 Corrective action for contractors and volunteers

- Exceeds Standard (substantially exceeds requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the

relevant review period)

- Does Not Meet Standard (requires corrective action)

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.

The facility reports there have been no allegations of sexual abuse or sexual harassment within the preceding 12 months. Accordingly, there have been no investigative findings that a contractor or volunteer has engaged in sexual abuse. Additionally, the Jacksonville Community Services Center has not utilized contractors or volunteers to provide services within the preceding 12 months. Since there are policies in place providing for the use of contractors and volunteers, this standard is applicable to the facility. The standard requires that contractors or volunteers who engage in sexual abuse shall be prohibited from contact with residents. Additionally, the incident shall be reported to law enforcement unless the activity was clearly not criminal. The incident shall also be reported to the applicable licensing authority if the contractor or volunteer delivers a service that requires licensing. The facility shall take appropriate remedial measures and consider whether to prohibit further contact with residents in cases of violation of agency sexual abuse or sexual harassment policies that do not rise to the level of actual sexual abuse. The Keeton Corrections Inc. employee conduct policy published in the personnel handbook provides for the termination of staff who have engaged in serious misconduct such as the violation of agency sexual abuse policies. Lesser sanctions such as suspension may be administered for violations that do not rise to the level of sexual abuse. This is consistent with the requirements of the standard. Under the PREA policy, allegations of sexual abuse that may rise to the level of criminal conduct shall be referred to the Florida State Police. The facility currently has an informal agreement with the Jacksonville Sheriff's Office to conduct criminal investigations. Both the PREA policy and the policy addressing the use of volunteers state that volunteers are held to the same standards of conduct as agency employees. The PREA policy also provides that contractors are held to the same standard of conduct as agency employees. Neither the PREA policy or the policy addressing the use of volunteers require notification to the applicable licensing authority if the contractor or volunteer provides a service to the facility that requires the provider to be licensed, and the contractor or volunteer has engaged in sexual abuse or sexual harassment. Language incorporating this component of the standard should be added to policy. Based on interviews and discussions with administrative staff, it was confirmed that this provision of the standard was not addressed within either the PREA policy or the policy governing the use of volunteers.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 3, page 9.
- (2) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance, page 22.
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Corrective Action Required:

- (1) Revise the PREA policy at p. 9 replacing "Florida State Police" with "appropriate law enforcement agency" (this is an agency-level policy, the appropriate law enforcement agency will vary based on the location of the facility).
- (2) Add language to the PREA policy that the appropriate licensing authority will be notified if contractors delivering services to the facility must be licensed to deliver the service and the contractor has engaged in sexual abuse or harassment.
- (3) Add language to the policy addressing the use of volunteers that the appropriate licensing authority will be notified if volunteers delivering services to the facility must be licensed to deliver the service and the volunteer has engaged in sexual abuse or sexual harassment.
- (4) Train staff in the revised policies and document the training.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director
- (B) Task- Revise the PREA policy at p. 9 replacing "Florida State Police" with "appropriate law enforcement agency" (this is an agency-level policy, the appropriate law enforcement agency will vary based on the location of the facility).
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy replacing "Florida State Police" with "appropriate law enforcement agency." The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at page 9.

(2) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Add language to the PREA policy that the appropriate licensing authority will be notified if contractors delivering services to the facility must be licensed to deliver the service and the contractor has engaged in sexual abuse or harassment.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. Language has been added to the policy that the appropriate licensing authority will be notified if contractors delivering services to the facility hold a license to deliver the services and the contractor has engaged in sexual abuse or sexual harassment. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at page 2.

(3) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Add language to the policy addressing the use of volunteers that the appropriate licensing authority will be notified if volunteers delivering services to the facility must be licensed to deliver the service and the volunteer has engaged in sexual abuse or sexual harassment.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance. Language has been added to the policy that the appropriate licensing authority will be notified if volunteers delivering services to the facility hold a license to deliver the services and the volunteer has engaged in sexual abuse or sexual harassment. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(4) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Train staff in the revised policies and document the training.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 2.9, Recruitment, Training, Volunteer Coordination, and Severance (revised) at page 2.

Standard 115.278 Disciplinary sanctions for residents

- Exceeds Standard (substantially exceeds requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

- Does Not Meet Standard (requires corrective action)

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.

