National PREA Resource Center

Auditor Field Training Program
Racine County Jail
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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 trainees who are seeking certification by the United States Department of Justice (DOJ).

Expectations and Goals
The FTP is a 19-week program. Full participation is required and expected in all phases. There are three phases of the FTP audit: the pre-onsite audit phase (eight weeks), the onsite audit phase (one week), and the post-onsite audit phase (ten weeks). Reading and writing assignments will be assigned each week of the eight-week pre-onsite audit phase and report writing will occur each week during the ten-week post-onsite phase.

The goals of the FTP are to strengthen auditor trainee's 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.

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

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Pre-onsite		Activity	Watch Basecamp Introduction Video (5 minutes)	6/15/2018
Pre-onsite		Activity	Upload Bio to Basecamp (15 minutes)	6/15/2018
Pre-onsite	1	Activity	Watch OAS Video (5 minutes)	6/18/2018

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Pre-onsite	1	Activity	Review the Field Training Program Resource and Report Writing Reference Manual (1 hour)	6/18/2018
Pre-onsite	1	Activity	Reread Auditor Handbook Methodology Chapter (45 minutes)	6/18/2018
Pre-onsite	1	Meeting	Kickoff Meeting (2 hours)	N/A
Pre-onsite	2	Assignment	Introduction Rewrite Assignment - Assignments 1a/1b (2 hours)	6/29/2018
Pre-onsite	2	Activity	Watch Audit Quality and Integrity (AQI) Recorded Webinar - Report Writing Responsibilities for FTP Auditor Trainees: Audit Narrative, Facility Characteristics, and Audit Summary (30 minutes)	6/29/2018
Pre-onsite	2	Assignment	Begin Writing Audit Narrative - Assignment 2 (2 hours between week 2 and through week 6)	N/A
Pre-onsite	2	Assignment	Begin Pre-Audit Questionnaire (PAQ) Review & Issue Log Development - Assignment 4a/4b (24 hours total between week 2 and through week 5)	N/A
Pre-onsite	3	Assignment	Introduction Practice - Assignment 3 (1 hour)	7/06/2018
Pre-onsite	3	Meeting	PAQ Review and Issue Log Development Briefing (1 hour)	N/A
Pre-onsite	3	Assignment	Continue PAQ Review & Issue Log Development - Assignment 4a/4b (24 hours total between week 2 and through week 5)	N/A
Pre-onsite	4	Assignment	Continue PAQ Review & Issue Log Development - Assignment 4a/4b (24 hours total between week 2 and through week 5)	N/A

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Pre-onsite	5	Assignment	Individual Team Issue Log Due to Faculty - Assignment 4b (24 hours total between week 2 and through week 5)	7/20/2018
Pre-onsite	6	Meeting	PAQ and Issue Log Review (2 hours)	N/A
Pre-onsite	6	Assignment	Submit Draft of Audit Narrative to Faculty for Review - Assignment 2	7/27/2018
Pre-onsite	6	Assignment	Review and Prepare Auditor Handbook Methodology Assignment for Discussion Onsite - Assignment 5 (30 minutes)	7/27/2018
Pre-onsite	7	Activity	Watch AQI Recorded Webinar - Report Writing Responsibilities for FTP Auditor Trainees: Standard Specific Discussions (30 minutes)	8/03/2018
Pre-onsite	8	Meeting	AQI-FTP Meeting (1 hour)	N/A
Onsite	9		Sunday Evening Meet and Greet with Facility (3 hours, 6:00 P.M.–9:00 P.M.)	8/12/2018
Onsite	9		Monday (10 hours)	8/13/2018
Onsite	9		Tuesday (12 hours)	8/14/2018
Onsite	9		Wednesday (12 hours)	8/15/2018
Onsite	9		Thursday (8 hours)	8/16/2018
Onsite	9		Audit Team Meeting (4 hours, 8:00 A.M.–12:00 P.M.)	8/17/2018
Post-onsite	10	Assignment	Transcribe and Upload Site Review and Interview Notes to Basecamp (5 hours)	8/24/2018
Post-onsite	10	Activity	Submit Invoices for Reimbursement	8/24/2018
Post-onsite	11	Meeting	1st Consensus Call (2 hours)	N/A

