

PREA AUDIT PROCESS MAP

PREA audits include four interrelated phases that are described in detail in the [PREA Auditor Handbook](#) and support the requirement for auditors to make compliance findings for each of the 300+ provisions in the PREA Standards.

During each phase, the auditor and representatives from the confinement agency/facility being audited work together to carry out numerous responsibilities.

NATIONAL
PREA
RESOURCE
CENTER



01

Pre-Onsite Phase

Duration: 6-8 weeks



Audit Initiation:

- The auditor or a representative from the agency/facility submits the [PREA Audit Initiation Form](#) in the [Audit Assignment System](#).
 - The auditor provides the audit contract and confirms they are a party to it.
- DOJ's PREA Management Office (PMO), with support from the PREA Resource Center (PRC), reviews the Audit Initiation Form and contract.
- The PMO follows up with the auditor about the form and/or contract, if needed, and approves the audit.
- The PRC creates the audit in the [Online Audit System](#) (OAS) and enables the auditor and agency/facility representatives to access it. Auditors must use the OAS to conduct the audit.

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Agency Responsibilities:

- Posts a notice of the audit throughout the facility six to eight weeks before the onsite phase begins.
- Completes the [Pre-Audit Questionnaire](#) (PAQ).
- Responds to questions from the auditor about the facility and its efforts to comply with the PREA Standards.
- Works with the auditor to plan for the onsite phase.

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Auditor Responsibilities:

- Verifies posting of the audit notice throughout the facility.
- Researches the agency/facility.
- Conducts outreach to advocacy organizations.
- Uses the [Auditor Compliance Tool](#) (ACT) to begin collecting and reviewing audit documentation/evidence provided by the agency/facility.
- Reviews the completed [PAQ](#) and follows up with the agency/facility with questions and requests for additional documentation.
- Works with the agency/facility to plan for the onsite phase.

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02

Onsite Phase

Duration: 3+ days
(based on facility and
population size)



Agency Responsibilities:

- Ensures the auditor has access to all areas of the facility.
- Provides audit documentation/evidence requested by the auditor.
- Manages logistics related to the requirement that auditors conduct private interviews of inmates/residents/detainees, staff members, contractors, and volunteers who are selected by the auditor.
- Responds to questions from the auditor about the facility and its efforts to comply with the PREA Standards.

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Auditor Responsibilities:

- Uses the [ACT](#) to ensure they collect and review all audit documentation/evidence that is required to make a compliance finding for each of the 300+ provisions in the PREA Standards.
- Identifies documentation/evidence to review and individuals to interview, consistent with the sampling requirements in the [PREA Auditor Handbook](#).
- Interviews the required number of inmates/residents/detainees, volunteers, contractors, and staff members, based on the size of the facility's confined population, as defined in the [PREA Auditor Handbook](#).
- Uses the [Interview Protocols](#) to guide each interview.
- Examines all areas of the facility using the [Site Review Instructions](#), which requires observations of practice, tests of critical functions, and informal conversations with inmates/residents/detainees and staff members.

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03

Evidence Review & Interim Report

Duration: Up to 45 days



Agency Responsibilities:

- Provides any additional documentation/evidence requested by the auditor.

Auditor Responsibilities:

- Aggregates and reviews all documentation/evidence that is required by the [ACT](#) to make a compliance finding about each of the 300+ provisions in the PREA Standards. This documentation/evidence includes:
 - Written policies, procedures, training and education materials, etc.
 - Observations made and notes taken during the site review.
 - Notes taken during interviews of inmates/residents/detainees, staff members, contractors, and volunteers.
- Identifies gaps in documentation/evidence and works with the agency/facility to address them.
- Makes a compliance determination for each one of the 300+ provisions in the PREA Standards

If non-compliance is identified:

- Issues an interim report no more than 45 days after the last day of the onsite phase that identifies deficiencies and recommended corrective action steps for each “Does Not Meet Standard” finding. This report is the basis for collaboration between the auditor and the facility to address specific deficiencies in policy and practice during the next phase.

OR

If non-compliance is not identified:

- Issues a final report no more than 45 days after the last day of the onsite phase, if they do not identify non-compliance with any of the 300+ provisions in the PREA Standards. To generate the final report, the auditor must complete the Post-Audit Reporting Information section of the ACT.
- Retains all documentation/evidence used to make their compliance findings.

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04

Corrective Action & Final Report

Duration: Up to 180 days
plus 30 days to issue
Final Report



Agency Responsibilities:

- Works collaboratively with the auditor to develop a Corrective Action Plan (CAP) that includes all deficiencies and recommended corrective action steps identified in the auditor's interim report, specific deliverables, timeframes, and steps the auditor will take to reassess and verify the facility's compliance at various stages throughout the process.
- Works closely with the auditor to implement the agreed-upon CAP.
- Provides additional documentation/evidence requested by the auditor related to corrective actions.
- Organizes and schedules a second visit by the auditor to the facility to review implementation of the CAP, if requested by the auditor.

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Auditor Responsibilities:

If non-compliance is identified:

- Works collaboratively with representatives from the agency/facility to develop a CAP that includes all deficiencies and recommended corrective action steps identified in the auditor's interim report, specific deliverables, timeframes, and steps the auditor will take to reassess and verify the facility's compliance at various stages throughout the process.
- For up to 180 days, supports and guides the efforts of the agency/facility to implement the CAP, including:
 - Responding to questions from agency/facility representatives.
 - Monitoring progress towards compliance.
- Collects, reviews, and retains additional documentation/evidence related to corrective actions.
- Updates the ACT in the OAS for each "Does Not Meet Standard" finding, documenting all corrective actions and how the auditor determined whether those actions were sufficient to bring the facility into full compliance with the standards.
- Completes the Post-Audit Reporting Information section of the ACT, no more than 30 days from the end of the corrective action period, to generate a final report.
- Retains all documentation/evidence used to make their compliance findings.

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