The facility reports that there have been no incidents during the preceding year in which residents have been found guilty pursuant to the resident disciplinary mechanism for resident-to-resident sexual abuse. Additionally, the facility reports that during the preceding 12 months there have been no incidents in which a resident has been found guilty pursuant to a criminal proceeding, of resident-to-resident sexual abuse. The standard requires that residents who have been found guilty of resident-to-resident sexual abuse pursuant to the resident disciplinary mechanism or prosecution in criminal court, shall be subject to disciplinary sanctions. The sanctions imposed upon the resident under the resident disciplinary mechanism shall be commensurate with the resident's disciplinary history, and the sanctions imposed for comparable offenses by other residents with comparable histories. The disciplinary process shall consider whether a resident's mental disabilities or mental illness contributed to his or her behavior when determining what type of sanction, if any, should be imposed. For major disciplinary infractions the facility utilizes the applicable provisions of the disciplinary process promulgated by the Federal Bureau of Prisons. Under this system, there are various infractions that encompass conduct constituting resident-to-resident sexual abuse and defined sanctions that may be imposed when residents are found guilty of these infractions. The disciplinary mechanism includes due process protections within the hearing process. When penalties are considered, factors specific to the resident such as his or her prior disciplinary history and any relevant mental health issues faced by the resident are taken into account. This is consistent with the requirements of the standard. Interviews and discussions with administrative staff confirm that if a future incident occurred in which a resident received sanctions for engaging in resident-to-resident sexual abuse, the case would be handled in accordance with the requirements of this standard.

Policy, Materials, and Other Evidence Reviewed:

- (1) Jacksonville-Statement of Work, p. 71 (disciplinary sanctions to be commensurate with the nature of the infraction).
- (2) Federal Bureau of Prisons, Incident Report Codes.
- (3) Federal Bureau of Prisons, Statement of Programs-Inmate Discipline.
- (4) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (5) Auditor Notes-Interview with Byron Jasis, Assistant Director, Keeton Corrections - Paducah.

Standard 115.282 Access to emergency medical and mental health services

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

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.

The standard requires that victims of sexual abuse receive emergency medical treatment and crisis intervention services. The facility reports there have been no allegations of sexual abuse during the preceding 12 months. Accordingly, there have been no instances in which victims of sexual abuse have received emergency medical treatment or crisis intervention services as a result of sexual abuse. The victim shall bear no costs for the delivery of these services. The PREA policy contains specific provisions requiring victims of sexual abuse be transported to a health care facility for emergency medical treatment and forensic medical examination if appropriate. The policy further provides that mental health treatment and care will be provided to the victim. Medical and mental health services provided to the victim shall be delivered without cost to the victim. This is consistent with the requirements of the standard. Additionally, the facility has an informal agreement with the Women's Center of Jacksonville (WCJ) to provide appropriate medical and mental health services to victims of sexual abuse. Services provided include coordination of sexual assault forensic examinations, crisis intervention services, and follow-up services such as after incident counseling regarding medical and mental health issues resulting from the incident. Efforts are moving forward to finalize a formal Memorandum of Understanding (MOU) with the WCJ. Interviews and discussion with administrative staff confirmed that victims of sexual abuse will be transported to a local hospital for immediate medical treatment. Once the victim is medically stabilized arrangements for a forensic medical examination and crisis intervention counseling will be coordinated by the WCJ.

Policy, materials and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 8-9.
- (2) Email from the Director of the WCJ to Clara Hathorn, Facility Director dated May 23, 2016 re: services provided and MOU (the email specifies that the WCJ can coordinate forensic sexual assault examinations and provide crisis intervention services).
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Standard 115.283 Ongoing medical and mental health care for sexual abuse victims and abusers

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

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.

