

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 auditors who have been certified by the Department of Justice (DOJ).

Expectations and Goals

Expectations of Certified Auditor Trainees (CATs) extend beyond participation in the onsite audit. The full training audit includes three phases: the pre-audit phase (eight weeks), the onsite audit (one week), and the post-audit phase (eight weeks). CATs must be able to commit to all 17 weeks of the FTP.

The goals of this program are to strengthen auditors' PREA auditing skills, enhance their understanding of the PREA standards, and increase their experience with the PREA auditing process, including use of the Audit Instrument.

Materials and Systems Utilized

Required Materials

- PREA Standards for applicable facility type:
 - [Prisons and Jails](#)
 - [Community Confinement](#)
 - [Lockups](#)
 - [Juvenile Facilities](#)
- [Auditor Compliance Tool \(ACT\)](#)
- [Instructions for PREA Audit Tour](#)
- Interview Protocols for the applicable facility type (found on PRC website)
- Checklist of Documentation for the applicable facility type
- [FAQs](#)
- Notes Templates (found on Basecamp)

In addition, for the onsite portion of the audit, CATs are required to bring a laptop, a notebook for taking notes, and paper copies of the items listed above (excluding the FAQs,

which can be paper or electronic versions). It is also helpful to bring Post-It Notes for document review while on site.

Required Systems

To provide the richest experience to CATs, the FTP utilizes several systems for document-sharing, program management, and task tracking. CATs 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. The first is to provide the team with a shared calendar of activities. After logging into Basecamp, CATs can select "Calendar" or "Events" to see what activities, assignments, or meetings are coming up. 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. 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) Pre-Audit Questionnaire (PAQ):** The audit team is granted access to a training version of the OAS. This is a way for auditors to gain access to and practice using the OAS without conducting a real compliance audit. The audit team will access the facility's completed PAQ here.
- **Google Drive:** During the onsite phase of the audit, many documents are collected that contain PII, or Personally identifiable information. These documents cannot be uploaded to Basecamp due to security restrictions, but they can be stored on Google Drive. You will receive a link to a shared folder on Google Drive where the audit team will share secure documents, interim report drafts, photos and schematics of the audited facility, and other documents. *[Note: the PRC is exploring the use of Google Drive for this purpose, but it is possible we will move back to Dropbox or another shared cloud storage.]*

Schedule

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Pre-Audit	1	Meeting	Kick-off Meeting (2 hours)	TBD
Pre-Audit	1	Activity	Watch Basecamp Introduction Video	TBD
Pre-Audit	1	Assignment	Introduction Rewrite Assignment	TBD
Pre-Audit	1	Assignment	Auditor Compliance Tool Assignment	TBD
Pre-Audit	2-3	Team Activity	Introduction Practice	TBD
Pre-Audit	3	Meeting	PAQ Check-in Meeting (1 hour)	TBD
Pre-Audit	4	Assignment	PAQ Review	TBD
Pre-Audit	5-6	Team Assignment	Develop Issue Logs	TBD
Pre-Audit	6	Meeting	PAQ and Issue Log Meeting (2 hours)	TBD
Pre-Audit	8	Meeting	Logistics Meeting with Facility (1 hour)	TBD
Onsite	1	Meeting	Meet and Greet with Facility	TBD

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Onsite	1	Assignment	Site Reviews	TBD
Onsite	1	Assignment	Interviews	TBD
Onsite	1	Assignment	File Reviews/Collect Documentation	TBD
Post-Audit	1	Assignment	Upload Site Review/Interview Notes	TBD
Post-Audit	1	Assignment	Submit Invoices for Reimbursement	TBD
Post-Audit	2	Meeting	1 st Consensus Call	TBD
Post-Audit	3	Meeting	2 nd Consensus Call	TBD
Post-Audit	3	Team Assignment	Audit Report Team Assignments	TBD
Post-Audit	3	Assignment	Standards First Draft	TBD
Post-Audit	4	Meeting	3 rd Consensus Call	TBD
Post-Audit	5-6	Meeting	4 th Consensus Call	TBD
Post-Audit	8	Team Assignment	Interim Report Final Draft	TBD

FTP Manual

The Audit Team

The audit team usually consists of 11 individuals, as well as 1-2 faculty observers. On each audit there is a primary Field Training Auditor (FTA) who will serve as the lead auditor and mentor for the group of CATs. To support the primary FTA, there will be a secondary FTA to assist with assignment reviews and report writing, and to provide special assistance to CATs (as assigned) and ongoing technical assistance to the training audit host facility. All FTAs who participate in the FTP are auditors who have demonstrated through their PREA audit performance and reports that they conduct high-quality, comprehensive audits with appropriate application of the standards. In addition to the FTAs, there are two PRC staff and one DOJ staff who serve as additional faculty.

