

# Prison Rape Elimination Act (PREA) Audit Report Community Confinement Facilities

Interim       Final

Date of Report 02/04/19

## Auditor Information

|                                |                                    |
|--------------------------------|------------------------------------|
| Name: Chris Sweney             | Email: csweney.prea@gmail.com      |
| Company Name: Sweney Group LLC |                                    |
| Mailing Address: P.O. Box 8840 | City, State, Zip: Omaha NE, 68108  |
| Telephone: (402) 658-0344      | Date of Facility Visit: 11/08/2018 |

## Agency Information

|   |                                   |   |  |
|---|-----------------------------------|---|--|
| Name of Agency:<br>Westhab Inc.                   |                                   | Governing Authority or Parent Agency (If Applicable):<br>Click or tap here to enter text.                     |  |
| Physical Address: 8 Bashford St.                  |                                   | City, State, Zip: Yonkers NY, 10701   |  |
| Mailing Address: Click or tap here to enter text. |                                   | City, State, Zip: Click or tap here to enter text.  |  |
| Telephone: (914) 345-2800                         |                                   | Is Agency accredited by any organization? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |  |
| The Agency Is:                                    | <input type="checkbox"/> Military | <input type="checkbox"/> Private for Profit   | <input checked="" type="checkbox"/> Private not for Profit |
| <input type="checkbox"/> Municipal                | <input type="checkbox"/> County   | <input type="checkbox"/> State  | <input type="checkbox"/> Federal                           |

Agency Website with PREA Information: <https://www.westhab.org/programs/>

## Agency Chief Executive Officer

|  |                           |
|--|---------------------------|
| Name: Richard Nightingale              | Title: President and CEO  |
| Email: richard.nightingale@westhab.org | Telephone: (914) 345-2800 |

## Agency-Wide PREA Coordinator

|                                   |                                   |
|-----------------------------------|-----------------------------------|
| Name: Sarah Lonergan              | Title: Senior Case Manager        |
| Email: sarah.lonergan@westhab.org | Telephone: (914) 365-0445 ext. 11 |

|  |   |
|--|---|
| <b>PREA Coordinator Reports to:</b><br>Percio Bernal, Director of Supportive Housing | <b>Number of Compliance Managers who report to the PREA Coordinator</b> 0 |
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### Facility Information

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| <b>Name of Facility:</b> Windham Residence |
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|   |
|---|
| <b>Physical Address:</b> 5 Hudson St., Yonkers NY 10701 |
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| <b>Mailing Address (if different than above):</b> Click or tap here to enter text. |
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|   |
|---|
| <b>Telephone Number:</b> (914) 965-0445 |
|---|

|                         |                                   |   |  |
|-------------------------|-----------------------------------|---|--|
| <b>The Facility Is:</b> | <input type="checkbox"/> Military | <input type="checkbox"/> Private for Profit | <input checked="" type="checkbox"/> Private not for Profit |
|-------------------------|-----------------------------------|---|--|

|                                    |                                 |                                |                                  |
|------------------------------------|---------------------------------|--------------------------------|----------------------------------|
| <input type="checkbox"/> Municipal | <input type="checkbox"/> County | <input type="checkbox"/> State | <input type="checkbox"/> Federal |
|------------------------------------|---------------------------------|--------------------------------|----------------------------------|

|                       |  |  |   |
|-----------------------|--|--|---|
| <b>Facility Type:</b> | <input type="checkbox"/> Community treatment center            | <input checked="" type="checkbox"/> Halfway house              | <input type="checkbox"/> Restitution center |
|                       | <input type="checkbox"/> Mental health facility                | <input type="checkbox"/> Alcohol or drug rehabilitation center |   |
|                       | <input type="checkbox"/> Other community correctional facility |  |   |

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| <b>Facility Website with PREA Information:</b> <a href="https://www.westhab.org/programs/">https://www.westhab.org/programs/</a> |
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| <b>Have there been any internal or external audits of and/or accreditations by any other organization?</b> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
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### Director

|                            |  |
|----------------------------|--|
| <b>Name:</b> Percio Bernal | <b>Title:</b> Director of Supportive Housing |
|----------------------------|--|

|   |   |
|---|---|
| <b>Email:</b> percio.bernal@westhab.org | <b>Telephone:</b> (914) 345-2800 ext. 170 |
|---|---|

### Facility PREA Compliance Manager

|                             |                                   |
|-----------------------------|-----------------------------------|
| <b>Name:</b> Sarah Lonergan | <b>Title:</b> Senior Case Manager |
|-----------------------------|-----------------------------------|

|  |  |
|--|--|
| <b>Email:</b> sarah.lonergan@westhab.org | <b>Telephone:</b> (914) 365-0445 ext. 11 |
|--|--|

### Facility Health Service Administrator

|                  |  |
|------------------|--|
| <b>Name:</b> N/A | <b>Title:</b> Click or tap here to enter text. |
|------------------|--|

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| <b>Email:</b> Click or tap here to enter text. | <b>Telephone:</b> Click or tap here to enter text. |
|--|--|

### Facility Characteristics

|  |  |   |   |
|--|--|---|---|
| Designated Facility Capacity: 45   |  | Current Population of Facility: 40      |   |
| Number of residents admitted to facility during the past 12 months   |  |   | 11  |
| Number of residents admitted to facility during the past 12 months who were transferred from a different community confinement facility:   |  |   | N/A   |
| Number of residents admitted to facility during the past 12 months whose length of stay in the facility was for 30 days or more:   |  |   | 10  |
| Number of residents admitted to facility during the past 12 months whose length of stay in the facility was for 72 hours or more:  |  |   | 11  |
| Number of residents on date of audit who were admitted to facility prior to August 20, 2012:   |  |   | 0   |
| Age Range of Population:   | <input checked="" type="checkbox"/> Adults | <input type="checkbox"/> Juveniles      | <input type="checkbox"/> Youthful residents |
|  | 26-55                                      | Click or tap here to enter text.        | Click or tap here to enter text.            |
| Average length of stay or time under supervision:  |  |   | 4 Months                                    |
| Facility Security Level:   |  |   | Residential                                 |
| Resident Custody Levels:   |  |   | Click or tap here to enter text.            |
| Number of staff currently employed by the facility who may have contact with residents:  |  |   | 9   |
| Number of staff hired by the facility during the past 12 months who may have contact with residents:   |  |   | 2   |
| Number of contracts in the past 12 months for services with contractors who may have contact with residents:   |  |   | 0   |
| <b>Physical Plant</b>  |  |   |   |
| Number of Buildings: 1   |  | Number of Single Cell Housing Units: 39 |   |
| Number of Multiple Occupancy Cell Housing Units:   |  | 3                                       |   |
| Number of Open Bay/Dorm Housing Units:   |  | 0                                       |   |
| Description of any video or electronic monitoring technology (including any relevant information about where cameras are placed, where the control room is, retention of video, etc.): |  |   |   |
| There are security cameras on every floor which are monitored by a security monitor at the front desk.   |  |   |   |
| <b>Medical</b>   |  |   |   |
| Type of Medical Facility:  |  | N/A                                     |   |
| Forensic sexual assault medical exams are conducted at:  |  | Saint Joseph's Medical Center           |   |
| <b>Other</b>   |  |   |   |
| Number of volunteers and individual contractors, who may have contact with residents, currently authorized to enter the facility:  |  |   | 1   |
| Number of investigators the agency currently employs to investigate allegations of sexual abuse:   |  |   | 0   |

# Audit Findings

## Audit Narrative

A PREA audit of the Westhab Inc. Windham Residents was conducted November 8, 2018 by Chris Sweney, Certified PREA auditor. As part of the audit a full tour of the facility was conducted along with document reviews and staff and resident interviews. The tour included all area of the facility including resident rooms, bathroom/shower areas, laundry, the control room, and administrative offices. Pre-Audit posters were observed in all housing and common areas. The auditor did not receive any written correspondence from residents or staff prior to the onsite visit.

Following the tour the Senior Case Manager provided the auditor with a roster of staff assigned to the facility. A total of three (3) random staff interviews were conducted. Random staff interviews included questions about PREA training they had received, policies that are in place, unannounced rounds and first responder duties and responsibilities. Targeted staff interviews included the Director of Supportive Housing, Senior Case Manager/PREA Coordinator, Program Volunteer, and NYDOCC-SID Investigative Officer (by phone) responsible for PREA related investigations. A total of seven (7) formal staff interviews were completed.

Following staff interviews the Senior Case Manager provided the auditor with a roster of all (40) forty residents including four (4) parolees assigned to the facility. Residents were randomly selected by the auditor. One resident who spoke limited English was interviewed. One resident where identified that he was hearing impaired was interviewed. There were no residents who identified as lesbian, gay or transgender. A total of ten (10) formal resident interviews were completed. The Windham Residents reported no allegations of sexual abuse or harassment in the past twelve months.

