

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