

# PREA Online Audit System (OAS)

## PREA Auditor User Manual

MAY 2016



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# Introduction



## Introduction

Welcome to the **PREA Online Audit System (OAS)**. The OAS is a website which provides an online interface for auditors and confinement facilities in the United States to complete audits pertaining to implementation of the U.S. Department of Justice's PREA Standards.

### The Auditor's Role in the OAS

As an Auditor you will complete the PREA Auditor Compliance Tool and Interim and Final Reports for an agency or facility audit. You will also satisfy your reporting requirements to the Department of Justice (DOJ) by answering questions pertaining to your audits in the system.

### This Manual

The PREA Auditor's User Manual is divided into five chapters:

The **Getting Started** chapter describes system requirements, how to get into the OAS, including system requirements, the process for accessing the site through the security system, how to recover your access credentials if you have difficulty getting into the OAS, and provides an overview of how to navigate through the OAS.

The **Compliance Tool** chapter walks you through the process of completing the Compliance Tool in

the OAS including reviewing the agency's or the facility's responses to the Pre-Audit Questionnaire and documentation provided, using the Tool to document your findings for each provision of the standards and overall determination for each standard, and navigating through the Tool.

The **Uploading Documents** chapter walks you through the process of uploading files from the audit, accessing documents that have been provided by the facility/agency, and removing files that you have uploaded (if necessary).

The chapter, **An Agency Audit vs. A Facility Audit**, discusses the differences between an agency audit and a facility audit and how these differences impact what you will see as you go through the OAS.

The last chapter, **Finalizing the Audit**, takes you through completing the Post-Audit Report and Audit Findings section of the OAS, submitting the Interim and Final Reports, using the tool during the agency's/facility's Corrective Action Period.

### Additional Help

For technology support with the PREA OAS, please contact the PRC's OAS technical support email ([techsupport@PREAaudit.org](mailto:techsupport@PREAaudit.org)) or call the toll-free number (1-800-279-2216).

# Getting Started

## Chapter 1: Getting Started

This chapter provides information on system requirements, instructions for accessing the OAS, directions on logging into the OAS, and an overview of how to navigate through the instrument.

### System Requirements

This OAS supports the latest versions of the following browsers: Chrome, Firefox, Safari and Internet Explorer. This site is not optimized for mobile phones or tablets.

### Gaining Access to the System

As a certified Auditor, you will be eligible to access the PREA online system once you have successfully completed the PRC security training. Once you complete that training you will receive an email indicating that you have been given access. The invitation will be sent to the email address that the PRC has on record for you.

### Logging In

#### *Initial Account Setup*

Once your account has been created in the OAS, you will receive an email with your username and the link to set your password. This email will be sent to the email address that the PRC has on record for you. **It is strongly suggested that you keep this email for your records.**

#### **TIP**

If you do not receive an email, check your spam folder.

If you do not receive an email within a reasonable period of time, you should contact [techsupport@PREAaudit.org](mailto:techsupport@PREAaudit.org).

#### **RULE**

You have 24 hours from when the email was sent to click on the link in the email to create your password. After 24 hours the link will become invalid (see instructions below).

#### **RULE**

Passwords must:

- be between 8-20 characters
- contain letters, characters **and** numbers
- contain both upper and lowercase letters
- be reset every 90 days and you will be prompted when it's time to change your password.

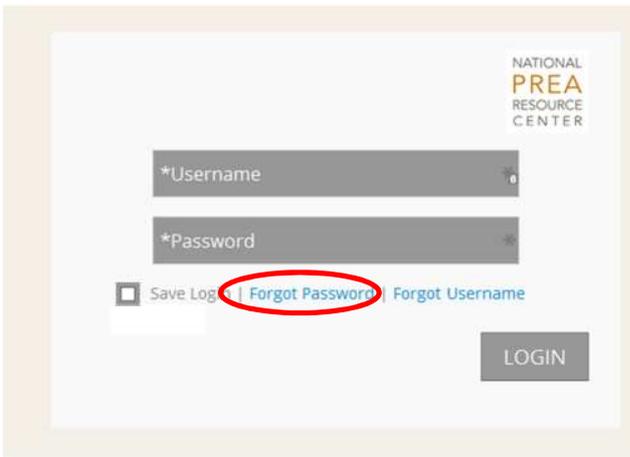
#### **TIP**

Do not write your passwords down. Passwords should be long enough and complex enough to be hard to guess but not so complex that you can't remember them. The best passwords are passwords that are parts of phrases which replace letters with numbers and symbols such as W@terK00ler.

