Auditor Field Training Program

PRC Contacts

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General Information

Description

The National PREA Resource Center (PRC) Field Training Program (FTP) offers direct field auditing experience — in a supervised and supported environment — for PREA auditor candidates who are seeking certification by the United States Department of Justice (DOJ).

Expectations and Goals

Expectations of Auditor Trainees (ATs) extend beyond participation in the onsite audit. The full FTP training audit includes three phases: the pre-onsite audit phase (10 weeks), the onsite audit phase (one week), and the post onsite audit phase (10 weeks). ATs must be able to commit to all 21 weeks of the FTP. Reading and writing assignments will be assigned every week of the pre-onsite audit phase and report writing will occur each week during the 10-week post-onsite phase.

The goals of the FTP are to strengthen auditor candidates' PREA auditing skills, enhance their understanding of the PREA standards, and increase their experience with the PREA auditing methodology, including use of the Online Audit System.

Materials and Systems Utilized

Required Materials

• PREA Standards for applicable facility type:

- o Prisons and Jails
- o Lockups
- o Community Confinement
- o Juvenile Facilities

- [PREA Auditor Handbook](#)
- [Auditor Compliance Tool (ACT)](#)
- [Instructions for PREA Audit Tour](#)
- Interview Protocols for the applicable facility type (located on PRC website)
- Checklist of Documentation for the applicable facility type (located on PRC website)
- [FAQs](#)
- Notes Templates (located on Basecamp)

In addition, for the onsite portion of the audit, ATs are required to bring a laptop, paper, and notebook for taking notes, and hard copies of the items listed above (FAQs can be downloaded to your desktop). It is also helpful to bring sticky notes for document reviews.

Required Systems

To provide the richest experience to ATs, the FTP utilizes several systems for document-sharing, program management, and task tracking. ATs will be required to gain access to these systems in order to participate in the program:

- **Basecamp**: The FTP team utilizes Basecamp for several purposes. I, it provides the team with a shared calendar of activities. Basecamp is very user friendly and after logging into Basecamp, ATs can select "Calendar" or "Events" to see what activities, assignments, or meetings are scheduled for the entire audit. Additionally, many documents, templates, and resources are uploaded to the "Files" section of Basecamp. Please take advantage of these resources and check this section often. You will also post your notes and other assignments here for sharing and review. Finally, Basecamp is also used to communicate with the team. It is an easy way to send a message to the team and log it as a part of the official record of the project.
- **Online Audit System (OAS):** The audit team is granted access to a training version of the OAS. This is a way for ATs to gain access to and practice using the OAS without conducting a compliance audit and uploading training data to the secured OAS. The audit team will access the facility's completed PAQ, complete the ACT, and generate an interim report here.
- **Auditor Continuing Education and Resource Portal:** Auditor candidates are familiar with the Auditor Continuing Education and Resource Portal from their experience with the classroom Auditor Training. While Basecamp will be the primary system for file-sharing, it is possible that PRC faculty will assign brief required or optional trainings that will be accessed through this portal. Of course, ATs can also always refer back to the portal for Auditor Training materials and resources.

Schedule

Please note that meetings and assignment due dates are subject to change.

Phase	Week	Activity Type	Assignment/Event/Activity	Estimated Time to Complete
Pre-Audit		Activity	Watch Basecamp Introduction Video	10 minutes

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Pre-Audit		Assignment	Upload Bio to Basecamp	15 minutes
Pre-Audit		Activity	Watch OAS Introduction Video	10 minutes
Pre-Audit		Assignment	Reread Auditor Handbook Methodology chapter in Auditor Handbook	45 minutes
Pre-Audit		Assignment	Read AQI Materials on Basecamp	45 minutes
Pre-Audit		Assignment	Read Assessment Measures on Basecamp	30 minutes
Pre-Audit	1	Meeting	Kick-off Meeting (2 hours)	2 hours
Pre-Audit	2	Assignment	Introduction Rewrite Assignment (Assignments 1a/1b)	2 hours
Pre-Audit	2	Assignment	Watch AQI recorded webinar - Report Writing Responsibilities for FTP Auditor Trainees Week 1: Standard Specific Discussions	30 minutes
Pre-Audit	3	Assignment	Auditor Compliance Tool Assignment on Standard 115.11 and PREA Report Template Writing Assignment on Standard 115.11 (Assignments 2a/2b)	3 hours
Pre-Audit	3	Team Activity	Introduction Practice (Assignment 3)	1 hour
Pre-Audit	3	Meeting	PAQ Review & Issue Log Development Briefing (1 hour)	1 hour
Pre-Audit	2-5	Assignment	PAQ Review & Issue Log Development	24 hours
Pre-Audit	6	Meeting	PAQ and Issue Log Review Meeting (2 hours)	2 hours
Pre-Audit	6	Assignment	Watch AQI recorded webinar - Report Writing Responsibilities for FTP Auditor Trainees Week 6: Audit Narrative, Facility Characteristics, and Audit Summary	30 minutes
Pre-Audit	6	Assignment	Auditor Handbook Methodology Assignment	30 minutes
Pre-Audit	8	Meeting	Logistics Meeting with Facility (1 hour)	1 hour
Onsite	1	Meeting	Evening Meet and Greet with Facility	N/A

