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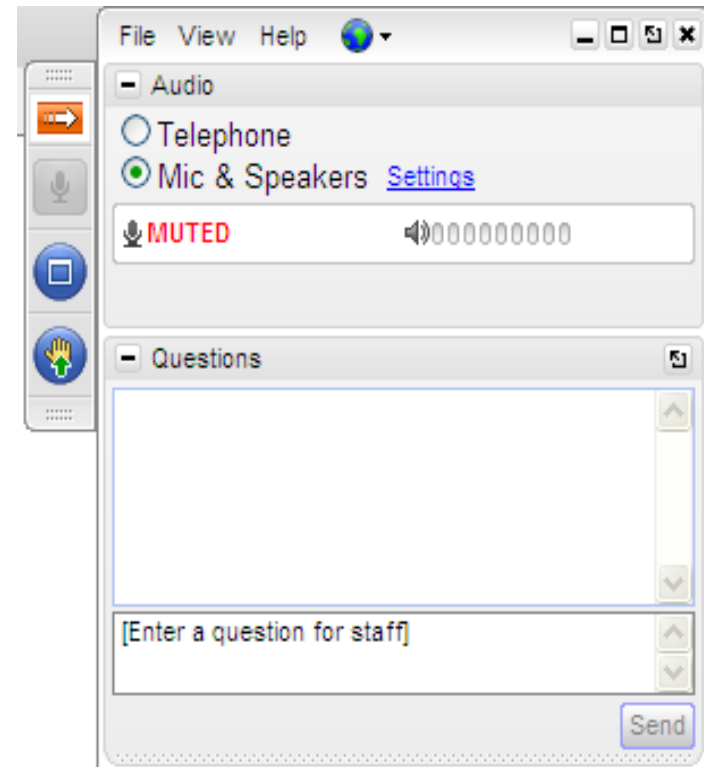


# What to Expect From Your PREA Auditor: Lessons Learned in North Dakota

November 18, 2015

# Logistics

- Use the **questions box** to ask a question
- An archive of this webinar will be posted on the PREA Resource Center website: [prearesourcecenter.org](http://prearesourcecenter.org)



# Agenda

- Opening Remarks
- Overview: North Dakota Department of Corrections and Rehabilitation (DOCR)
- DOCR Approach to PREA Implementation
- PREA Audit Prep
- What to Expect From Your PREA Auditor: Pre-Audit
- What to Expect From Your PREA Auditor: Onsite Audit
- What to Expect From Your PREA Auditor: Post-Audit
- Auditor Discussion
- Lessons Learned
- Questions and Answers

# Presenters

**Emily Niedzwiecki**, Policy Advisor, PREA Management Office

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**Steve Engen**, PREA Coordinator, DOCR;  
Department of Justice (DOJ)-Certified PREA Auditor

**Maren Arbach**, Director of Training, DOCR; DOJ-Certified PREA  
Auditor

**Tim Brehm**, Director of Professional Standards, DOCR

**Talia Huff**, 360 Correctional Consulting LLC; DOJ-Certified  
PREA Auditor

# DOCR Overview

## Four DOCR-Owned Facilities

- North Dakota Youth Correctional Center
  - » 115 beds, coed youth facility
  - » Youth treatment, detention, and assessment
- Missouri River Correctional Center
  - » 155 beds – minimum security transitional facility



## Onsite audits conducted July 2014

- James River Correctional Center
  - » 410 beds – medium security
- North Dakota State Penitentiary
  - » 862 beds – maximum security

## Onsite audits conducted July 2015

# DOCR Overview

## Two Additional Facilities Under Governor's Operational Control

- Dakota Women's Correctional and Rehabilitation Center
  - » 126 beds, female multi-classification
- Tompkins Rehabilitation and Correctional Center
  - » 90 beds – 60 male, 30 female

**Onsite audits conducted October 2014**

# DOCR Approach to PREA Implementation



# Director Bertsch

## **DOCR PREA Commitment**

- PREA is good correctional practice
- Inmates have a right to be free from sexual abuse
- PREA is part of how we manage those in our care

## **PREA Team Approach**

- No one person or position can do it
- Use of the PREA team
- Transparency at every step
- Top-down commitment



# Director Bertsch

## **Audit Motivation**

- Being ready, means go
- Getting out in front with compliance

## **Long-Term PREA Goals**

- Continued compliance
- PREA is part of everyday inmate decisions

# Goal: PREA Audits Complete – August 2015

## How DOCR Achieved Their Goal

- PREA Audit Prep Team established timelines
  - » Approved by director
  - » Notified facility management teams
- Designed and distributed audit prep materials
- All staff invited to open meeting about the audit