This standard requires the facility to provide a medical and mental health evaluation and treatment to residents who have been victimized by sexual abuse in any confinement facility. The types of programs and services that shall be provided are listed in sections (b)-(h) of Standard 115.283. The facility reports there have been no allegations of sexual abuse during the preceding 12 months. Accordingly, there have been no instances in which a victim of sexual abuse received ongoing medical and mental health care as the result of being sexually abused. The standard requires medical and mental health evaluations and appropriate treatment for victims of sexual abuse. The level of services shall include, as appropriate, care and treatment for incidental pregnancy, and sexually transmitted disease. The standard of care shall be commensurate with the level care for similarly situated victims within the community and shall be delivered without cost to the victim. These components of the standard have been incorporated into the PREA policy. The facility has an informal agreement with the Womens Center of Jacksonville to provide services to sexual abuse victims from the facility. The WCJ is the rape and sexual abuse crisis center for the city of Jacksonville which provides various medical and mental health services to members of the community who have been victims of sexual violence. Essentially, residents of the facility have access to the same services that are provided to victims within the community. These services include post-incident medical and mental health care. The facility is currently working with the WCJ to finalize a MOU outlining the services that are provided. Based on interviews and discussions with administrative staff, it was confirmed that should an actual incident of sexual abuse occur in the future, the victim would be afforded the services required under this standard.

Policy, Materials, Interviews and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp. 8-9.
- (2) Email from Director of WCJ to Clara Hathorn, Facility Director dated May 23, 2016 re: services provided and MOU.
- (3) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (4) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Standard 115.286 Sexual abuse incident reviews

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

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.

This standard requires that post-incident reviews be conducted at the conclusion of every sexual abuse investigation unless the allegation has been determined to be unfounded. The standard requires that incidents of this type be conducted by a designated review team. The composition of the team is addressed at (c) of Standard 115.286. Specific functions of the team are listed in (d), (1)-(6) of the standard. The facility reports that there have been no incidents of sexual sbuse, sexual harassment, or retaliation for reporting sexual abuse or sexual harassment over the past 12 months. The PREA policy includes a provision that provides for a sexual abuse incident review team. The policy provides that in the event a sexual abuse incident occurred, it would be reviewed within 30 days of the incident by a team composed of upper-level management officials who will consider input from line supervisors, investigators, and medical and mental health practitioners. Since the facility does not employ medical or mental health staff it is recommended that the facility explore the feasibility of utilizing medical/mental health staff from the Womens Center of Jacksonville (WCJ). The facility is currently working to develop an MOU with WCJ regarding other services that will be provided to the facility. Although there has not been an actual allegation of sexual abuse it was determined through interviews and discussions with administrative staff that should an actual sexual abuse incident occur in the future it will be reviewed by an incident review team in accordance with the requirements of the standard.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, pp.10-11.
- (2) Auditor Notes-Interview with Clara Hathorn, Facility Director.
- (3) Auditor Notes-Interview with Karen Hall, Vice President/Operations.
- (4) Auditor Notes-Interview with Terracina Davis, Quality Assurance Manager (agency-level) and Agency PREA Coordinator.
- (5) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.

Standard 115.287 Data collection

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

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.

This standard requires that data be collected and maintained regarding all sexual abuse allegations occurring within the agency. The facility reports that there were no incidents of sexual abuse, sexual harassment, or retaliation for reporting sexual abuse or sexual harassment during the preceding 12 months. This standard requires that uniform data regarding sexual abuse allegations within the agency is collected and maintained within the corporate office. The data is to be aggregated on an annual basis and submitted to the Deaprtment of Justice upon request. The agency reports there have been no reported allegations of sexual abuse for the past year. Based on interviews with administrative staff, it was determined that data regarding incidents of sexual abuse allegations have not been captured and compiled because there have been no reportable incidents to date. Although there have been no reportable incidents, the data should still be captured even if the value of the number of reportable incidents is zero. The collection and publication of this data on an annualized basis creates a baseline by which the agency can compare the annualized data for one year to the data collected for subsequent years. This enables stakeholders to conduct an analysis of trends over time. Although there is a polcy provision in the PREA policy at p. 12 for the collection of this data, it has not been collected as a matter of practice.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, page 12.
- (2) Auditor Notes- Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.
- (3) Auditor Notes- Interview with Karen Hall, Vice President/Operations.
- (4) Auditor Notes-Interview with Terracina Davis, Agency Quality Assurance Manager (agency level) and Agency PREA Coordinator.

Corrective Action Required:

- (1) Set up an agency-level data base recording the number of allegations of sexual abuse allegations from the individual facilities

within the agency (utilizing the definitions within Standards 115.5 and 115.6).

