<table>
<thead>
<tr>
<th>Pre-Onsite Phase</th>
<th>Onsite Phase</th>
<th>Post-Onsite Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Post Notice of Upcoming Audit</strong>&lt;br&gt;(post notice at facility with auditor’s contact info 6 weeks prior to the audit for confidential communication)</td>
<td><strong>Facility Tour</strong>&lt;br&gt;Instructions/guidance for conducting tour</td>
<td><strong>Auditor Compliance Tool</strong>&lt;br&gt;Response for each measure based on: &lt;ul&gt;&lt;li&gt;Review of policies/procedures;&lt;/li&gt;&lt;li&gt;Review of documentation;&lt;/li&gt;&lt;li&gt;Review of data;&lt;/li&gt;&lt;li&gt;Interviews with residents and staff; and&lt;/li&gt;&lt;li&gt;Tour of facility.&lt;/li&gt;&lt;/ul&gt;</td>
</tr>
<tr>
<td><strong>Communicate with Community-Based or Victim Advocates</strong></td>
<td><strong>Additional Document Review</strong>&lt;br&gt;Agency head (or designee)&lt;br&gt;PREA Coordinator&lt;br&gt;PREA Compliance Manager&lt;br&gt;Superintendent (or designee)&lt;br&gt;Random sample of staff&lt;br&gt;Specialized staff*</td>
<td></td>
</tr>
<tr>
<td><strong>Agency/Facility Questionnaire</strong>&lt;br&gt;Completed by PREA Coordinator/PREA Compliance Manager with input from agency head, superintendent, etc., as necessary.</td>
<td><strong>Staff Interviews</strong>&lt;br&gt;Agency head (or designee)&lt;br&gt;PREA Coordinator&lt;br&gt;PREA Compliance Manager&lt;br&gt;Superintendent (or designee)&lt;br&gt;Random sample of staff&lt;br&gt;Specialized staff*&lt;br&gt;Resident Interviews**</td>
<td><strong>Auditor uploads additional documentation gathered onsite.</strong>&lt;br&gt;<strong>Determination of compliance with each standard:</strong> &lt;ul&gt;&lt;li&gt;Guidelines provided for auditors&lt;br&gt;Auditors provide commentary with justification for decision&lt;/li&gt;&lt;/ul&gt;</td>
</tr>
<tr>
<td><strong>Instructions for completing</strong></td>
<td><strong>Resident Interviews</strong></td>
<td><strong>Overall determination of compliance</strong> (guidelines provided to auditor)</td>
</tr>
<tr>
<td><strong>Agency/facility information (name, address, contact info, etc.)</strong></td>
<td><strong>Auditor Review of Submitted Agency/Facility Questionnaire and Policies/Procedures</strong></td>
<td><strong>Corrective Action Plan</strong>&lt;br&gt;(180 days CA period – begins the day that the agency receives the interim report)</td>
</tr>
<tr>
<td><strong>Information requested by standard:</strong>&lt;br&gt;- Provide questions from audit tool and data&lt;br&gt;- Upload policies/procedures and open-text of pages/sections indicating location of specific policy information required by standard; and&lt;br&gt;- Upload documentation requested.</td>
<td><strong>Auditor Review of Submitted Agency/Facility Questionnaire and Policies/Procedures</strong></td>
<td><strong>Final Report</strong>&lt;br&gt;(final report delivered to agency within 30 days of completion of corrective action period)</td>
</tr>
<tr>
<td><strong>Initial Auditor Review and Discussions With PREA Compliance Manager</strong>&lt;br&gt;Auditor reviews agency/facility responses to pre-audit questionnaire and has follow-up call(s) with PREA Compliance Manager to get clarification and explain the audit process.</td>
<td><strong>Response for each measure based on:</strong>&lt;br&gt;- Review of policies/procedures;&lt;br&gt;- Review of documentation;&lt;br&gt;- Review of data;&lt;br&gt;- Interviews with residents and staff; and&lt;br&gt;- Tour of facility.</td>
<td><strong>Agency Appeal</strong>&lt;br&gt;(agency has 90 days from receipt of final report to appeal audit findings to DOJ)</td>
</tr>
</tbody>
</table>
*Specialized Staff Interviews should include:
  • The agency contract administrator;
  • Intermediate- or higher-level facility staff;
  • Medical and mental health care staff;
  • Non-medical staff involved in cross-gender viewing or searches;
  • Administrative (human resources) staff;
  • SANE/SAFE staff;
  • Volunteers and contractors who have contact with residents;
  • Investigative staff;
  • Staff who perform screening for risk of victimization and abusiveness;
  • Staff who supervise residents in segregated housing;
  • The incident review team;
  • The designated staff member charged with monitoring retaliation;
  • Security staff and non-security staff first responders; and
  • Intake staff.

** Resident Interviews should include:
  • A random sample of residents;
  • Disabled and limited English proficient residents;
  • Transgender and intersex residents;
  • Gay, lesbian, and bisexual residents;
  • Residents at risk of sexual victimization in segregated housing;
  • Residents who reported sexual abuse; and
  • Residents who have disclosed sexual victimization.