# Getting Started

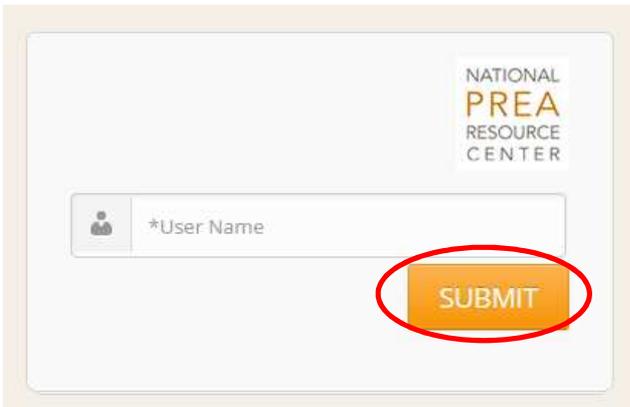
## Expired Link

If your link expired because too much time passed, you will see a message that the link has expired. If this happens, go to [www.PREAaudit.org](http://www.PREAaudit.org) and click on **Forgot Password**.



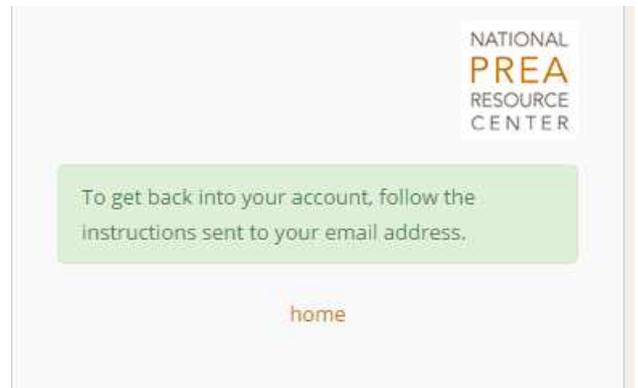
The screenshot shows the login page for the National PREA Resource Center. It features a header with the logo, two input fields for '\*Username' and '\*Password', and a 'LOGIN' button. Below the password field, there are three links: 'Save Log', 'Forgot Password', and 'Forgot Username'. The 'Forgot Password' link is circled in red.

Enter the **Username** that was provided in the original email you received and click on **SUBMIT**.



The screenshot shows the user name input page for the National PREA Resource Center. It features a header with the logo, a single input field for '\*User Name', and a 'SUBMIT' button. The 'SUBMIT' button is circled in red.

The OAS will send you an email with a new link to reset your password.

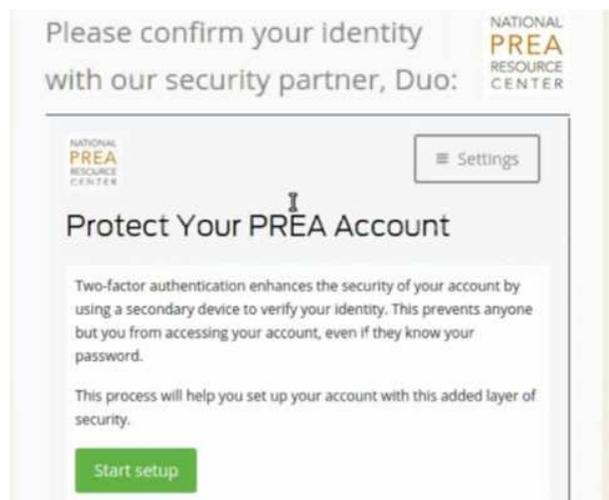


## RULE

You have 24 hours from when the email was sent to click on the link in the email to reset your password. After 24 hours this new link will become invalid.