- (2) The data base should be designed so that the collected data can be aggregated based on an annualized reporting period such as calendar year or fiscal year.
- (3) Ensure the collected data is securely stored and provided to the DOJ upon request.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Set up an agency-level data base recording the number of allegations of sexual abuse from the individual facilities within the agency (utilizing the definitions within Standards 115.5 and 115.6).
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 11, 2016 the auditor reviewed the monthly PREA Report Form the agency designed to collect data regarding allegations of sexual abuse occurring at facilities within the agency. The agency has initiated a centralized data base designed to capture allegations of sexual abuse occurring within any of the individual facilities within the agency. This was confirmed in an email from Byron Jasis dated November 9, 2016. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Byron Jasis dated November 9, 2016 confirming the establishment of the data base designed to capture allegations of sexual abuse occurring at any of the facilities within the agency.
- (2) PREA Report Form.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- The data base should be designed so that the collected data can be aggregated based on an annualized reporting period such as calendar year or fiscal year.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

The data base was designed to enable the data to be aggregated on an annualized basis. The agency will be using a reporting year beginning on August 1 and ending on July 31. This was confirmed in an email from Byron Jasis dated November 9, 2016. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Email from Byron Jasis dated November 9, 2016 confirming the data base is designed to aggregate data on an annualized basis.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Ensure the collected data is securely stored and provided to the DOJ upon request.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. The policy has been amended to include a provision that the collected data shall be securely stored and made available to the DOJ upon request. On November 1, 2016 I reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained on the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (amended) at page 12.
- (2) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained on the revised policy.

Standard 115.288 Data review for corrective action

- Exceeds Standard (substantially exceeds requirement of standard)

- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (requires corrective action)

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.

Under the requirements of this standard, the data collected in accordance with 115.187 will be utilized to assess and improve the effectiveness of the agency’s sexual abuse prevention, detection and response policies, practices, and training including: identifying problem areas; taking corrective action on an on-going basis; and preparing an annual report of its findings and corrective action for each facility and the agency as a whole. The contents of the report will include a comparison of the current year data with data and corrective actions collected from the previous year as a means of assessing the agency’s progress in addressing sexual abuse. The report shall be available to the public by publication on the agency website. The requirements of this standard cannot be met until the the data collection system outlined in standard 115.287 is implemented. Although the PREA policy contains a provision regarding the collection and storage of data, the policy does not address all of the requirements outlined at Section (a) of Standard 115.288. Based on interviews and discussions with administrative staff, it was determined that the agency efforts toward the the collection, storage, and publication of sexual abuse data are in the beginning stages but significant effort will be required to bring the agency into compliance with Standards 115.287, 115.288, and 115.289.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p. 12.
- (2) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.
- (3) Auditor Notes-Interview with Karen Hall, Vice President/Operations.

Corrective Action Required:

- (1) Amend the PREA policy at p. 12 to include a provision that the agency will review the data collected and utilize the information to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training.
- (2) Amend the PREA policy at p.12 and replace “Bureau of Prisons website “ with “Keeton Corrections Inc. website.”
- (3) Amend the PREA policy at p. 12 and add a provision for the publication of an annual report based on the review of the data which includes the findings and corrective action for each facility and the agency as a whole, and a comparison with previous years findings (beginning in year two of the process).
- (4) Train staff in the policy revisions and document the training.
- (5) Publish the report on the agency (Keeton Corrections, Inc.) website.
- (6) Ensure any personal identifying information is not included in the published report.

(1) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Amend the PREA policy at p. 12 to include a provision that the agency will review the data collected and utilize the information to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language has been added to the policy that states that the agency will review the data collected regarding incidents of sexual abuse and utilize the information to assess and improve the effectiveness of the agency sexual abuse prevention, detection, and response policies, practices, and training. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (amended) at page 12.

(2) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.

- (B) Task- Amend the PREA policy at p.12 and replace “Bureau of Prisons website “ with “Keeton Corrections Inc. website.”
- (C) Anticipated Completion Date-August 18, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse, and Assault and PREA. Language has been added to the policy replacing “Bureau of Prisons website” with “Keeton Corrections Inc. website.” The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA (revised) at pp.12-13.