## Facility Characteristics

The Windham Residents is a transitional living facility located in Yonkers NY. The Windham Residents has thirty-nine individual living units with five units reserved for parolees released from the New York State Department of Corrections and Community Supervision. Residents on parole remain at Windham Residents up to one-hundred and twenty days. Each resident is assigned a Case Manager to assist them in obtaining community services/resources as they move toward more permanent housing.

## Summary of Audit Findings

**Number of Standards Exceeded:** 2

**Standard 115.231: Employee training**  
**Standard 115.233: Resident education**

**Number of Standards Met:** 39

**Number of Standards Not Met:** 0

### Summary of Corrective Action (if any)

**115.217: Hiring and promotion decisions** - During the onsite visit Westhab Inc. did not have a process in place to ask all applicants specific questions about prior sexual misconduct. As of 11/06/2018 Westhab Inc. has developed and implemented a process to ask all applicants questions about prior sexual misconduct.

## PREVENTION PLANNING

### Standard 115.211: Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

All Yes/No Questions Must Be Answered by The Auditor to Complete the Report

#### 115.211 (a)

- Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment?  Yes  No
- Does the written policy outline the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment?  Yes  No

#### 115.211 (b)

- Has the agency employed or designated an agency-wide PREA Coordinator?  Yes  No
- Is the PREA Coordinator position in the upper-level of the agency hierarchy?  Yes  No
- Does the PREA Coordinator have sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities?  
 Yes  No

## Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

## Instructions for Overall Compliance Determination Narrative

Westhab Inc. - Windham Residence has zero tolerance toward all forms of sexual abuse and sexual harassment. Windham Residence policy outlines their approach to preventing, detecting, and responding to sexual abuse and harassment.

The Windham Residence Senior Case Manager is designated as the PREA Coordinator/PREA Compliance Manager responsible for PREA compliance. During her interview she indicated she had sufficient time and authority to develop, implement, and oversee efforts to comply with the PREA standards.

## Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
Senior Case Manager/PREA Coordinator Interview

## Corrective Action

None Needed

## Standard 115.212: Contracting with other entities for the confinement of residents

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.212 (a)

- If this agency is public and it contracts for the confinement of its residents with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of residents.)  Yes  No  NA

#### 115.212 (b)

- Does any new contract or contract renewal signed on or after August 20, 2012 provide for

agency contract monitoring to ensure that the contractor is complying with the PREA standards? (N/A if the agency does not contract with private agencies or other entities for the confinement of residents OR the response to 115.212(a)-1 is "NO".)  Yes  No  NA

### 115.212 (c)

- If the agency has entered into a contract with an entity that fails to comply with the PREA standards, did the agency do so only in emergency circumstances after making all reasonable attempts to find a PREA compliant private agency or other entity to confine residents? (N/A if the agency has not entered into a contract with an entity that fails to comply with the PREA standards.)  Yes  No  NA
- In such a case, does the agency document its unsuccessful attempts to find an entity in compliance with the standards? (N/A if the agency has not entered into a contract with an entity that fails to comply with the PREA standards.)  Yes  No  NA

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Westhab Inc. is a non-profit organization and does not contract with other facilities for the confinement of their residents.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/Senior Case Manager/PREA Coordinator Interview

### Corrective Action

None Needed

## Standard 115.213: Supervision and monitoring

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.213 (a)

- Does the agency develop for each facility a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect residents against sexual abuse?  Yes  No

- Does the agency document for each facility a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect residents against sexual abuse?  
 Yes  No
- Does the agency ensure that each facility's staffing plan takes into consideration the physical layout of each facility in calculating adequate staffing levels and determining the need for video monitoring?  Yes  No
- Does the agency ensure that each facility's staffing plan takes into consideration the composition of the resident population in calculating adequate staffing levels and determining the need for video monitoring?  Yes  No
- Does the agency ensure that each facility's staffing plan takes into consideration the prevalence of substantiated and unsubstantiated incidents of sexual abuse in calculating adequate staffing levels and determining the need for video monitoring?  Yes  No
- Does the agency ensure that each facility's staffing plan takes into consideration any other relevant factors in calculating adequate staffing levels and determining the need for video monitoring?  Yes  No

#### 115.213 (b)

- In circumstances where the staffing plan is not complied with, does the facility document and justify all deviations from the plan? (N/A if no deviations from staffing plan.)  
 Yes  No  NA

#### 115.213 (c)

- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the staffing plan established pursuant to paragraph (a) of this section?  Yes  No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to prevailing staffing patterns?  Yes  No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the facility's deployment of video monitoring systems and other monitoring technologies?  Yes  No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the resources the facility has available to commit to ensure adequate staffing levels?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)



- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

The Windham Residence has a staffing plan that provides adequate levels of staffing and video monitoring to protect residents against sexual abuse. The Windham Residence staffing plan considers the physical layout of the facility, prevalence of substantiated and unsubstantiated incidents of sexual abuse and other relevant factors in calculating adequate staffing levels and determining the need for video monitoring. The Windham Residence most recent annual staffing plan review was completed in October 2018. Westhab Inc. policy requires the Windham Residence to document and justify any deviations from the plan. During the past twelve months there have been no deviations from the approved plan.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 Windham Residence Staffing Plan  
 Senior Case Manager/PREA Coordinator Interview  
 Resident Interviews

**Corrective Action**

None Needed

**Standard 115.215: Limits to cross-gender viewing and searches**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.215 (a)**

- Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners?  
 Yes  No

**115.215 (b)**

- Does the facility always refrain from conducting cross-gender pat-down searches of female residents, except in exigent circumstances? (N/A if less than 50 residents)   
 Yes  No  NA
- Does the facility always refrain from restricting female residents' access to regularly available programming or other outside opportunities in order to comply with this provision? (N/A if less than 50 residents)  Yes  No  NA

### 115.215 (c)

- Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches?  Yes  No
- Does the facility document all cross-gender pat-down searches of female residents?  Yes  No

### 115.215 (d)

- Does the facility implement policies and procedures that enable residents to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks?  Yes  No
- Does the facility require staff of the opposite gender to announce their presence when entering an area where residents are likely to be showering, performing bodily functions, or changing clothing?  Yes  No

### 115.215 (e)

- Does the facility always refrain from searching or physically examining transgender or intersex residents for the sole purpose of determining the resident's genital status?  Yes  No
- If a resident's genital status is unknown, does the facility determine genital status during conversations with the resident, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner?  Yes  No

### 115.215 (f)

- Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?  Yes  No
- Does the facility/agency train security staff in how to conduct searches of transgender and intersex residents in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)

**Does Not Meet Standard** (*Requires Corrective Action*)

### **Instructions for Overall Compliance Determination Narrative**

The Windham Residence does not conduct cross-gender strip searches or cross-gender visual body cavity searches for any reason. If it is necessary to do any type of search of a parolee resident, the resident will be searched by their parole officer away from the facility. The Windham Residence does not restrict female residents' access to available programming due to a lack of female staff.

The Windham Residence has policies and procedures that enable residents to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia. Windham Residence policies require staff of the opposite gender to announce their presence when entering the floor and resident rooms. Resident interviews indicated that both male and female staff are respectful for their privacy and make announcements as required by policy.

Westhab staff do not, for any reason, search or physically examine a transgender or intersex residents for the sole purpose of determining the resident's genital status.

All staff is trained how to conduct pat-down searches, and searches of transgender and intersex residents, in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs.

### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

### **Corrective Action**

None Needed

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

### **All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

#### **115.216 (a)**

- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Residents who are deaf or hard of hearing?  Yes  No

- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Residents who are blind or have low vision?  Yes  No
- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Residents who have intellectual disabilities?  Yes  No
- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Residents who have psychiatric disabilities?  Yes  No
- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Residents who have speech disabilities?  Yes  No
- Does the agency take appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Other? (if "other," please explain in overall determination notes.)  Yes  No
- Do such steps include, when necessary, ensuring effective communication with residents who are deaf or hard of hearing?  Yes  No
- Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?  Yes  No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Have intellectual disabilities?  Yes  No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Have limited reading skills?  Yes  No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Are blind or have low vision?  Yes  No

#### 115.216 (b)

- Does the agency take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to residents who are limited English proficient?  Yes  No
- Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?  Yes  No

### 115.216 (c)

- Does the agency always refrain from relying on resident interpreters, resident readers, or other types of resident assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the resident's safety, the performance of first-response duties under §115.264, or the investigation of the resident's allegations?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residence takes appropriate steps to ensure that residents with disabilities have an equal opportunity to participate in their efforts to prevent, detect, and respond to sexual abuse and sexual harassment.

The Windham Residence ensures that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities, including residents who have intellectual disabilities, limited reading skills, or who are blind or have low vision. Residents indicated that PREA information was explained to them during their introduction to the facility and that they understood the information they received.

The Windham Residence takes steps to ensure access to all aspects of their efforts to prevent, detect, and respond to sexual abuse and sexual harassment to residents who are limited English proficient, including providing materials in multiple languages and providing interpreters when necessary.

The Windham Residence does not rely on resident interpreters except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the resident's safety.

## Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. - PREA for People with Disabilities  
Senior Case Manager/PREA Coordinator Interview  
Resident Interviews

### Corrective Action

None Needed

## Standard 115.217: Hiring and promotion decisions

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.217 (a)

- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents who: Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?  Yes  No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents who: Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?  Yes  No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents who: Has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above?  Yes  No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents who: Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?  Yes  No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents who: Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?  Yes  No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents who: Has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above?  Yes  No

### 115.217 (b)

- Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor, who may have contact with residents?  Yes  No

#### 115.217 (c)

- Before hiring new employees, who may have contact with residents, does the agency: Perform a criminal background records check?  Yes  No
- Before hiring new employees, who may have contact with residents, does the agency: Consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse?  Yes  No

#### 115.217 (d)

- Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with residents?  Yes  No

#### 115.217 (e)

- Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with residents or have in place a system for otherwise capturing such information for current employees?  Yes  No

#### 115.217 (f)

- Does the agency ask all applicants and employees who may have contact with residents directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions?  Yes  No
- Does the agency ask all applicants and employees who may have contact with residents directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees?  Yes  No
- Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct?  Yes  No

#### 115.217 (g)

- Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination?  Yes  No

#### 115.217 (h)

- Unless prohibited by law, does the agency provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work? (N/A if providing

information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.)  Yes  No  NA

### **Auditor Overall Compliance Determination**

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### **Instructions for Overall Compliance Determination Narrative**

Westhab Inc. does not hire, promote or contractor with anyone who may have contact with residents, who have engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution or has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or has been civilly or administratively adjudicated to have engaged in such activity. Westhab Inc. considers any incidents of sexual harassment in determining whether to hire, promote, or contract with anyone who may have contact with residents.

Before hiring new employees who may have contact with residents, Westhab Inc. Submits all potential hires for criminal background record checks; and consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse.

Criminal background checks are completed before enlisting the services of any contractor who may have contact with residents.

All employees have background checks conducted every five years during their employment at Windham Residence. Additionally, policy requires staff to report any criminal charges immediately.

During the onsite visit Westhab Inc. did not have a process in place to ask all applicants questions about prior sexual misconduct.

Westhab Inc. provides information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work.

### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES



## Senior Case Manager/PREA Coordinator Interview

### Corrective Action

During the onsite visit Westhab Inc. did not have a process in place to ask all applicants specific questions about prior sexual misconduct. As of 11/06/2018 Westhab Inc. has developed and implemented a process to ask all applicants questions about prior sexual misconduct.

## Standard 115.218: Upgrades to facilities and technologies

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.218 (a)

- If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect residents from sexual abuse? (N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.)  
 Yes  No  NA

#### 115.218 (b)

- If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance the agency's ability to protect residents from sexual abuse? (N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.)  
 Yes  No  NA

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residence has not acquired a new facility or made a substantial expansion to their existing facility or installed or updated their video monitoring system, electronic surveillance system, or other monitoring technology since prior to August 20, 2012.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Facility Tour/Camera Placement

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

**Corrective Action**

None Needed

## RESPONSIVE PLANNING

### Standard 115.221: Evidence protocol and forensic medical examinations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.221 (a)

- If the agency is responsible for investigating allegations of sexual abuse, does the agency follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)  
 Yes  No  NA

#### 115.221 (b)

- Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)  Yes  No  NA
- Is this protocol, as appropriate, adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)  Yes  No  NA

#### 115.221 (c)

- Does the agency offer all residents who experience sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate?  Yes  No
- Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible?  Yes  No

- If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)?  Yes  No
- Has the agency documented its efforts to provide SAFEs or SANEs?  Yes  No

#### 115.221 (d)

- Does the agency attempt to make available to the victim a victim advocate from a rape crisis center?  Yes  No
- If a rape crisis center is not available to provide victim advocate services, does the agency make available to provide these services a qualified staff member from a community-based organization, or a qualified agency staff member?  Yes  No
- Has the agency documented its efforts to secure services from rape crisis centers?  Yes  No

#### 115.221 (e)

- As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews?  Yes  No
- As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals?  Yes  No

#### 115.221 (f)

- If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating entity follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.)  Yes  No  NA

#### 115.221 (g)

- Auditor is not required to audit this provision.

#### 115.221 (h)

- If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? (Check N/A if agency attempts to make a victim advocate from a rape crisis center available to victims per 115.221(d) above.)  Yes  No  NA

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

Westhab Inc. does not conduct any type of criminal or administrative investigation, but fully cooperates with the New York State Department of Corrections and Community Supervision, Office of Parole, Office of Special Investigations, and/or City of Yonkers Police Department to ensure that these agencies have the proper information to conduct investigation(s). The Office of Special Investigations and/or City of Yonkers Police Department are the law enforcement authority for the Windham Residence.

If staff receives information that a resident was sexually abused, or is in danger of being sexually abused, the PREA Coordinator will immediately contact the Director of Supportive Housing, Contract Monitor and Office of Special Investigations, and/or City of Yonkers Police Department to inform them of what has occurred, and shall follow their instructions and guidelines to ensure the safety of the resident.

The Windham Residence offers all victims of sexual abuse access to forensic medical examinations at an outside facility, without financial cost, where evidentiary or medically appropriate. Such examinations are performed by certified Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs).

The Windham Residence makes available a victim advocate from the Crime Victim Assistance Center and also provides access to the New York State Sexual Violence Hotline.

If requested by the victim, a victim advocate will accompany and support the victim through the forensic medical examination process and investigatory interviews and provide emotional support, crisis intervention, information, and referrals.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. Website (<https://www.westhab.org/prea-policy/?hilite=%27sex%27>)

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

**Corrective Action**

None Needed

## Standard 115.222: Policies to ensure referrals of allegations for investigations

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.222 (a)

- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse?  Yes  No
- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment?  Yes  No

#### 115.222 (b)

- Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior?  Yes  No
- Has the agency published such policy on its website or, if it does not have one, made the policy available through other means?  Yes  No
- Does the agency document all such referrals?  Yes  No

#### 115.222 (c)

- If a separate entity is responsible for conducting criminal investigations, does such publication describe the responsibilities of both the agency and the investigating entity? [N/A if the agency/facility is responsible for conducting criminal investigations. See 115.221(a).]  
 Yes  No  NA

#### 115.222 (d)

- Auditor is not required to audit this provision.

#### 115.222 (e)

- Auditor is not required to audit this provision.

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

## Instructions for Overall Compliance Determination Narrative

Westhab Inc. does not conduct any type of criminal or administrative investigation, but fully cooperates with the New York State Department of Corrections and Community Supervision, Office of Parole, Office of Special Investigations, and/or City of Yonkers Police Department to ensure that these institutions have the proper information to conduct their investigation(s).

Windham Residence staff is required by policy to ensure that all allegations of sexual abuse or sexual harassment are referred for investigation. Windham Residence staff is required to document all such referrals. The Westhab Inc. PREA policy is published on their website.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. Website (<https://www.westhab.org/prea-policy/?hilite=%27sex%27>)

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

### Corrective Action

None Needed

## TRAINING AND EDUCATION

### Standard 115.231: Employee training

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.231 (a)

- Does the agency train all employees who may have contact with residents on: Its zero-tolerance policy for sexual abuse and sexual harassment?  Yes  No
- Does the agency train all employees who may have contact with residents on: How to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures?  Yes  No
- Does the agency train all employees who may have contact with residents on: Residents' right to be free from sexual abuse and sexual harassment  Yes  No
- Does the agency train all employees who may have contact with residents on: The right of residents and employees to be free from retaliation for reporting sexual abuse and sexual harassment?  Yes  No

- Does the agency train all employees who may have contact with residents on: The dynamics of sexual abuse and sexual harassment in confinement?  Yes  No
- Does the agency train all employees who may have contact with residents on: The common reactions of sexual abuse and sexual harassment victims?  Yes  No
- Does the agency train all employees who may have contact with residents on: How to detect and respond to signs of threatened and actual sexual abuse?  Yes  No
- Does the agency train all employees who may have contact with residents on: How to avoid inappropriate relationships with residents?  Yes  No
- Does the agency train all employees who may have contact with residents on: How to communicate effectively and professionally with residents, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming residents?  Yes  No
- Does the agency train all employees who may have contact with residents on: How to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities?  Yes  No

#### 115.231 (b)

- Is such training tailored to the gender of the residents at the employee's facility?  Yes  No
- Have employees received additional training if reassigned from a facility that houses only male residents to a facility that houses only female residents, or vice versa?  Yes  No

#### 115.231 (c)

- Have all current employees who may have contact with residents received such training?  Yes  No
- Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures?  Yes  No
- In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies?  Yes  No

#### 115.231 (d)

- Does the agency document, through employee signature or electronic verification, that employees understand the training they have received?  Yes  No

#### Auditor Overall Compliance Determination

**Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

Westhab Inc. provides all staff with training which includes their zero tolerance policy, how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies, residents’ right to be free from sexual abuse and sexual harassment, the right of residents and employees to be free from retaliation for reporting abuse and all other components of this standard. Training is completed during hire orientation and throughout employment. Employee training is documented and maintained in the employee’s file. Staff interviews verified a thorough understanding of PREA related training.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 Westhab Inc. Employee Training Documentation  
 Senior Case Manager/PREA Coordinator Interview  
 Staff Interviews

**Corrective Action**

None Needed

**Standard 115.232: Volunteer and contractor training**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.232 (a)**

- Has the agency ensured that all volunteers and contractors who have contact with residents have been trained on their responsibilities under the agency’s sexual abuse and sexual harassment prevention, detection, and response policies and procedures?  Yes  No

**115.232 (b)**

- Have all volunteers and contractors who have contact with residents been notified of the agency’s zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with residents)?  Yes  No

**115.232 (c)**



- Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Westhab Inc. ensures that all volunteers and contractors who have contact with residents have been trained on their responsibilities under their sexual abuse and sexual harassment prevention, detection, and response policies.