Phase	Week	Activity Type	Assignment/Event/Activity	Estimated Time to Complete
Onsite	1	Assignment	Site Review	N/A
Onsite	1	Assignment	Interviews	N/A
Onsite	1	Assignment	File Reviews/Collect Documentation	N/A
Onsite	1	Meeting	Audit Team Meeting	N/A
Post Onsite Audit	1	Assignment	Upload Site Review/Interview Notes	2 hours
Post Onsite Audit	1	Assignment	Submit Invoices for Reimbursement	N/A
Post Onsite Audit	2	Meeting	1st Consensus Call	2 hours
Post Onsite Audit	2	Assignment	Introductory Narrative Section Draft	2 hours
Post Onsite Audit	3	Meeting	2nd Consensus Call	2 hours
Post Onsite Audit	3	Assignment	Standards 1 & 2 Drafts	7 hours
Post Onsite Audit	4	Meeting	3rd Consensus Call	2 hours
Post Onsite Audit	4	Assignment	Standards 3 & 4 Drafts	7 hours
Post Onsite Audit	5	Meeting	4th Consensus Call	2 hours
Post Onsite Audit	5-6	Review	FTA & AQI Review Drafts and Return to AT for Final Revisions	N/A
Post Onsite Audit	6	Assignment	AT Final Revisions Due	2 hours
Post Onsite Audit	7	Review	FTA Consolidates Report	N/A
Post Onsite Audit	8-9	Team Assignment	Review & Edit Report	8 hours
Post Onsite Audit	10	Team Assignment	Final Report Submitted to Facility	N/A

FTP Manual

The Audit Team

The audit team usually consists of 13-15 individuals, a primary Field Training Auditor (FTA) who will serve as the lead auditor and mentor for the group. A secondary FTA to assist with assignment reviews, report writing, to provide one on one assistance to ATs (as assigned), and ongoing technical assistance to the training audit host facility. All FTAs who participate in the FTP are certified PREA auditors who have demonstrated through their PREA audit performance and reports high-quality and comprehensive audits with appropriate application of the PREA standards. In addition to the FTAs, the remaining faculty consists of three or four PRC staff and one DOJ staff.

The remainder of the audit team consists of six to eight ATs assigned to team of two. Each audit team is assigned one or two faculty members who spend the majority of onsite time with their team. Assigned faculty will provide onsite immediate verbal feedback, model appropriate audit conduct, and demonstrate interviewing techniques as needed. If you would like additional feedback, please do not hesitate to request this from your faculty. ATs are responsible for their own work as auditors, including taking notes, retaining documents onsite, and tracking their own work.

Communications

PRC, DOJ faculty, and FTAs are managing multiple training audits at once. To manage the large amount of email communications, we have established an email convention. Most communications should be through Basecamp, however, when email is sent, you must specify the training audit initials at the beginning of the subject line of the email. Specifically, please indicate "[Facility]:" prior to the subject of the email. All emails regarding the audit should be addressed to the entire audit team, including FTAs, PRC/DOJ faculty, and ATs. Additionally, to streamline communications between the audit team and the facility, all messages to the facility will be sent by the Lead FTA and all messages to the audit team will be sent to the lead FTA by the primary contact at the facility. This is critically important to minimize confusion and rework.

Pre-onsite Audit Expectations

During the pre-onsite audit phase of the training audit, ATs can expect to participate in several conference calls with the audit team. These calls are used to help the team re-familiarize themselves with the PREA standards, the PREA audit process and methodology, the Auditor Compliance Tool (ACT), interviewing, and report-writing, as well as prepare for the onsite portion of the audit.

Each audit team member is expected to review the entire PAQ and generate individual issue logs, which are questions and issues regarding compliance with specific PREA standards. Following this, individual team members will meet with their assigned partner to review their issue logs and consolidate them into a team issue log for submission to the FTA. The FTA handles all communications with the facility staff regarding issue logs, the PAQ, and all other issues unless specifically assigned by an FTA to an AT.

Onsite Review Expectations

During the site review, the audit team will split into three or four smaller groups to review the facility. Per standard 115.401(f), PREA auditors are responsible for observing all areas of an audited facility. For the purposes of the FTP training audit, the audit team may designate site review responsibilities based on the size of the facility and time allowed for the site review. For example, if a facility has 63 housing units, the FTP faculty may

determine that it is appropriate for all three or four teams to visit all common areas, and a specified number of housing units each. Because there is often confusion among facility staff about what constitutes a housing unit, it is common for the FTP faculty to make a decision about the site review strategy once the team arrives onsite.