## Security Setup

The first time you login to your account you will be taken to the **Protect Your PREA Account** security screen to set up a special security feature called two-factor authentication. What this means is that two devices, your computer and a phone, are used to make sure that you are who you say you are. Click on **Start Setup**.

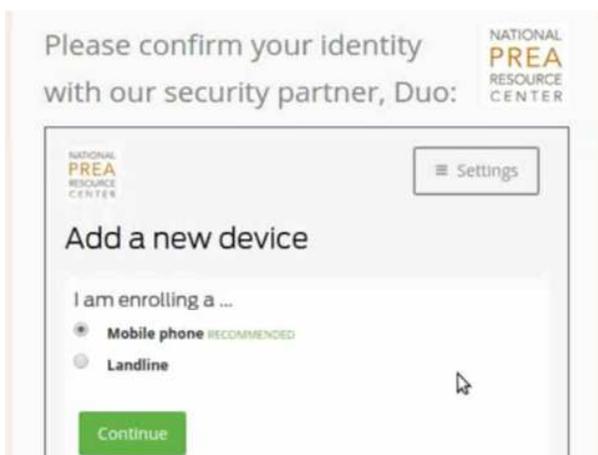


# Getting Started

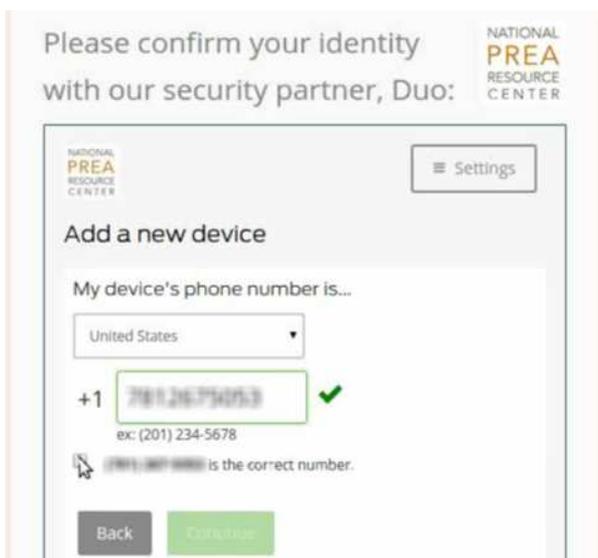
On the **Add a new device** screen, select whether you want the calls to go to your **mobile phone** or your **landline**. You do NOT have to have a smart phone to use the mobile phone option.

## TIP

A mobile phone is recommended if you always have your phone with you.



Enter the phone number you wish to use. Check the **“is the correct number”** box once you have verified that the phone number is correct. Select **Continue**.



## RULE

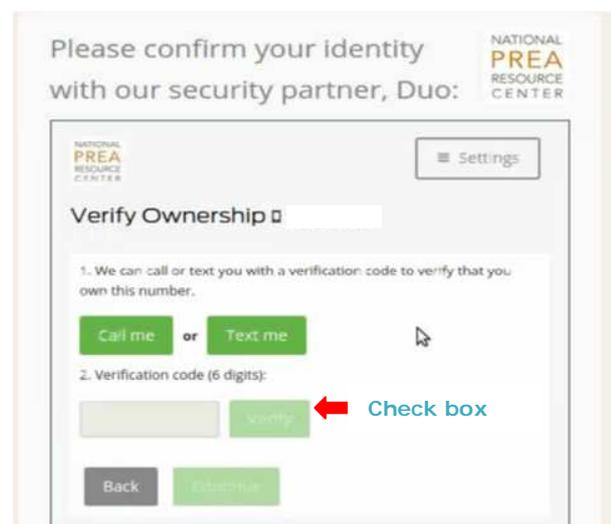
You must check the **“is the correct number”** box before you can select continue.