All visitors to Windham Residents including volunteers and contractors are notified of their zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents. All visitors are required to sign and acknowledge they have received PREA information prior to entering the facility. Documentation confirming that volunteers and contractors understand this training is maintained at the facility.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. – Volunteer PREA Information and Acknowledgment

Senior Case Manager/PREA Coordinator Interview

Volunteer Interview

### Corrective Action

None Needed

## Standard 115.233: Resident education

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.233 (a)

- During intake, do residents receive information explaining: The agency's zero-tolerance policy regarding sexual abuse and sexual harassment?  Yes  No
- During intake, do residents receive information explaining: How to report incidents or suspicions of sexual abuse or sexual harassment?  Yes  No

- During intake, do residents receive information explaining: Their rights to be free from sexual abuse and sexual harassment?  Yes  No
- During intake, do residents receive information explaining: Their rights to be free from retaliation for reporting such incidents?  Yes  No
- During intake, do residents receive information regarding agency policies and procedures for responding to such incidents?  Yes  No

#### 115.233 (b)

- Does the agency provide refresher information whenever a resident is transferred to a different facility?  Yes  No

#### 115.233 (c)

- Does the agency provide resident education in formats accessible to all residents, including those who: Are limited English proficient?  Yes  No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are deaf?  Yes  No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are visually impaired?  Yes  No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are otherwise disabled?  Yes  No
- Does the agency provide resident education in formats accessible to all residents, including those who: Have limited reading skills?  Yes  No

#### 115.233 (d)

- Does the agency maintain documentation of resident participation in these education sessions?  Yes  No

#### 115.233 (e)

- In addition to providing such education, does the agency ensure that key information is continuously and readily available or visible to residents through posters, resident handbooks, or other written formats?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

The Windham Residents provides all residents with information about PREA during the intake process within the first few hours of arrival. Residents receive information explaining Westhab's

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 and

sexual harassment and to be free from retaliation for reporting such incidents, and regarding agency policies and procedures for responding to such incidents.

The Windham Residents provide resident education in multiple formats accessible to all residents, including those who are limited English proficient, deaf, visually impaired, or otherwise disabled as well as residents who have limited reading skills.

The Windham Residents maintains documentation of resident participation in these education sessions in their resident file.

The Windham Residents ensures that key information is continuously and readily available or visible to residents through posters and resident handbooks.

Resident interviews confirmed that information is received during the intake process and reviewed with the Senior Case Manager. Residents had a thorough understanding of the PREA standards and their rights to be free from sexual abuse and harassment.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. – Resident PREA Brochure and Acknowledgment

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

**Corrective Action**

None Needed

**Standard 115.234: Specialized training: Investigations**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.234 (a)**

- In addition to the general training provided to all employees pursuant to §115.231, does the agency ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators have received training in conducting such investigations in confinement settings? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA

#### 115.234 (b)

- Does this specialized training include: Techniques for interviewing sexual abuse victims? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA
- Does this specialized training include: Proper use of Miranda and Garrity warnings? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA
- Does this specialized training include: Sexual abuse evidence collection in confinement settings? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA
- Does this specialized training include: The criteria and evidence required to substantiate a case for administrative action or prosecution referral? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA

#### 115.234 (c)

- Does the agency maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA

#### 115.234 (d)

- Auditor is not required to audit this provision.

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Westhab Inc. does not conduct any type of criminal or administrative investigation, but fully cooperates with the New York State Department of Corrections and Community Supervision, Office of Parole, Office of Special Investigations, and/or City of Yonkers Police Department to ensure that these agencies have the proper information to conduct investigation(s). The Office of Special Investigations and/or City of Yonkers Police Department are the law enforcement authority for the Windham Residence.

If staff receives information that a resident was sexually abused, or is in danger of being sexually abused, the PREA Coordinator will immediately contact the Director of Supportive Housing, Contract Monitor and Office of Special Investigations, and/or City of Yonkers Police Department to inform them of what has occurred, and shall follow their instructions and guidelines to ensure the safety of the resident.

Investigators from the New York State Department of Corrections and Community Supervision Office of Special Investigations receives specialized training which includes techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and criteria and evidence required to substantiate a case for administrative action or prosecution referral. Documentation of specialized investigator training is maintained by the NYDOCC.

#### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

#### **Corrective Action**

None Needed

### **Standard 115.235: Specialized training: Medical and mental health care**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

#### **115.235 (a)**

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in: How to detect and assess signs of sexual abuse and sexual harassment?  Yes  No
- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in: How to preserve physical evidence of sexual abuse?  Yes  No
- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in: How to respond effectively and professionally to victims of sexual abuse and sexual harassment?  Yes  No

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in: How and to whom to report allegations or suspicions of sexual abuse and sexual harassment?  Yes  No

#### 115.235 (b)

- If medical staff employed by the agency conduct forensic examinations, do such medical staff receive appropriate training to conduct such examinations? N/A if agency medical staff at the facility do not conduct forensic exams.)  Yes  No  NA

#### 115.235 (c)

- Does the agency maintain documentation that medical and mental health practitioners have received the training referenced in this standard either from the agency or elsewhere?  Yes  No

#### 115.235 (d)

- Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.231?  Yes  No
- Do medical and mental health care practitioners contracted by and volunteering for the agency also receive training mandated for contractors and volunteers by §115.232? [N/A for circumstances in which a particular status (employee or contractor/volunteer) does not apply.]  Yes  No  NA

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Westhab Inc. does not provide any type of on-site medical services. All medical services are provided by local community hospitals. Windham Resident's staff has provided area hospitals with information about PREA and the facilities responsibility to prevent, detect, and respond to sexual abuse and harassment.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Email documentation providing PREA related information to area hospitals.

Senior Case Manager/PREA Coordinator Interview

**Corrective Action**

None Needed

**SCREENING FOR RISK OF SEXUAL VICTIMIZATION  
AND ABUSIVENESS**

**Standard 115.241: Screening for risk of victimization and abusiveness**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.241 (a)**

- Are all residents assessed during an intake screening for their risk of being sexually abused by other residents or sexually abusive toward other residents?  Yes  No
- Are all residents assessed upon transfer to another facility for their risk of being sexually abused by other residents or sexually abusive toward other residents?  Yes  No

**115.241 (b)**

- Do intake screenings ordinarily take place within 72 hours of arrival at the facility?  
 Yes  No

**115.241 (c)**

- Are all PREA screening assessments conducted using an objective screening instrument?  
 Yes  No

**115.241 (d)**

- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has a mental, physical, or developmental disability?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The age of the resident?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The physical build of the resident?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has previously been incarcerated?  
 Yes  No

- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident's criminal history is exclusively nonviolent?  
 Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has prior convictions for sex offenses against an adult or child?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the resident about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the resident is gender non-conforming or otherwise may be perceived to be LGBTI)?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has previously experienced sexual victimization?  Yes  No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The resident's own perception of vulnerability?  Yes  No

#### 115.241 (e)

- In assessing residents for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: prior acts of sexual abuse?  Yes  No
- In assessing residents for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: prior convictions for violent offenses?  Yes  No
- In assessing residents for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: history of prior institutional violence or sexual abuse?  
 Yes  No

#### 115.241 (f)

- Within a set time period not more than 30 days from the resident's arrival at the facility, does the facility reassess the resident's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening?  Yes  No

#### 115.241 (g)

- Does the facility reassess a resident's risk level when warranted due to a: Referral?  
 Yes  No
- Does the facility reassess a resident's risk level when warranted due to a: Request?  
 Yes  No



- Does the facility reassess a resident's risk level when warranted due to a: Incident of sexual abuse?  Yes  No
- Does the facility reassess a resident's risk level when warranted due to a: Receipt of additional information that bears on the resident's risk of sexual victimization or abusiveness?  Yes  No

#### 115.241 (h)

- Is it the case that residents are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section?  Yes  No

#### 115.241 (i)

- Has the agency implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive information is not exploited to the resident's detriment by staff or other residents?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

The Windham Residents assesses all residents upon intake for risk of being sexually abused by other residents or sexually abusive toward other residents. Intake screening generally take place within 2 hours of arrival at the facility.

