

Pre-Onsite Phase

Post Notice of Upcoming Audit

(post notice at facility with auditor's contact info 6 weeks prior to the audit for confidential communication)

Communicate with Community-Based or Victim Advocates

Agency/Facility Questionnaire

Completed by PREA Coordinator with input from agency head, facility director, etc., as necessary.

☰ Instructions for completing

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

☰ Information requested by standard:

- Provide questions from audit tool and data
- Upload policies/procedures and open-text of pages/sections indicating location of specific policy information required by standard; and
- Upload documentation requested.

Initial Auditor Review and Discussions With PREA Coordinator

Auditor reviews agency/facility responses to pre-audit questionnaire and has follow-up call(s) with PREA Coordinator to get clarification and explain the audit process.

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

Auditor begins Auditor Compliance Tool

Onsite Phase

Facility Tour

☰ Instructions/guidance for conducting tour

Additional Document Review

Staff Interviews

☰ Agency head (or designee)

☰ PREA Coordinator

☰ PREA Compliance Manager (if one exists)

☰ Facility director (or designee)

☰ Random sample of staff

☰ Specialized staff*

Resident Interviews**

Post-Onsite Phase

Auditor Compliance Tool

☰ Response for each measure based on:

- Review of policies/procedures;
- Review of documentation;
- Review of data;
- Interviews with residents and staff; and
- Tour of facility.

☰ Auditor uploads additional documentation gathered onsite.

☰ Determination of compliance with each standard:

- Guidelines provided for auditors
- Auditors provide commentary with justification for decision

☰ Overall determination of compliance (guidelines provided to auditor)

Auditor Report

(auditor generates final report and sends it to agency no later than 45 days after completion of on-site audit)

Corrective Action Plan

(180 days CA period – begins the day that the agency receives the interim report)

Final Report

(final report delivered to agency within 30 days of completion of corrective action period)

Agency Appeal

(agency has 90 days from receipt of final report to appeal audit findings to DOJ)

*Specialized Staff Interviews should include:

- The agency contract administrator;
- Medical and mental health care staff;
- Non-medical staff involved in cross-gender strip or visual 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;
- 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; and
- Residents who reported sexual abuse.