You will be asked to prove that that phone is yours in the **Verify Ownership** screen. You can choose to receive an automated call by clicking on **Call me**, or to receive a text message by clicking on **Text me**.

## TIP

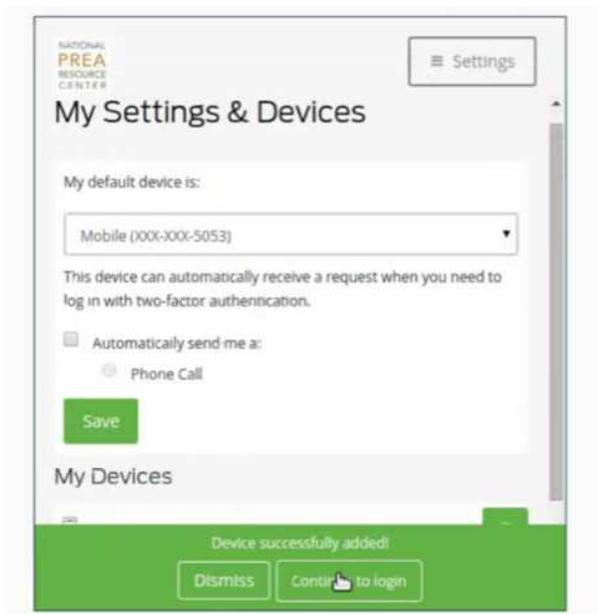
If you choose to have text message sent, standard message rates will apply.

Once you receive a call or text with the verification code, enter the code. Once you enter the correct code, you will be able to click **Continue**.



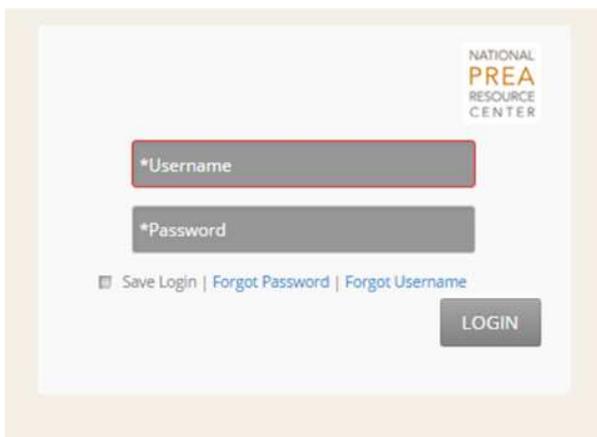
Select the **Save** option in the **My Settings & Devices** screen. You will receive a message that your **Device has been successfully added**. Select **Dismiss** or **Continue to login** to login to the system.

# Getting Started

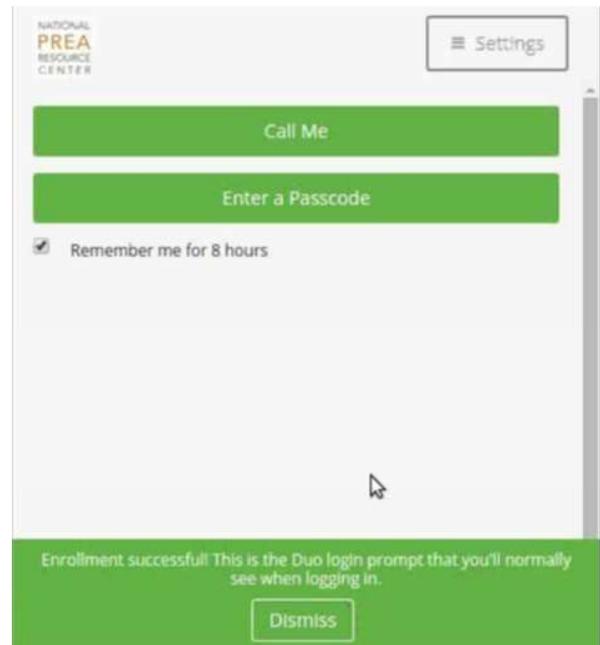


## Logging In after Initial Account Set-up

To access the OAS in the future, go to the address [www.PREAaudit.org](http://www.PREAaudit.org) to login. You will be brought to the login screen. Enter your **Username** and **Password** and click **LOGIN**.