The assessment is conducted using the PREA Screening Interment. The PREA Screening Interment 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 previously been 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 or 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 Interment considers prior acts of sexual abuse, prior convictions for violent offenses, and history of prior institutional violence or sexual abuse in assessing residents for risk of being sexually abusive.

Within 30 days from the resident's arrival at Windham Residents the resident's Case Manager reassess the resident's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening.

A resident's risk level is reassessed when warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the resident's risk of sexual victimization or abusiveness.

The Windham Residence does not discipline residents for refusing to answer, or for not disclosing complete information in response to, questions asked during the PREA screening.

The Windham Residence has implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to the PREA screening in order to ensure that sensitive information is not exploited to the resident's detriment by staff or other residents.

#### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

PREA Intake Screenings

Resident Files

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

#### **Corrective Action**

None Needed

### **Standard 115.242: Use of screening information**

#### **All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

#### **115.242 (a)**

- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments?  Yes  No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments?  Yes  No

- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments?  Yes  No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments?  Yes  No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments?  Yes  No

#### 115.242 (b)

- Does the agency make individualized determinations about how to ensure the safety of each resident?  Yes  No

#### 115.242 (c)

- When deciding whether to assign a transgender or intersex resident to a facility for male or female residents, does the agency consider on a case-by-case basis whether a placement would ensure the resident's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns residents to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)?  Yes  No
- When making housing or other program assignments for transgender or intersex residents, does the agency consider on a case-by-case basis whether a placement would ensure the resident's health and safety, and whether a placement would present management or security problems?  Yes  No

#### 115.242 (d)

- Are each transgender or intersex resident's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments?  Yes  No

#### 115.242 (e)

- Are transgender and intersex residents given the opportunity to shower separately from other residents?  Yes  No

#### 115.242 (f)

- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex residents, does the agency always refrain from placing: lesbian, gay, and bisexual residents in dedicated facilities, units, or wings solely on the basis of such identification or status?  Yes  No

- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex residents, does the agency always refrain from placing: transgender residents in dedicated facilities, units, or wings solely on the basis of such identification or status?  Yes  No
- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex residents, does the agency always refrain from placing: intersex residents in dedicated facilities, units, or wings solely on the basis of such identification or status?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residents uses information from the PREA Screening to inform housing, bed, and program assignments with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive. The Windham Residents makes individualized determinations about how to ensure the safety of each resident.

When making housing assignments while housed at Windham, the facility considers on a case-by-case basis whether the placement ensures the resident's health and safety, and whether the placement presents management or security issues.

Transgender or intersex resident's own views with respect to their own safety is given serious consideration.

All residents are given the opportunity to shower separately from other residents.

The Westhab Inc. does not place lesbian, gay, bisexual, transgender, or intersex residents in dedicated housing solely on the basis of such identification.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

PREA Intake Screenings

Resident Files

**Corrective Action**

None Needed

## REPORTING

### Standard 115.251: Resident reporting

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.251 (a)

- Does the agency provide multiple internal ways for residents to privately report: Sexual abuse and sexual harassment?  Yes  No
- Does the agency provide multiple internal ways for residents to privately report: Retaliation by other residents or staff for reporting sexual abuse and sexual harassment?  Yes  No
- Does the agency provide multiple internal ways for residents to privately report: Staff neglect or violation of responsibilities that may have contributed to such incidents?  Yes  No

#### 115.251 (b)

- Does the agency also provide at least one way for residents to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency?  Yes  No
- Is that private entity or office able to receive and immediately forward resident reports of sexual abuse and sexual harassment to agency officials?  Yes  No
- Does that private entity or office allow the resident to remain anonymous upon request?  Yes  No

#### 115.251 (c)

- Do staff members accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties?  Yes  No
- Do staff members promptly document any verbal reports of sexual abuse and sexual harassment?  Yes  No

#### 115.251 (d)

- Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of residents?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

The Windham Residents provides multiple internal ways for residents to privately report sexual abuse and sexual harassment, retaliation by other residents or staff for reporting sexual abuse and sexual harassment, and staff neglect or violation of responsibilities that may have contributed to such incidents.

The Windham Residents also informs residents of ways to report abuse or harassment to outside such as the Crime Victim Assistance Center and New York State Sexual Violence Hotline. These agencies are not affiliated with Westhab Inc. and are able to receive and immediately forward resident reports of sexual abuse and sexual harassment to investigative authorities. Residents may remain anonymous if requested.

Windham staff are trained and required to accept reports made verbally, in writing, anonymously, and from third parties and shall immediately document any verbal reports.

Westhab Inc. also provides a method for staff to privately report sexual abuse and sexual harassment of residents.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 PREA Posters  
 Resident Files  
 Senior Case Manager/PREA Coordinator Interview  
 Resident Interviews

**Corrective Action**

None Needed

**Standard 115.252: Exhaustion of administrative remedies**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.252 (a)**

- Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address resident grievances regarding sexual abuse. This

does not mean the agency is exempt simply because a resident does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse.  Yes  No  NA

#### 115.252 (b)

- Does the agency permit residents to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.)  Yes  No  NA
- Does the agency always refrain from requiring a resident to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse? (N/A if agency is exempt from this standard.)  Yes  No  NA

#### 115.252 (c)

- Does the agency ensure that: A resident who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.)  Yes  No  NA
- Does the agency ensure that: Such grievance is not referred to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.)  Yes  No  NA

#### 115.252 (d)

- Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by residents in preparing any administrative appeal.) (N/A if agency is exempt from this standard.)  Yes  No  NA
- If the agency determines that the 90-day timeframe is insufficient to make an appropriate decision and claims an extension of time [the maximum allowable extension of time to respond is 70 days per 115.252(d)(3)], does the agency notify the resident in writing of any such extension and provide a date by which a decision will be made? (N/A if agency is exempt from this standard.)  Yes  No  NA
- At any level of the administrative process, including the final level, if the resident does not receive a response within the time allotted for reply, including any properly noticed extension, may a resident consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.)  Yes  No  NA

#### 115.252 (e)

- Are third parties, including fellow residents, staff members, family members, attorneys, and outside advocates, permitted to assist residents in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.)  Yes  No  NA

- Are those third parties also permitted to file such requests on behalf of residents? (If a third-party files such a request on behalf of a resident, the facility may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process.) (N/A if agency is exempt from this standard.)  
 Yes    No    NA
- If the resident declines to have the request processed on his or her behalf, does the agency document the resident's decision? (N/A if agency is exempt from this standard.)  
 Yes    No    NA

### 115.252 (f)

- Has the agency established procedures for the filing of an emergency grievance alleging that a resident is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)  Yes    No    NA
- After receiving an emergency grievance alleging a resident is subject to a substantial risk of imminent sexual abuse, does the agency immediately forward the grievance (or any portion thereof that alleges the substantial risk of imminent sexual abuse) to a level of review at which immediate corrective action may be taken? (N/A if agency is exempt from this standard.)  
 Yes    No    NA
- After receiving an emergency grievance described above, does the agency provide an initial response within 48 hours? (N/A if agency is exempt from this standard.)  Yes    No    NA
- After receiving an emergency grievance described above, does the agency issue a final agency decision within 5 calendar days? (N/A if agency is exempt from this standard.)  
 Yes    No    NA
- Does the initial response and final agency decision document the agency's determination whether the resident is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)  Yes    No    NA
- Does the initial response document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)  Yes    No    NA
- Does the agency's final decision document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)  Yes    No    NA

### 115.252 (g)

- If the agency disciplines a resident for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the resident filed the grievance in bad faith? (N/A if agency is exempt from this standard.)  Yes    No    NA

### Auditor Overall Compliance Determination



- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residents does not impose a time limit on when a resident may submit a grievance regarding an allegation of sexual abuse/harassment. The Windham Residents does not require a resident to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse/harassment. The Windham Residents ensures that a resident who alleges abuse/harassment may submit a grievance without submitting it to a staff member who is the subject of the complaint, and such grievance is not referred to a staff member who is the subject of the complaint. Windham Residents issues a final decision on the merits of any portion of a grievance alleging sexual abuse/harassment within 90 days of the initial filing of the grievance. Computation of the 90-day time period does not include time consumed by residents in preparing any administrative appeal. The Windham Residents may claim an extension of time to respond, of up to 70 days, if the normal time period for response is insufficient to make an appropriate decision. The Senior Case Manager notifies the resident in writing of any such extension and provides a date by which a decision will be made. At any level of the administrative process, including the final level, if the resident does not receive a response within the time allotted for reply, including any properly noticed extension, the resident may consider the absence of a response to be a denial at that level. A resident is not punished for reporting sexual abuse/harassment in cases where the allegation is substantiated or unsubstantiated, as there is no proof in these cases that the alleged sexual violence did not happen. For unfounded allegations, a determination of bad faith should be driven by the particular factors of the case. During the past twelve months no resident has filed a grievance alleging sexual abuse or harassment at the Windham Residents.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