Phase	Week	Activity Type	Assignment/Event/Activity	Due Date
Post-onsite	12	Meeting	2nd Consensus Call (2 hours)	N/A
Post-onsite	12	Assignment	Draft First and Second Assigned Standards Due to Faculty (7 Hours, plus time for revisions as needed)	9/07/2018
Post-onsite	13	Meeting	3rd Consensus Call (2 hours)	N/A
Post-onsite	13	Assignment	Audit Narrative Draft Due - Assignment 2 (2 hours)	9/14/2018
Post-onsite	14	Meeting	4th Consensus Call (2 hours)	N/A
Post-onsite	14	Assignment	Draft Third and Fourth Assigned Standards Due to Faculty (7 Hours, plus time for revisions as needed)	9/21/2018
Post-onsite	15-16	Review	FTA & AQI Review Drafts for further AT Revision	N/A
Post-onsite	17	Assignment	Final Revised Drafts of All Four Standards and the Audit Narrative Submitted to Faculty for the Report	10/12/2018
Post-onsite	18	Review	FTA Consolidates Report Sections (8 hours)	N/A
Post-onsite	19		Gap Analysis Report Submitted to Facility	10/25/2018
Post-onsite		Meeting	Close Out Call	N/A

FTP Overview

The Audit Team

The audit team usually consists of 13-15 individuals, including a primary Field Training Auditor (FTA) who will serve as the lead auditor and mentor for the group. The team also includes a backup FTA to assist with assignment reviews and 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 a combination of four to five PRC and DOJ staff.

The remainder of the audit team consists of six to eight ATs assigned to teams of two. Each audit team is assigned one or two faculty members who spend the majority of onsite time with their team. Assigned onsite faculty will provide 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, including taking notes, collecting documents onsite for the PRC to retain, and tracking their interview assignments.

Required Materials

- PREA Standards for applicable facility type:
  - Prisons and Jails
  - Lockups
  - Community Confinement
  - Juvenile Facilities
- 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
- Auditor Handbook
- FTP Resource and Report Writing Reference Manual

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 and an electronic version of the ACT can be downloaded to your computer). It is also helpful to bring sticky notes for document reviews.

Required Systems

To provide the richest experience to ATs, the FTP utilizes several computerized systems for document-sharing, program management, and task tracking. The use of these systems is required in order to participate in the program. There is no cost associated with AT's use of these systems. The PRC will provide instructions to ATs on how to gain access to the following systems:

- **Basecamp**: The FTP team utilizes Basecamp for several purposes and it provides the team with a shared calendar of activities. Basecamp is 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 and shared on Basecamp. Please

take advantage of these resources and check this system often. You will also post your notes and other requested information 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 PRC, in collaboration with Abt Associates, developed the OAS. It provides an online interface for the Department of Justice-certified PREA auditors and facility staff to complete compliance audits using an automated system where information may be shared between the facility and auditor. 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. Personally Identifiable Information (PII) is not allowed in the training version of the OAS. The audit team will access the facility's completed PAQ and complete the ACT [here](#).
- **Auditor Continuing Education and Resource Portal**: The PRC Training and Resource Portal serves as a single, easy to access repository for all information relevant to auditors. Auditor trainees 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.
- **Zoom Video Communications**: The audit team will be required to join meetings with PRC faculty, facility staff, and FTAs to communicate topics relating to the FTP. As information regarding your assignments, narrative writing, and onsite training logistics will be disseminated through this platform, it is imperative to your success as an AT to join and participate in these video-conferencing meetings using your home or office computer. Please ensure you are not restricted from using this communication platform.
- **Email Server**: Throughout the FTP, there will be many files sent via email. At times, files may be too large to be received because of particular firewalls and security precautions employers have put in place. Please ensure that the email account you use for correspondence with PRC faculty has no size restrictions.

Communications

Most communications should be through Basecamp. When you send an email, you must specify the training audit initials at the beginning of the subject line of the email. Specifically, please indicate "RCJ:" 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 duplication.

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. The number of hours and phone calls listed are an estimation subject to change on the trainee's understanding of the work or the need for additional support from the PRC or FTP faculty. These calls are used to help the team familiarize themselves with the PREA standards, the PREA audit process and methodology, the ACT, the onsite audit, interviewing, and report-writing.

Each AT is expected to review the entire PAQ and generate an individual Issue Log. The Issue Log will describe for the facility what information is still needed and what issues need

clarification before the team arrives onsite. ATs will then 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 to an AT by the FTA.