You will be taken to the security screen and will receive a prompt to click **Call Me** or **Enter a Passcode**.



## TIP

We recommend you select the **Call Me** option since it is faster. You simply answer your phone and press any number.

## TIP

We recommend, you check the box **Remember me for 8 hours**. This means that the system won't require the phone validation for eight hours. You will only need to give your username and password to access the system.

If you select **Call Me**, when you get the call, the automated voice will tell you to press any number on the keypad on your phone. Once you press a number, you will have access to the OAS on your computer.

# Getting Started

If you select **Enter a Passcode**, you will receive a code by either text or voice message. Once you enter the passcode provided, you will have access to the OAS on your computer.

## **Forgot Your Password or Username**

If you forget your username, click on the link **Forgot Username** on the login screen. You will be prompted to enter your email. Click **SUBMIT**. You will receive an email with your username.

If you forget your password, click on the link **Forgot Password** on the login screen. You will be prompted to enter your username (remember this is not the same as your email address). Click **SUBMIT**. You will receive an email with a link to reset your password.

## **Navigating through the OAS**

This section provides an overview of how to navigate through the OAS.

### **The Audits List**

When you login to your account, you will be taken

to the **Audits List** page. This page is the area of the OAS that acts as a launching point for you to access the Auditor Compliance Tool to complete your audit.

### **Search**

In the Audits List page, you can **search** by a Facility or Agency by typing the facility or agency name in the search box in the top right corner.

### **Filter and Sort**

Each page has a table that summarizes pertinent information related to that page. You have the ability to filter the data by specific variables in the table. In the **filter by** section, click on the arrows for a drop-down list to filter by Facility type, Agency, and/or Status. You are able to filter by multiple fields. To clear filters click on **clear all**.

You are also able to **sort** the information in the Audits List table by clicking on a column heading at the top of the table. You are able to sort by multiple fields.

**PREA**  
AUDIT SYSTEM

Audits

Auditor (Certified Auditor)

Facility Name or Agency Name Search

**Audits List**

Filter By: (clear all)

Auditor: --All-- Facility type: --All-- Agency: --All-- Status: Created

Sort

Audit Type	Agency	Facility	Facility Type	Start Date	Status	Days at Status	Auditor	Details
Agency	Agency	n/a	Prison / Jail	04/15/2016	CREATED	3	Auditor, Certified	🔍
Facility	Agency	Facility	Prison / Jail	04/15/2016	CREATED	3	Auditor, Certified	🔍

# Getting Started

## Audits List Table

The **Audit List Table** shows all audits that have ever been assigned to you.

The **Audit Type** column displays whether an audit is for an agency or a facility.

The **Agency** and **Facility** columns show the name of the agency or facility associated with each audit, if applicable.

The **Facility Type** shows the type of facility that is being audited (i.e., Prison/Jail, Juvenile, Community Confinement, or Lockups).

The **Start Date** column shows the date that the audit process was initiated in the online system.

The **Status** column tells you the current status of the audit. When there is a significant activity in the process (e.g., the PAQ has been submitted) the status is updated in the OAS. The box below provides a description of each of the statuses.

## Audit Statuses

**CREATED:** *An audit has been created by the PRC Administrator but no activity has begun online.*

**PRE-AUDIT:** *The audit has been initiated and the PREA Coordinator/PREA Compliance Manager is working on the PAQ.*

**AUDIT:** *The PAQ has been completed and submitted for the auditor's review and the auditor's audit has started.*

**CORRECTIVE ACTION:** *The auditor has submitted the Interim Audit Report with one or more standards not met and has initiated a corrective action period.*

**COMPLETE:** *The auditor has completed the audit and has generated the Final Report for dissemination.*

The **Days at Status** column lets you know how long the audit has been at that status.