### Corrective Action

None Needed

## Standard 115.253: Resident access to outside confidential support services

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

### 115.253 (a)

- Does the facility provide residents with access to outside victim advocates for emotional support services related to sexual abuse by giving residents mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations?  Yes  No
- Does the facility enable reasonable communication between residents and these organizations and agencies, in as confidential a manner as possible?  Yes  No

#### 115.253 (b)

- Does the facility inform residents, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws?  Yes  No

#### 115.253 (c)

- Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide residents with confidential emotional support services related to sexual abuse?  Yes  No
- Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Westhab Inc. provides residents with access to outside victim advocates through the Crime Victim Assistance Center for emotional support services related to sexual abuse by giving residents mailing addresses and telephone numbers, including toll-free hotline numbers. Residents are informed that these services may be accessed confidentially.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 PREA Poster  
 Crime Victim Assistance Center Hotline  
 New York State Sexual Violence Hotline

Senior Case Manager/PREA Coordinator Interview  
Resident Interviews

**Corrective Action**

None Needed

**Standard 115.254: Third-party reporting**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.254 (a)**

- Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment?  Yes  No
- Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of a resident?  Yes  No

**Auditor Overall Compliance Determination**

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

The Windham Residents has established methods to receive third-party reports of sexual abuse and sexual harassment and distribute publicly on their website, information on how to report sexual abuse and sexual harassment on behalf of a resident.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. Website (<https://www.westhab.org/prea-policy/?hilite=%27sex%27>)

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

**Corrective Action**

None Needed

## OFFICIAL RESPONSE FOLLOWING A RESIDENT REPORT

### Standard 115.261: Staff and agency reporting duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.261 (a)

- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency?  Yes  No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against residents or staff who reported an incident of sexual abuse or sexual harassment?  Yes  No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual abuse or sexual harassment or retaliation?  Yes  No

#### 115.261 (b)

- Apart from reporting to designated supervisors or officials, do staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions?  Yes  No

#### 115.261 (c)

- Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section?  Yes  No
- Are medical and mental health practitioners required to inform residents of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services?  Yes  No

#### 115.261 (d)

- If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws?  Yes  No

#### 115.261 (e)

- Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residence require all staff to report immediately any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency.

Westhab Inc. policy requires that staff shall not reveal any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in policy, to make treatment, investigation, and other security and management decisions.

Windham Residence management is required to report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the Contract Monitor and Office of Special Investigations, and/or City of Yonkers Police Department.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. Website (<https://www.westhab.org/prea-policy/?hilite=%27sex%27>)

Senior Case Manager/PREA Coordinator Interview

Staff Interviews

Resident Interviews

#### Corrective Action

None Needed

### Standard 115.262: Agency protection duties

#### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

##### 115.262 (a)

- When the agency learns that a resident is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the resident?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residents has a policy that when they learn a resident may be subject to a substantial risk of imminent sexual abuse staff shall take immediate action to protect the resident including removing the alleged abuser or placement at different facility.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Staff Interviews

Resident Interviews

#### Corrective Action

None Needed

### Standard 115.263: Reporting to other confinement facilities

#### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

##### 115.263 (a)

- Upon receiving an allegation that a resident was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred?  Yes  No

##### 115.263 (b)

- Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation?  Yes  No

##### 115.263 (c)

- Does the agency document that it has provided such notification?  Yes  No

##### 115.263 (d)

- Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards?  Yes  No

## Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

## Instructions for Overall Compliance Determination Narrative

Upon receiving an allegation that a resident was sexually abused while confined at another facility, the Program Director shall notify the head of the facility or appropriate office of the agency where the alleged abuse occurred.

By policy such notification is provided and documented as soon as possible, but no later than 72 hours after receiving the allegation. In the past twelve months no such notifications have been reported.

The facility head or agency office that receives such notification shall ensure that the allegation is investigated in accordance with these standards.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview  
Resident Interviews

### Corrective Action

None Needed

## Standard 115.264: Staff first responder duties

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.264 (a)

- Upon learning of an allegation that a resident was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser?  
 Yes  No
- Upon learning of an allegation that a resident was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence?  Yes  No

- Upon learning of an allegation that a resident was sexually abused, is the first security staff member to respond to the report required to: Request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?  Yes  No
- Upon learning of an allegation that a resident was sexually abused, is the first security staff member to respond to the report required to: Ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?  Yes  No

#### 115.264 (b)

- If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

The Windham Residence has a policy and provides training to all staff which include the separation of the alleged victim and abuser; preservation and protection of the crime scene until appropriate steps can be taken to collect evidence; the collection of physical evidence, requesting that the alleged victim not take any actions that could destroy physical evidence, including, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating; and ensuring that the alleged abuser does not take any actions that could destroy physical evidence, including washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Staff Interviews

#### Corrective Action

None Needed



## Standard 115.265: Coordinated response

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.265 (a)

- Has the facility developed a written institutional plan to coordinate actions among staff first responders, medical and mental health practitioners, investigators, and facility leadership taken in response to an incident of sexual abuse?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

The Windham Residence has a written plan that coordinates actions taken in response to an incident of sexual abuse, among staff first responders, outside medical and mental health practitioners, investigators, and facility leadership.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

### Corrective Action

None Needed

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

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.266 (a)

- Are both the agency and any other governmental entities responsible for collective bargaining on the agency's behalf prohibited from entering into or renewing any collective bargaining agreement or other agreement that limits the agency's ability to remove alleged staff sexual abusers from contact with any residents pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted?  Yes  No

### 115.266 (b)

- Auditor is not required to audit this provision.

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Neither Westhab Inc. nor any governmental entity responsible for collective bargaining on the agency's behalf shall enter into or renew any collective bargaining agreement or other agreement that limits the agency's ability to remove alleged staff sexual abusers from contact with residents pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

### Corrective Action

None Needed

### Standard 115.267: Agency protection against retaliation

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.267 (a)

- Has the agency established a policy to protect all residents and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other residents or staff?  Yes  No
- Has the agency designated which staff members or departments are charged with monitoring retaliation?  Yes  No

#### 115.267 (b)

- Does the agency employ multiple protection measures, such as housing changes or transfers for resident victims or abusers, removal of alleged staff or resident abusers from contact with

victims, and emotional support services for residents or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations?  Yes  No

#### 115.267 (c)

- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of residents or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by residents or staff?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of residents who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by residents or staff?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Act promptly to remedy any such retaliation?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor any resident disciplinary reports?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor resident housing changes?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor resident program changes?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff?  Yes  No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff?  Yes  No
- Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need?  Yes  No

#### 115.267 (d)

- In the case of residents, does such monitoring also include periodic status checks?  
 Yes  No

#### 115.267 (e)

- If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation?  
 Yes  No

#### 115.267 (f)

- Auditor is not required to audit this provision.

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Westhab Inc. will protect all residents and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other residents or staff. The Senior Program Manager/PREA Coordinator is responsible with monitoring retaliation.

Multiple protection measures are employed, removal of alleged staff or resident abusers from contact with victims, and emotional support services for residents or staff that fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.

For at least 90 days and then as needed following a report of sexual abuse, the Senior Program Manager/PREA Coordinator will monitor the conduct and treatment of residents or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by residents or staff. The Senior Program Manager/PREA Coordinator will act promptly to remedy any perceived retaliation. Items the facility will monitor include: any resident disciplinary reports, program changes, negative performance reviews and reassignments of staff.

The Senior Program Manager/PREA Coordinator will continue monitoring beyond 90 days if the initial monitoring indicates a continuing need.

In the case of residents, monitoring will also include periodic status checks which will be assigned to staff as a daily task and will occur no less than once per shift. Documentation will be completed to describe monitoring and any action taken.

If any other individual who cooperates with an investigation expresses a fear of retaliation, the agency will take appropriate measures to protect that individual against it using the same procedures noted above.

Windham's obligation to monitor will terminate if it is informed by investigators that the allegation was unfounded.

During the past twelve months there were no incidents requiring such monitoring for either residents or staff.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Staff Interviews

**Corrective Action**

None Needed

**INVESTIGATIONS**

**Standard 115.271: Criminal and administrative agency investigations**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.271 (a)**

- When the agency conducts its own investigations into allegations of sexual abuse and sexual harassment, does it do so promptly, thoroughly, and objectively? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.221(a).]  Yes  No  NA
- Does the agency conduct such investigations for all allegations, including third party and anonymous reports? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.221(a).]  Yes  No  NA

**115.271 (b)**

- Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.234?  Yes  No

**115.271 (c)**

- Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data?  Yes  No
- Do investigators interview alleged victims, suspected perpetrators, and witnesses?  Yes  No

- Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator?  Yes  No

#### 115.271 (d)

- When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution?  Yes  No

#### 115.271 (e)

- Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as resident or staff?  
 Yes  No
- Does the agency investigate allegations of sexual abuse without requiring a resident who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding?  Yes  No

#### 115.271 (f)

- Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse?  Yes  No
- Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings?  Yes  No

#### 115.271 (g)

- Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible?  Yes  No

#### 115.271 (h)

- Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?  
 Yes  No

#### 115.271 (i)

- Does the agency retain all written reports referenced in 115.271(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years?  Yes  No

#### 115.271 (j)

- Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation?  
 Yes  No

### 115.271 (k)

- Auditor is not required to audit this provision.