Packing Checklist for Onsite Audit

ATs are to bring the following items to the onsite audit. All referenced documents are located on Basecamp or in the paper audit instruments section of the PRC website. Everyone is encouraged and expected to bring other organizational tools—e.g., a watch, folder, or binder for keeping materials—for their use during the onsite portion of the audit. Please be mindful of correctional facility security concerns and best practices when considering other organizational tools for onsite use.

Packing Checklist:

_____ Onsite Agenda
_____ FTP Team Roster with cell phone numbers
_____ Interview and Team Assignments
_____ PREA Standards (Electronic access or printed version)
_____ Working ACT downloaded to your computer
_____ Current version of PRC FAQs (Electronic access or recently printed copy)
_____ PREA Compliance Audit Instrument Checklist of Policies/Procedures and Other Documents (at least available electronically)
_____ Updated Team Issue Log
_____ Facility's PAQ
_____ Minimum one copy each of all interview protocols
_____ Minimum 20 copies of Generic Interview Notes Template
_____ Rewritten interview introduction
_____ File & Record Review templates (Investigation Records, Inmate files, Employee files)
_____ Site Review Notes Template and Instructions for PREA Audit Tour
_____ Notepad(s) or paper and pen(s) for note taking, and other needed office supplies
_____ Correspondence received from inmates, staff, or the public
_____ Government-issued photo ID for entry into the facility
_____ Auditor Handbook
_____ Comprehensive list of allegations

Site 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 FTP faculty 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. Although informal interviews with inmates/residents and with staff do not contribute to the minimum number of interviews required by the audit methodology, these informal interactions give the inmates and staff notice that the audit team is onsite.

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 varying interview styles. 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 will model interview techniques, observe or note AT's performance, and offer feedback and support. ATs should remember to take their own notes, as the notes will be used as supporting documentation and relied upon for writing the gap analysis report which will be presented to the facility in week 19 of the training audit. The gap analysis will provide the facility with a comprehensive list of what provisions and standards they are in compliance with, and in some cases, corrective action recommendations. Notes should be taken using the Generic Interview Notes Template located in the FTP Resource and Report Writing Reference Manual. ATs will be expected to later transcribe and upload the handwritten notes taken onsite to Basecamp. The notes will be shared with your cohorts and will be referenced when writing the gap analysis.

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 gap analysis, you will need a record of each staff member's 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 faculty the appropriate number and type of documents to review. Additionally, ATs should use the file review checklists, located in the FTP Resource and Report Writing Reference Manual, to record observations about the documents they are reviewing.

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 team member who obtained 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 containing scans of all documents received on site.

Notes Expectations

As mentioned above, ATs are expected to use the applicable notes templates either throughout the audit during interviews, or when transcribing their interview notes post-onsite audit. When saving your notes, please follow the naming convention: "Notes_*Initials_Name of Document*". The audit team will share notes 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 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 Audit 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

Effective May 1, 2018, office hours are on Tuesdays at 10:00 A.M.–11:00 A.M. EST, Thursdays at 3:00 P.M.–4:00 P.M. EST, and by custom appointments during business hours or non-business hours as needed. Below are the individuals that make the AQI Team:

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Post-onsite Audit and Report Expectations

The post-onsite 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 gap analysis report.

FTP and AQI faculty will review and comment on the drafts of each AT's standard specific discussions and Audit Narrative and provide written feedback to each AT. The lead and backup FTAs will write on the remaining standards, the Facility Characteristics, and the Audit Findings sections of the report. The FTAs will rely on the ATs' comments during the consensus calls, their notes, and supporting documentation to write their sections of the gap analysis report. Once reviewed and made final, the FTAs will consolidate all AT's sections into a gap analysis report. The FTAs and ATs will review the 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.

Auditor Trainee Assessment Measures

As a participant in the FTP you will be evaluated during all phases of the audit, receiving ongoing verbal and written feedback from the FTP faculty. Additionally, you will be provided with a written feedback summary at the conclusion of the audit. Listed below are the areas of conduct the faculty will be monitoring to provide you with constructive feedback as you work to build and improve your PREA auditing skills:

Pre-onsite Audit Phase
- Introduction Rewrite
- Introduction Practice
- Audit Narrative Sections
- PAQ Review and Issue Log Development

Onsite Audit Phase
- Site Review Observations
- Interviews and Interview Notes
- Document Reviews, Notes, and Retention
- Debrief Participation

Post-onsite Audit Phase
- Assigned Standards
- Audit Narrative

Overall Performance
- Conference Calls Participation
- Incorporating Feedback
- Timely Submission of Assignments
- Professionalism and Conduct