(3) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Amend the PREA policy at p. 12 and add a provision for the publication of an annual report based on the review of the data which includes the findings and corrective action for each facility and the agency as a whole, and a comparison with previous years findings (beginning in year two of the process).
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy stating the agency shall publish an annual report based on the review of the data collected regarding allegations of sexual abuse occurring at any of the facilities within the agency. The report shall include the findings and corrective action for each facility and the agency as a whole. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and assault and PREA (revised) at pp. 12-13.

(4) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Train staff in the policy revisions and document the training.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

- (1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

(5) Plan of Corrective Action/Deliverables:

- (A) Assigned Staff-Byron Jasis and the Facility Director.
- (B) Task- Publish the report on the agency (Keeton Corrections, Inc.) website.
- (C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy stating that the annual report generated as a result of the annualized data collection would be published on the agency website. The first annualized reporting period started on August 1, 2016 and will end on July 31, 2017. The annual report reflecting this collection period shall be published during the month of August in 2017. This was confirmed in an email from Byron Jasis dated November 9, 2016. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

PREA Audit Report

(1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at pp. 12-13.

(6) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Ensure any personal identifying information is not included in the published report.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22), Sexual Abuse and Assault and PREA. Language has been added to the policy stating that when the annual report is published any identifying information would not be included in the report. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at page 13.

Standard 115.289 Data storage, publication, and destruction

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

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.

This standard addresses the requirements for the storage, publication, and and destruction of sexual abuse data. The requirements of this standard cannot be met until the requirements of Standard 115.287 have been implemented. The data collected in accordance with Standard 115.187 shall be securely maintained. Before the data regarding sexual abuse is made available to the public any personal identifiers shall be removed. This standard requires that the the collected information be securely stored and maintained for at least 10 years after the date of collection, that the data does not contain personal identifying information, and that the information be published on the agency website. Based on interviews and discussion with administrative staff, it was determined that the agency efforts toward the collection, storage, and publication of sexual abuse data are in the beginning stages. The requirements for storage, publication and destruction of the data cannot be implemented until the initial requirements regarding the collection of the data have been met.

Policy, Materials, Interviews, and other Evidence Reviewed:

- (1) Keeton Corrections Policy and Procedure 22, Sexual Abuse and Assault and PREA, p.12.
- (2) Auditor Notes-Discussion with Byron Jasis, Assistant Director, Keeton Corrections -Paducah.
- (3) Auditor Notes-Interview with Karen Hall, Vice President/Operations.

Corrective Action Required:

- (1) Amend the PREA policy at p.12 and add policy provisions regarding the storage, retention, and publication of information regarding sexual abuse allegations to conform with the requirements of this standard as stated above.
- (2) Train staff on the policy revisions and document the training.

1) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Amend the PREA policy at p.12 and add policy provisions regarding the storage, retention, and publication of information regarding sexual abuse allegations to conform with the requirements of this standard as stated above.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On August 26, 2016 the auditor reviewed Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA. Language was added to the policy addressing the storage, retention, and publication of information regarding sexual abuse allegations occurring within the agency. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Keeton Corrections Policy and Procedure 23.1 (formerly Policy 22) Sexual Abuse and Assault and PREA (revised) at pp. 12-13.

(2) Plan of Corrective Action/Deliverables:

(A) Assigned Staff-Byron Jasis and the Facility Director.

(B) Task- Train staff on the policy revisions and document the training.

(C) Anticipated Completion Date-October 5, 2016.

Verification of Corrective Action Since the Audit:

On November 1, 2016 the auditor reviewed a memorandum from Terracina Davis dated November 1, 2016 documenting facility staff had been trained in the revised policy. The facility is now in compliance with this corrective action item and the standard in general.

Policy, Materials, Interviews, and Other Evidence Reviewed:

(1) Memorandum from Terracina Davis dated November 1, 2016 documenting that facility staff had been trained in the revised policy.

AUDITOR CERTIFICATION

I certify that:

- The contents of this report are accurate to the best of my knowledge.
- No conflict of interest exists with respect to my ability to conduct an audit of the agency under review, and
- I have not included in the final report any personally identifiable information (PII) about any inmate or staff member, except where the names of administrative personnel are specifically requested in the report template.

Joseph P. Rion

November 10, 2016

Auditor Signature

Date