### 115.271 (l)

- When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? [N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.221(a).]  Yes  No  NA

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Westhab Inc. does not conduct any type of criminal or administrative investigation, but fully cooperates with the New York State Department of Corrections and Community Supervision, Office of Parole, Office of Special Investigations, and/or City of Yonkers Police Department to ensure that these agencies have the proper information to conduct investigation(s) and shall remain informed about the progress of the investigation as much as allowed by the NYDOCC. During the past twelve months there has been no investigation of sexual abuse or harassment at the Windham Residents.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 Senior Case Manager/PREA Coordinator Interview  
 NYDOCC Investigator Interview

### Corrective Action

No corrective action needed

## Standard 115.272: Evidentiary standard for administrative investigations

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.272 (a)**

- Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated?  Yes  No

**Auditor Overall Compliance Determination**

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

The New York State Department of Corrections and Community Supervision, Office of Special Investigations uses the preponderance of evidence standard in determining whether allegations of sexual abuse or sexual harassment are substantiated.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
Senior Case Manager/PREA Coordinator Interview  
NYDOCCS Investigator Interview

**Corrective Action**

No corrective action needed

**Standard 115.273: Reporting to residents**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

**115.273 (a)**

- Following an investigation into a resident's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the resident as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded?  Yes  No

**115.273 (b)**

- If the agency did not conduct the investigation into a resident's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency



in order to inform the resident? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.)  Yes  No  NA

#### 115.273 (c)

- Following a resident's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer posted within the resident's unit?  Yes  No
- Following a resident's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer employed at the facility?  Yes  No
- Following a resident's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been indicted on a charge related to sexual abuse in the facility?  Yes  No
- Following a resident's allegation that a staff member has committed sexual abuse against the resident, unless the agency has determined that the allegation is unfounded, or unless the resident has been released from custody, does the agency subsequently inform the resident whenever: The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility?  Yes  No

#### 115.273 (d)

- Following a resident's allegation that he or she has been sexually abused by another resident, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility?  Yes  No
- Following a resident's allegation that he or she has been sexually abused by another resident, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility?  Yes  No

#### 115.273 (e)

- Does the agency document all such notifications or attempted notifications?  Yes  No

#### 115.273 (f)

- Auditor is not required to audit this provision.

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

Following an investigation into a resident’s allegation of sexual abuse Westhab Inc. or NYDOCCS shall inform the resident as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded.

If the resident is still at the Windham Residence, Westhab staff may deliver the results of an investigation if provided by the investigating authority. Generally the NYDOCCS or local law enforcement will provide such notifications to the resident.

Following a resident’s allegation that a staff member has committed sexual abuse against the resident, the NYDOCCS shall inform the resident whenever the staff member is no longer posted within the resident’s unit, the staff member is no longer employed at the facility, the agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility or the agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility.

Following a resident’s allegation of sexual abuse by another resident, the NYDOCCS 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 the agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility. All such notifications or attempted notifications are documented.

Westhabs’s obligation to report under this standard shall terminate if the resident is released from the agency’s custody.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

NYDOCCS Investigator Interview

**Corrective Action**

No corrective action needed

|                   |
|-------------------|
| <b>DISCIPLINE</b> |
|-------------------|

## Standard 115.276: Disciplinary sanctions for staff

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.276 (a)

- Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies?  Yes  No

### 115.276 (b)

- Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse?  Yes  No

### 115.276 (c)

- Are disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories?  Yes  No

### 115.276 (d)

- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Law enforcement agencies unless the activity was clearly not criminal?  Yes  No
- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Relevant licensing bodies?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Westhab Inc. policy addresses disciplinary sanctions of employees up to removal for sexual abuse and harassment. Employees are informed of the disciplinary process. The Windham Residence has had no reported incidents of staff sexual abuse or sexual harassment. Staff

interviews revealed an awareness of Westhab's zero tolerance policy as it pertains to sexual abuse and sexual harassment.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Random Staff Interviews

**Corrective Action**

No corrective action needed

**Standard 115.277: Corrective action for contractors and volunteers**

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

**115.277 (a)**

- Is any contractor or volunteer who engages in sexual abuse prohibited from contact with residents?  Yes  No
- Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies unless the activity was clearly not criminal?  Yes  No
- Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies?  Yes  No

**115.277 (b)**

- In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with residents?  Yes  No

**Auditor Overall Compliance Determination**

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

**Instructions for Overall Compliance Determination Narrative**

Westhab Inc. policy requires that any contractor or volunteer who engages in sexual abuse shall be prohibited from contact with residents and shall be reported to law enforcement agencies. Westhab takes appropriate remedial measures, and considers whether to prohibit

further contact with residents, in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer.

### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Volunteer Interview

### **Corrective Action**

No corrective action needed

## **Standard 115.278: Interventions and disciplinary sanctions for residents**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

### **115.278 (a)**

- Following an administrative finding that a resident engaged in resident-on-resident sexual abuse, or following a criminal finding of guilt for resident-on-resident sexual abuse, are residents subject to disciplinary sanctions pursuant to a formal disciplinary process?  Yes  No

### **115.278 (b)**

- Are sanctions commensurate with the nature and circumstances of the abuse committed, the resident's disciplinary history, and the sanctions imposed for comparable offenses by other residents with similar histories?  Yes  No

### **115.278 (c)**

- When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether a resident's mental disabilities or mental illness contributed to his or her behavior?  Yes  No

### **115.278 (d)**

- If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending resident to participate in such interventions as a condition of access to programming and other benefits?  Yes  No

### **115.278 (e)**

- Does the agency discipline a resident for sexual contact with staff only upon a finding that the staff member did not consent to such contact?  Yes  No

### **115.278 (f)**

- For the purpose of disciplinary action does a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation?  Yes  No

### 115.278 (g)

- Does the agency always refrain from considering non-coercive sexual activity between residents to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between residents.)  
 Yes  No  NA

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

Westhab policy outlines disciplinary sanctions that may be imposed on residents who engage in sexual abuse and sexual harassment. Residents are subject to disciplinary action and may be returned to the NYDOCCS for inmate on inmate sexual abuse. Residents are only disciplined for sexual relations with staff in cases where it is determined to be without consent from staff.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES  
 Senior Case Manager/PREA Coordinator Interview  
 Resident Interviews

### Corrective Action

No corrective action needed

## MEDICAL AND MENTAL CARE

### Standard 115.282: Access to emergency medical and mental health services

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.282 (a)

- Do resident victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment?  
 Yes  No

#### 115.282 (b)

- If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.262?  Yes  No
- Do security staff first responders immediately notify the appropriate medical and mental health practitioners?  Yes  No

#### 115.282 (c)

- Are resident victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate?  Yes  No

#### 115.282 (d)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident?  
 Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Resident victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services coordinated through St. Joseph's Medical Center or Riverside Health. Westhab staff is responsible for protecting the victim pursuant to § 115.262 until the victim is transported to the outside medical facility.

Residents have access to medical services related to sexual abuse/assault. These services include but are not limited to, gathering of forensic evidence, timely information about sexually transmitted diseases (STDs) prophylaxis, STD tests, pregnancy tests, follow up services and referrals for continued care.

Mental Health services are offered to resident victims of sexual abuse through the Crime Victim Assistance Center. Treatment services are provided without financial cost to the victim and regardless of whether the victim identifies the abuser or cooperates with any investigation.

**Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Resident Interviews

**Corrective Action**

No corrective action needed

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

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

**115.283 (a)**

- Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all residents who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility?  Yes  No

**115.283 (b)**

- Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody?  Yes  No

**115.283 (c)**

- Does the facility provide such victims with medical and mental health services consistent with the community level of care?  Yes  No

**115.283 (d)**

- Are resident victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if all-male facility.)  Yes  No  NA

**115.283 (e)**

- If pregnancy results from the conduct described in paragraph § 115.283(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if all-male facility.)  Yes  No  NA

**115.283 (f)**



- Are resident victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate?  Yes  No

#### 115.283 (g)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident?  Yes  No

#### 115.283 (h)

- Does the facility attempt to conduct a mental health evaluation of all known resident-on-resident abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Mental Health services are offered to resident victims of sexual abuse by referral to the Crime Victim Assistance Center. Treatment services are provided without financial cost to the victim and regardless of whether the victim identifies the abuser or cooperates with any investigation.