The remainder of the audit team consists of three teams of two CATs each (for a total of six CATs per training audit). Each audit team will be assigned 1-2 faculty members who will spend the majority of onsite time with their team. Assigned faculty will provide feedback and model appropriate behavior and interviewing techniques if appropriate and as needed. If you would like additional feedback, please do not hesitate to request this from your faculty. Remember: faculty are available as a resource. However, CATs are responsible for their own work as auditors, including taking notes, retaining and copying documents onsite, and tracking their own work.

Pre-Audit Expectations

During the pre-audit phase of the training audit, CATs 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, the Auditor Compliance Tool (ACT), and interviewing, as well as to 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 for submission to the FTA. The FTA handles all communications with the facility staff regarding issue logs and the PAQ.

Site Review Expectations

During the site review, the audit team will split into three 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 distribute 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 teams to visit all common areas, and 21 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 different purposes. One is to have eyes-on all areas of the facility to check for blind spots, and to review camera and staff coverage, PREA-related signage, etc. However, this is also an opportunity to interact informally with the inmate and staff population, and to develop a sense of the climate and culture of the facility. Informal interactions with the facility population also put 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 smaller teams with assigned faculty to work on interviewing staff and inmates. Auditors can expect to be paired with their partner during the initial interviews, but will eventually break up and do separate interviews with one faculty member. This allows for auditors to observe other interviewing approaches before doing interviews on their own. If time and logistics permit, auditors may also have an opportunity to be paired with additional faculty or auditors to observe even more interviewing methods.

During interviews, faculty may model behavior, ask additional questions, or take notes on your performance. Auditors should remember to take their own notes, as these will eventually be used as supporting documentation and will be relied on for writing the interim report. Notes should be taken on, or later transcribed to, the interview notes template found on Basecamp. This ensures standardized notes that will make it easier for others to refer to when writing the interim report.

Besides the actual notes from the interview, other items that should be included on interview notes are start and stop time, and the name of the individual being interviewed. Though there will be no personally identifiable information (PII) included in the interim report, it is likely that you will need a record of each staff member's or inmate's/resident's/detainee's name for reference.

As a reminder, faculty will provide feedback as necessary. If you would like additional feedback, please do not hesitate to request this from your assigned faculty. As stated above, you may also have an opportunity to be paired with a different faculty for a different perspective.

Document Review and Retention

CATs are expected to check with the faculty about the appropriate number of documents to review, as this may vary based on the type of document, the total number of documents,

and other factors. Additionally, auditors should use the file review notes template (found on Basecamp) to record their observations about the documents they are reviewing. Again, this allows for simple consolidation and reference when writing the interim report. For supporting documentation, auditors should mark (a Post-It Note is usually best for this) which documents or portions of documents that will be relied upon in making audit determinations. Either FTP faculty or facility staff will make copies of these documents for auditor retention.

The primary FTA will be responsible for retaining the documents prior to the onsite audit, however, CATs are in charge of making sure that they have received copies of all required documents, and properly labeled them. Copies of each document should be labelled on the back with the date, the name of the auditor who requested it, the person whom they collected it from, and the standard and provision that it is in reference to. Auditors should turn in all copies to the FTA at the end of the onsite audit. Auditors also have the option of making an extra copy for themselves to use when writing the interim report.

Post-Audit and Interim Report Expectations

The post-audit phase of the audit is when the team finally gets together and discusses compliance findings. This is accomplished through a series of two-hour consensus calls where the team confers regarding evidence, findings, and compliance determinations. These calls inform the writing of the interim report, which is split up amongst the audit team.

Each CAT will be assigned two standards to write, which will be determined at the end of the onsite audit. FTP faculty will review and comment on the draft report and provide feedback for improvements.

The primary and secondary FTAs will split up the remainder of the report, and the primary FTA will be responsible for consolidating and editing the final version and distributing it to the facility point of contact. As mentioned, the FTAs will rely on the CATs' comments during the consensus calls, their notes, and their supporting documentation to write these pieces of the interim report.