**Transparency at every step.**

# Auditor Selection

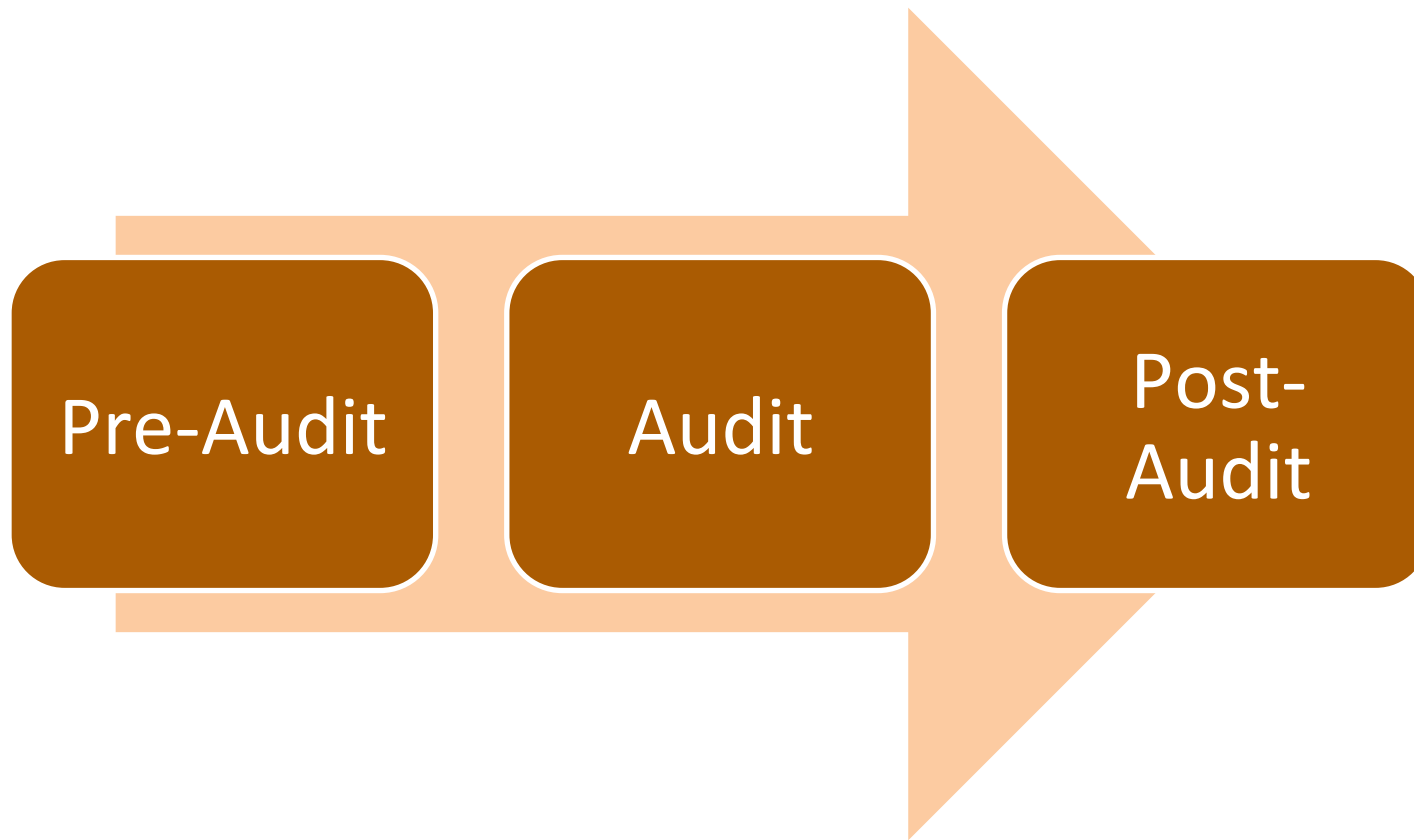
## **DOCR Approach to Selecting Auditors**

Two auditors for each adult facility

- Efficiency
- Better use of resources

**Quality and integrity worth the cost.**

# Audit Phases



# Pre-Audit

## **Logistics and Coordination**

- Pre-audit questionnaire
  - » Facility completes
  - » Sharing of document and document retention
  - » Confidentiality
  - » Thorough auditor review before site visit
- Coordinating and scheduling onsite portion
  - » Posting of the audit notice
  - » Interview scheduling
  - » Space to work
  - » Site review
  - » Record location
- Tentative onsite audit schedule

# Onsite Audit

## Communication and Flexibility

- In-briefing
- Implementation of schedule
- Flexibility to adjust as needed
- Request to provide additional documentation
- Out-briefing – who to involve and what to expect
  - » Not a full review of findings
- Expectations of transparency
- Practice-based audit
- Adequate time onsite
  - » No less than two to three days (facility size-dependent)

# Post-Audit

## Clarification and Written Report

- Clarification of information reviewed
- Request for additional information
- Interim report
- Corrective action
  - » Development of the corrective action plan
  - » Execution of the corrective action plan
- Final report
- Contract conclusion

# Auditor Perspective

## **Relationship Building**

- Positive approach
- Auditor confidence and articulation of the standards
- Expectations of the audit process and PREA methodology



# Auditor Perspective

## **Collaborative Work Relationship**

- Start communication early and convey auditor style and facility/agency understanding of the PREA standards
- Auditor to get an understanding of the status in PREA compliance
- PREA audit methodology; accurate expectations
- Can vary depending on the motivation for audit (contracted/private facilities)
- Auditor, be true to the assurance of transparency; desire to educate instead of a “gotcha” situation

# Auditor Perspective

## **Smooth Audit Process**

- Share and educate desire to assist agency on their PREA journey
- Avoid/prevent defense mechanisms from the facility/agency
- Sufficient time onsite
- Expect a quality product (auditor summary report)

# Auditor Perspective

## **Auditor Goal**

- Perpetuate culture change
- Create environment in which motivation and understanding to achieve and maintain PREA compliance exists
- The “right” reasons
- Branding sexual safety and PREA

# Lessons Learned

## **Facility Expectations of Auditor**

- Practice-based audit
- Quality and integrity
- Extensive PREA knowledge
- Review of all materials and documents provided
- Communication
- Flexibility
- Setting expectations
- Confidentiality
- Adequate time onsite
- Thorough and timely reports
- Collaborative corrective action plan development and execution



# Questions and Answers

# For More Information

For more information about the **National PREA Resource Center**, visit:  
[www.prearesourcecenter.org](http://www.prearesourcecenter.org)

To request assistance, visit:  
<http://www.prearesourcecenter.org/training-technical-assistance/request-for-assistance>

Direct questions to: <http://www.prearesourcecenter.org/about/contact-us>

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