The facility attempts to conduct a mental health evaluation of all known resident-on-resident abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health staff.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

Random Staff Interviews

#### Corrective Action

No corrective action needed

## DATA COLLECTION AND REVIEW

## Standard 115.286: Sexual abuse incident reviews

### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.286 (a)

- Does the facility conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded?  Yes  No

#### 115.286 (b)

- Does such review ordinarily occur within 30 days of the conclusion of the investigation?  Yes  No

#### 115.286 (c)

- Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners?  Yes  No

#### 115.286 (d)

- Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse?  Yes  No
- Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility?  Yes  No
- Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse?  Yes  No
- Does the review team: Assess the adequacy of staffing levels in that area during different shifts?  Yes  No
- Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff?  Yes  No
- Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.286(d)(1) - (d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager?  Yes  No

#### 115.286 (e)

- Does the facility implement the recommendations for improvement, or document its reasons for not doing so?  Yes  No

### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

### Instructions for Overall Compliance Determination Narrative

PREA Coordinator will immediately contact the Director of Supportive Housing

If Westhab receives from the NYDOCCS a substantiated or unsubstantiated sexual abuse investigation Westhab will conduct a sexual abuse incident review within 30 days of the conclusion of the investigation. The review team shall be comprised of the Senior Case Manager/PREA Coordinator, and NYDOCCS Contract Monitor. The review considers whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse; whether the allegation was motivated by race; ethnicity, gender identity; lesbian; gay, bisexual; transgender, or intersex identification, status or perceived status; or gang affiliation; or was motivated or otherwise caused by other group dynamics at the facility; examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse; assess the adequacy of staffing levels in that area during different shifts; assess whether monitoring technology should be deployed or augmented to supplement supervision by staff; and prepare a report of its findings, and any recommendation for improvement and submit such report to the Director of Supportive Housing. The Windham Residents shall implement the recommendations for improvement, or shall document its reasons for not doing so. During the past twelve months there have been no incidents requiring an after action review.

### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

### Corrective Action

No corrective action needed

## Standard 115.287: Data collection

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

### 115.287 (a)

- Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions?  Yes  No

#### 115.287 (b)

- Does the agency aggregate the incident-based sexual abuse data at least annually?  Yes  No

#### 115.287 (c)

- Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice?  Yes  No

#### 115.287 (d)

- Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews?  Yes  No

#### 115.287 (e)

- Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its residents? (N/A if agency does not contract for the confinement of its residents.)  Yes  No  NA

#### 115.287 (f)

- Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.)  Yes  No  NA

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

The Windham Residents Senior Case Manager/PREA Coordinator collects accurate, uniform data for every allegation of sexual abuse at the facility under its direct control utilizing a standardized instrument and set of definitions. The agency aggregates the incident-based sexual abuse data at least annually, and it will includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice PREA Standard. The agency maintains, reviews, and collects

data as needed from all available incident-based documents including reports, investigation files.

### **Policy, Materials, Interviews and Other Evidence Reviewed**

#### **Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES**

Senior Case Manager/PREA Coordinator Interview

### **Corrective Action**

No corrective action needed

## **Standard 115.288: Data review for corrective action**

### **All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

#### **115.288 (a)**

- Does the agency review data collected and aggregated pursuant to § 115.287 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas?  Yes  No
- Does the agency review data collected and aggregated pursuant to § 115.287 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis?  Yes  No
- Does the agency review data collected and aggregated pursuant to § 115.287 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Preparing an annual report of its findings and corrective actions for each facility, as well as the agency as a whole?  Yes  No

#### **115.288 (b)**

- Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse?  Yes  No

#### **115.288 (c)**

- Is the agency's annual report approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means?  Yes  No

#### **115.288 (d)**

- Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility?  Yes  No

## Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

## Instructions for Overall Compliance Determination Narrative

The Windham Residents Senior Case Manager/PREA Coordinator reviews, collects and aggregates data to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including identifying problem areas, taking corrective action on an ongoing basis; and preparing an annual report of its findings and corrective action plans for each facility, as well as the agency as a whole.

The sexual abuse data is discussed and analyzed with the Senior Case Manager/PREA Coordinator and Director of Supportive Housing to identify areas for improvement and develop necessary corrective action plans.

The annual report includes a comparison of the current year's data and corrective actions with those from prior years and shall provide an assessment of the agency's progress in addressing sexual abuse issues.

The report is approved by the Executive Director and made readily available to the public through the Westhab website.

Westhab redacts identifying material from the annual report prior to publication. Redactions are limited to specific materials where publication would present a clear and specific threat to the safety and security of the facility.

### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Senior Case Manager/PREA Coordinator Interview

### **Corrective Action**

No corrective action needed

## **Standard 115.289: Data storage, publication, and destruction**

**All Yes/No Questions Must Be Answered by the Auditor to Complete the Report**

### **115.289 (a)**

- Does the agency ensure that data collected pursuant to § 115.287 are securely retained?  
 Yes  No

#### 115.289 (b)

- Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means?  Yes  No

#### 115.289 (c)

- Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available?  Yes  No

#### 115.289 (d)

- Does the agency maintain sexual abuse data collected pursuant to § 115.287 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

Windham ensures that data collected is securely retained. Windham also ensures that the aggregate sexual abuse data is made readily available to the public at least annually through its website. All personal identifiers are removed before making aggregated sexual abuse data publicly available. The agency maintains sexual abuse data collected for at least 10 years after the date of initial collection.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. - <https://www.westhab.org/prea-policy/?hilite=%27pre%27>

Senior Case Manager/PREA Coordinator Interview

#### Corrective Action

No corrective action needed

## AUDITING AND CORRECTIVE ACTION

### Standard 115.401: Frequency and scope of audits

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.401 (a)

- During the prior three-year audit period, did the agency ensure that each facility operated by the agency, or by a private organization on behalf of the agency, was audited at least once? (*Note: The response here is purely informational. A "no" response does not impact overall compliance with this standard.*)  Yes  No

#### 115.401 (b)

- Is this the first year of the current audit cycle? (*Note: a "no" response does not impact overall compliance with this standard.*)  Yes  No
- If this is the second year of the current audit cycle, did the agency ensure that at least one-third of each facility type operated by the agency, or by a private organization on behalf of the agency, was audited during the first year of the current audit cycle? (N/A if this is **not** the *second* year of the current audit cycle.)  Yes  No  NA
- If this is the third year of the current audit cycle, did the agency ensure that at least two-thirds of each facility type operated by the agency, or by a private organization on behalf of the agency, were audited during the first two years of the current audit cycle? (N/A if this is **not** the *third* year of the current audit cycle.)  Yes  No  NA

#### 115.401 (h)

- Did the auditor have access to, and the ability to observe, all areas of the audited facility?  Yes  No

#### 115.401 (i)

- Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)?  Yes  No

#### 115.401 (m)

- Was the auditor permitted to conduct private interviews with inmates, residents, and detainees?  Yes  No

#### 115.401 (n)



- Were residents permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel?  Yes  No

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### Instructions for Overall Compliance Determination Narrative

This was the Windham Residents first audit of the PREA standards. During the on-site visit the auditor was afforded access to all areas of the facility, allowed to interview residents and staff in private, and was provided with all necessary documentation to complete a thorough audit. Contact information for this auditor was visible in all areas of the facility.

#### Policy, Materials, Interviews and Other Evidence Reviewed

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. - <https://www.westhab.org/prea-policy/?hilite=%27pre%27>  
Senior Case Manager/PREA Coordinator Interview

#### Corrective Action

No corrective action needed

### Standard 115.403: Audit contents and findings

#### All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

#### 115.403 (f)

- The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports within 90 days of issuance by auditor. The review period is for prior audits completed during the past three years PRECEDING THIS AGENCY AUDIT. In the case of single facility agencies, the auditor shall ensure that the facility's last audit report was published. The pendency of any agency appeal pursuant to 28 C.F.R. § 115.405 does not excuse noncompliance with this provision. (N/A if there have been no Final Audit Reports issued in the past three years, or in the case of single facility agencies that there has never been a Final Audit Report issued.)  Yes  No  NA

#### Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

#### **Instructions for Overall Compliance Determination Narrative**

Westhab Inc. ensures that all final reports are published on their website.

#### **Policy, Materials, Interviews and Other Evidence Reviewed**

Westhab Inc. - STAFF AND RESIDENT SEXUAL ABUSE AND SEXUAL HARASSMENT POLICY & RESPONSES

Westhab Inc. - <https://www.westhab.org/prea-policy/?hilite=%27pre%27>  
Senior Case Manager/PREA Coordinator Interview

#### **Corrective Action**

No corrective action needed

## 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 resident or staff member, except where the names of administrative personnel are specifically requested in the report template.

### Auditor Instructions:

Type your full name in the text box below for Auditor Signature. This will function as your official electronic signature. Auditors must deliver their final report to the PREA Resource Center as a searchable PDF format to ensure accessibility to people with disabilities. Save this report document into a PDF format prior to submission.<sup>1</sup> Auditors are not permitted to submit audit reports that have been scanned.<sup>2</sup> See the PREA Auditor Handbook for a full discussion of audit report formatting requirements.

Chris Sweney

02/04/2019

**Auditor Signature**

**Date**

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<sup>1</sup> See additional instructions here: <https://support.office.com/en-us/article/Save-or-convert-to-PDF-d85416c5-7d77-4fd6-a216-6f4bf7c7c110>.

<sup>2</sup> See *PREA Auditor Handbook*, Version 1.0, August 2017; Pages 68-69.