Pre-Audit

Post Notice of Upcoming Audit
(post notice at facility with auditor contact info 60 days prior to the audit for confidential communication)

Communicate with Community-Based or Victim Advocates

Agency/Facility Questionnaire (online)

Completed by PREA Coordinator/PREA Compliance Manager with input from agency head, warden, etc., as necessary.

Instructions for completing

Agency/facility information (name, address, contact info, etc.)

Information requested by standard
• Questions from audit tool/provide data
• Upload policies/procedures and open-text of pages/sections indicating location of specific policy information required by standard
• Upload documentation requested

Initial Auditor Review and Discussions With PREA Compliance Manager

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.

Auditor Review of Submitted Agency/Facility Questionnaire and Policies/Procedures

Auditor begins Auditor Compliance Tool (info from agency/facility questionnaire will auto-populate to the tool).

Audit

Facility Tour

Instructions/guidance for conducting tour

Additional Document Review

Staff Interviews

Agency head (or designee)

PREA Coordinator

PREA Compliance Manager

Warden (or designee)

Random sample of staff

Specialized staff*

Inmate Interviews**

Post-Audit

Auditor Compliance Tool (online)

Response for each measure based on:
• Review of policies/procedures
• Review of documentation
• Review of data
• Interviews with inmates and staff
• Tour of facility

Auditor uploads additional documentation gathered onsite.

Determination of compliance for each standard:
• Guidelines provided for auditors
• Auditors provide commentary with justification for decision

Overall determination of compliance (guidelines provided for auditor)

Auditor Report
* Specialized Staff Interviews
  - Agency contract administrator
  - Intermediate- or higher-level facility staff
  - Line staff who supervise youthful inmates
  - Education and program staff who work with youthful inmates
  - 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 inmates
  - Investigative staff
  - Staff who perform screening for risk of victimization and abusiveness
  - Staff who supervise inmates in segregated housing
  - Incident review team
  - Designated staff member charged with monitoring retaliation
  - Security staff and non-security staff first responders

** Inmate Interviews
  - Random sample of inmates
  - Youthful inmates
  - Disabled and limited English proficient inmates
  - Transgender and intersex inmates
  - Gay, lesbian, and bisexual inmates
  - Inmates at risk of sexual victimization in segregated housing
  - Inmates who reported sexual abuse
  - Inmates who have disclosed sexual victimization