

## Auditor Field Training Program

Martinez Detention Facility  
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### Faculty 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 Department of Justice (DOJ).

#### Expectations and Goals

Expectations of Auditor Trainees (ATs) extend beyond participation in the onsite audit. The full training audit includes three phases: the pre-onsite audit phase (eight weeks), the onsite audit (one week), and the post-onsite audit phase (10 weeks). ATs must be able to commit to all 19 weeks of the FTP.

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

### 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 (found on PRC website)
- [FAQs](#)
- Notes Templates (found on Basecamp)

In addition, for the onsite portion of the audit, ATs 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 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. The first is to provide the team with a shared calendar of activities. After logging into Basecamp, ATs 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. 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. 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	Due Date
Pre-Audit	1	Meeting	Kick-off Meeting (2 hours)	N/A
Pre-Audit	1	Assignment	Upload Bio to Basecamp	08/04/2017
Pre-Audit	1	Activity	Watch Basecamp Introduction Video	08/04/2017

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
<b>Pre-Audit</b>	1	Activity	Watch OAS Introduction Video	08/04/2017
<b>Pre-Audit</b>	1	Assignment	Introduction Rewrite Assignment	08/04/2017
<b>Pre-Audit</b>	2	Assignment	Auditor Compliance Tool Assignment	08/11//2017
<b>Pre-Audit</b>	2	Team Activity	Introduction Practice	08/11/2017
<b>Pre-Audit</b>	3	Meeting	PAQ Check-in Meeting (1 hour)	N/A
<b>Pre-Audit</b>	4	Assignment	PAQ Review	09/01/2017
<b>Pre-Audit</b>	5-6	Team Assignment	Develop Issue Logs	09/01/2017
<b>Pre-Audit</b>	6	Meeting	PAQ and Issue Log Meeting (2 hours)	N/A
<b>Pre-Audit</b>	8	Meeting	Logistics Meeting with Facility (1 hour)	N/A
<b>Onsite</b>	1	Meeting	Evening Meet and Greet with Facility	09/24/2017
<b>Onsite</b>	1	Assignment	Site Reviews	N/A
<b>Onsite</b>	1	Assignment	Interviews	N/A
<b>Onsite</b>	1	Assignment	File Reviews/Collect Documentation	N/A
<b>Post-Audit</b>	1	Assignment	Upload Site Review/Interview Notes	10/06/2017
<b>Post-Audit</b>	1	Assignment	Submit Invoices for Reimbursement	10/06/2017
<b>Post-Audit</b>	2	Meeting	1 <sup>st</sup> Consensus Call	N/A
<b>Post-Audit</b>	3	Meeting	2 <sup>nd</sup> Consensus Call	N/A
<b>Post-Audit</b>	3	Team Assignment	Audit Report Team Assignments	10/20/2017
<b>Post-Audit</b>	3	Assignment	Standards First Draft	10/20/2017
<b>Post-Audit</b>	4	Meeting	3 <sup>rd</sup> Consensus Call	N/A
<b>Post-Audit</b>	5	Meeting	4 <sup>th</sup> Consensus Call	N/A
<b>Post-Audit</b>	8	Team Assignment	Standards Final Draft	11/22/2017
<b>Post-Audit</b>	10	Team Assignment	Interim Report Submitted to Facility	12/08/2017

## FTP Manual

### The Audit Team

The audit team usually consists of 13 individuals. On each audit there is a primary Field Training Auditor (FTA) who will serve as the lead auditor and mentor for the group of ATs. 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 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 that they conduct high-quality, comprehensive audits with appropriate application of the standards. In addition to the FTAs, there are 3-4 PRC staff and one DOJ staff who serve as additional faculty.

The remainder of the audit team consists of three teams of two ATs each (for a total of six ATs per training audit, though the total number of ATs will sometimes vary). 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 on-site immediate verbal feedback and model appropriate behavior and interviewing techniques 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, ATs are responsible for their own work as auditors, including taking notes, retaining and copying documents onsite, and tracking their own work.

## **Communications**

Because the PRC and DOJ faculty and FTAs are managing multiple training audits at once, we request that all email communications (though most communications should be through Basecamp) specify the relevant training audit in the subject line. Specifically, please indicate "Martinez FTP:" prior to the subject of the email. All emails regarding the audit should be addressed to the entire audit team, including FTAs, PRC and DOJ faculty, and ATs.

Additionally, to streamline communications between the audit team and the facility, all messages to the facility will be delivered by the Lead FTA and all messages to the audit team will be delivered by the primary contact at the facility.

## **Pre-Audit Expectations**

During the pre-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, the Auditor Compliance Tool (ACT), interviewing, and report-writing, 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 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 to an AT.

## **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 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. ATs 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 ATs to observe other interviewing approaches before doing 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 methods.

During interviews, faculty may model behavior, ask additional questions, or take notes on your performance. ATs should remember to take their own notes, as these will eventually be used as supporting documentation and will be relied upon 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**

ATs 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, ATs 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, ATs 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.

Once copies are made of documents or portions of documents, FTP faculty will scan the documents. Copies of each document should be labelled on the back with the date, the name of the auditor who requested it, the person from whom he or she collected it from, and the standard and provision to which it is associated. At the conclusion of the onsite audit, all audit team members will receive a flash drive with all documentation that was received on site.

The primary FTA will be responsible for retaining the documents prior to the onsite audit; however, ATs are in charge of making sure that they have received copies of all required documents, and properly labeled them.

## Notes Expectations

As mentioned above, ATs are expected to use the applicable notes templates either throughout the audit, or when compiling notes post-audit. The audit team will share notes with each other via Basecamp. When all notes are compiled (on or before the due date), auditors should post a "Discussion Item" to Basecamp listing the notes that they took and attaching them to the post. For example, an auditor might list:

1. Interview notes for PREA Compliance Manager, Nurse, HR Director, 10 random staff, 10 random inmates and 1 youthful inmate.
2. Tour notes for Kitchen, Programs, Education, Laundry, and Housing Units A-F.
3. Document review notes for HR, Investigations, and Medical files.

## 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 AT will be assigned three 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 divide writing the remainder of the report and reviewing each AT's drafts, in collaboration with the PRC's Quality Improvement team. Once reviewed, each AT's draft will be accessed by the OAS managing organization and merged into a consolidated version. The FTA and ATs will review and the primary FTA will forward the interim report to the facility point of contact. As mentioned, the FTAs will rely on the ATs' comments during the consensus calls, their notes, and their supporting documentation to write their pieces of the interim report.