The site review serves several purposes. One is to allow the team to have eyes-on all areas of the facility to check for blind spots, review camera and staff coverage, and check for PREA-related signage, etc. This is also an opportunity for the team to interact informally with the staff and inmate population, and assess the climate and culture of the facility. Informal interactions with the facility population also puts the inmates and staff on notice that the audit team is on site.

Interview Expectations

Formal interviews typically begin on the second day of the onsite audit. The audit team splits up into three or four smaller teams with assigned faculty to conduct interviews with staff and inmates. ATs can expect to be paired with their partner during the initial interviews, but may break up and conduct separate interviews with one faculty member. This allows for ATs to observe other interviewing styles before conducting interviews on their own. If time and logistics permit, ATs may also have an opportunity to be paired with additional faculty or ATs to observe even more interviewing styles.

During interviews, faculty may model interview techniques, ask additional questions, or take notes on your performance. ATs should remember to take their own notes, as the notes will be used as supporting documentation and relied upon for writing the interim report. Notes should be taken using the notes interview template located on Basecamp, and later transcribed and uploaded your notes to Basecamp. Your notes will be shared with your cohorts and will be referenced when writing the interim report.

Your interview notes should include interview start and stop times and the name of the individual being interviewed. Though there will be no personally identifiable information (PII) included in the interim report, you will need a record of each staff members and other interviewee's names in your records in the event your report should be randomly selected for peer review or selected by PMO to be reviewed for cause.

Document Review and Retention

ATs are expected to discuss with the faculty the appropriate number of type of documents to review. Additionally, ATs should use the file review notes template, located on Basecamp, to record observations about the documents they are reviewing. This allows for simple consolidation and reference when writing the interim report. For supporting documentation, ATs should mark (a sticky note is usually best for this) documents or portions of documents that will be relied upon to make compliance determinations. Discuss with FTP faculty how copies of documents will be obtained.

Once documents or portions of documents are collected, FTP faculty will determine who will scan the documents. The back of copies of each document should be labelled with the date, the name of the auditor who requested it, the person from whom the AT collected the document, and the standard and provision to which the document pertains. At the conclusion of the onsite audit, all audit team members will receive an encrypted flash drive with all documents received on site.

Notes Expectations

As mentioned above, ATs are expected to use the applicable notes templates either throughout the audit, or when transcribing their notes post-audit. The audit team will share notes with each other by uploading typed notes to Basecamp. When all notes are typed and

uploaded on or before the due date, auditors should post a "Discussion Item" to Basecamp listing the note they are uploading and attach the notes to the post. For example, an auditor might list:

1. Interview notes from PREA compliance manager, nurse, HR director, 10 random staff, 10 random inmates and 1 youthful inmate interviews.
2. Site review notes from kitchen, programs areas, education, laundry, and housing units A-F.
3. Document review notes for HR, investigations, training, and medical/mental health files.

Office Hours with the PRC Audit Quality and Integrity (AQI) Team

The PRC AQI Team will provide office hours twice weekly to assist ATs during their FTP training audit. These times are intended to give ATs an opportunity to ask questions and seek advice and input on topics relevant to the field training experience, including, but not limited to the following:

- Quality audit report writing for the following areas:
  o Narrative
  o Facility Characteristics
  o Audit Summary
  o Individual Standards
- How to accurately conduct and document analysis and triangulation
- Audit process, methodology and use of the Auditor Handbook
- General questions about the PRC audit quality work with auditors

The following weekly office hours are in effect beginning August 8, 2017:

Tuesdays, 10:00am – 11:00am Eastern
Lisa A. Capers, J.D.
Senior Program Associate
(512) 658-0909

Thursdays, 3:00pm – 4:00pm Eastern
Dr. Scott Catey
Senior Program Manager
(925) 639-8911

Post Audit and Interim Report Expectations

The post audit phase of the audit is when the team analyzes the evidence to determine compliance. This is accomplished through a series of four two-hour consensus calls where the team confers regarding evidence, findings, and compliance determinations. These calls inform the ATs as they write their assigned standards for the interim report.

On the last day of the onsite audit, each AT will be assigned four standards and the Narrative section of the report to write. FTP and AQI faculty will review and comment on the draft reports and report Narratives and provide written feedback to each AT.

The primary and secondary FTAs will divide and write the remaining standards, the Facility Characteristics, and the Findings sections of the report. As previously mentioned, the FTAs will rely on the ATs' comments during the consensus calls, their notes, and their supporting documentation to write their sections of the interim report. Once reviewed, the FTAs will consolidate all AT's report sections into a complete interim report. The FTAs and ATs will review the complete report for content, consistency, and clarity. Once the last review is completed, the lead FTA will convert the document to PDF format and distribute to the team, faculty, and facility point of contact.