

## Auditor Certification Agreement

In order to obtain (or maintain) your certification from the Department of Justice (DOJ) to conduct PREA audits, you must read and sign this agreement by the specified deadline. These conditions of your certification are designed to ensure that auditors conduct PREA audits according to the requirements set forth by DOJ, and by signing this agreement, the signatory acknowledges that failure to comply with any provisions in this agreement could lead to disciplinary action by the PREA Management Office within DOJ's Bureau of Justice Assistance, up to and including suspension or decertification.

### I. General Responsibilities

- a. I have read and understand the PREA Standards.
- b. I have read, understand, and agree that I will conduct PREA audits in accordance with those PREA Standards that apply to auditors, including, but not limited to, the requirements stated in Standards 115.401-404.
- c. I have read, understand, and agree that I will conduct PREA audits according to the methodology provided in the PREA Auditor Handbook, the PREA Auditor Candidate Training, FAQs issued by the DOJ PREA Working Group, and any other continuing education and guidance provided by the PREA Management Office and the PREA Resource Center in writing, in continuing auditor education, or through other means.

### II. Contracting for a PREA Audit

- a. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding auditing arrangements.
- b. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding audit contracts and compensation.
- c. I have read, understand, and agree to abide by all restrictions placed on my ability to solicit or accept gifts as described in the PREA Auditor Handbook.

### III. Auditor Code of Conduct

- a. I have read, understand, and agree to abide by the Auditor Code of Conduct described in the PREA Auditor Handbook.

### IV. Conflicts of Interest

- a. I have read, understand, and agree to abide by all restrictions placed on my ability to conduct audits that raise a conflict of interest, or the appearance of a conflict of interest, as described in the PREA Auditor Handbook and PREA Standard 115.402.

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### V. Auditor Certification Requirements

- a. I have read, understand, and agree to abide by all of the requirements in the PREA Auditor Handbook regarding probationary certification status (effective beginning with the March 2015 PREA Auditor Candidate Training).
- b. I have read, understand, and agree to abide by all of the auditor reporting requirements in the PREA Auditor Handbook.
- c. I have read, understand, and agree to abide by all of the auditor continuing education requirements in the PREA Auditor Handbook.
- d. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding voluntary surrender of my PREA auditor certification from DOJ.
- e. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding auditor recertification should I choose to become recertified as a PREA auditor.
- f. I agree to inform the PREA Management Office immediately of any actions that constitute grounds for disciplinary review or disciplinary action as described in the PREA Auditor Handbook, including: if I am arrested or convicted on criminal charges; found liable for fraud or other unlawful behavior that may bear on my honesty or credibility; found culpable of, plead guilty to, or plead no contest to any misconduct, sexual abuse, or sexual harassment, or related conduct through any criminal, civil, or administrative investigation or legal proceeding; and/or if I am released from or voluntarily leave employment or contract while under criminal, civil, or administrative investigation for any misconduct, sexual abuse, sexual harassment, or related conduct.
- g. I agree to report any knowledge or information pertaining to possible auditor misconduct (including, but not limited to negligence, criminal conduct, malfeasance, gross fraud and conflict of interest), concerns regarding an auditor's compliance with DOJ's certification requirements, or other actions that constitute grounds for disciplinary review or disciplinary action as described in the PREA Auditor Handbook. I understand that reports may be submitted via the Auditor Feedback Form on the PREA Resource Center website.

### VI. PREA Audit Methodology

- a. I have read, understand, and agree that I will conduct audits according to the PREA Audit Methodology described in the PREA Auditor Handbook.

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### VII. Audit Oversight

- a. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding the Quality Improvement program, if selected for participation.
- b. I have read, understand, and agree to abide by the requirements in the PREA Auditor Handbook regarding Peer Review, if selected for participation.
- c. I have read, understand, and agree, if directed by the PREA Management Office, to abide by the requirements in the PREA Auditor Handbook regarding Disciplinary Review.
- d. I have read, understand, and agree, if directed by the PREA Management Office, to abide by the requirements in the PREA Auditor Handbook regarding Remediation.
- e. I have read and understand the auditor suspension and decertification processes described in the PREA Auditor Handbook, and I understand that I may be subject to disciplinary action by the PREA Management Office, up to and including decertification.
- f. In the event of my suspension or decertification, I agree to abide by all relevant instructions from the PREA Management Office including, but not limited to, cancellation of planned audit activity.

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Print Name

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Signature

\_\_\_\_\_  
Date