The **Auditor** column should always show your name, since you are the auditor assigned to that audit.

The **Details** column will allow you to access the Auditor Compliance Tool for a facility/agency being audited. You can edit the compliance tool for an audit that is in an active status (i.e., audit or corrective action) by clicking the pencil icon (✎) or view the details of the audit only, by clicking on the magnifying glass icon (🔍), if it is in any other status.

## The Audit Overview Page

On the Audits List page, click the pencil icon (✎) for the audit you are currently working on to open the **Audit Overview** page.

From the Audit Overview page you can review the **Agency Information** and **Facility Information** completed by the facility/agency by clicking on the respective icons at the top of the page.

You can also view, print or save the tool at any time by clicking on **View/Print Compliance Tool**, which will open up a printable version of the current tool (i.e., any information entered into the tool up to that point).

On the Audit Overview page, there are several sections that correspond to the PREA standards' **Topics** (e.g., Prevention Planning, Responsive Planning, etc.) and the **Post-Audit Report and Audit Findings** section. Together, these sections comprise the Auditor Compliance Tool. "The Auditor Compliance Tool" chapter goes into greater detail about completing the tool.

# Getting Started

For each section, the **Status** column tells you if that section is “Incomplete” or “Ready”.

**Ready** means that you have completed all the required information (including an overall determination) for each standard in that topic. For example, in the illustration below, the information is complete for all eight standards in Prevention Planning. **Incomplete** means that not all

information has been completed for one or more standards in that topic (the numbers in parentheses tells you the number of standards completed for each topic). For example, in the illustration below, information is complete for one of two standards in Responsive Planning.

To open a section, click on the pencil icon (✎) in the **Action** column associated with that section.

The screenshot shows the PREA Audit System interface. At the top, there is a navigation bar with the PREA logo, 'Audits', and a user profile icon labeled 'Auditor (Certified Auditor)'. Below the navigation bar, there are three buttons: 'AGENCY INFORMATION', 'FACILITY INFORMATION', and 'View/Print Compliance Tool'. A callout box points to the 'View/Print Compliance Tool' button with the text 'View, save, or print Compliance Tool'. Below the buttons is a table with the following data:

Section	Status	Action
Prevention Planning	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Responsive Planning	Incomplete ( 1 / 2 )	<a href="#">✎</a>
Training and Education	Incomplete ( 0 / 5 )	<a href="#">✎</a>
Screening for Risk of Sexual Victimization and Abusiveness	Incomplete ( 0 / 3 )	<a href="#">✎</a>
Reporting	Incomplete ( 0 / 4 )	<a href="#">✎</a>
Official Response Following an Inmate Report	Incomplete ( 0 / 8 )	<a href="#">✎</a>
Investigations	Incomplete ( 0 / 3 )	<a href="#">✎</a>
Discipline	Incomplete ( 0 / 3 )	<a href="#">✎</a>
Medical and Mental Care	Incomplete ( 0 / 3 )	<a href="#">✎</a>
Data Collection and Review	Incomplete ( 3 / 4 )	<a href="#">✎</a>
Auditing and Corrective Action	Incomplete ( 0 / 1 )	<a href="#">✎</a>
Post-Audit Report and Audit Findings	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>

Callouts in the image include: 'Review Agency & Facility Info' pointing to the first two buttons; 'Topics' pointing to the table rows; and 'Post-Audit Report & Audit Findings' pointing to the last row.

## Changing Your Password/Logging Out

You can change your password and logout of the system by clicking on the  icon at the top right corner. A drop-down will appear to select **Change Password**, or **Logout**.

It is important to protect the security of the OAS. If you do not logout, the system will automatically log you out after 30 minutes of inactivity. It is highly recommended that you log out of the

system when you are not using it.



# Getting Started

## **Support**

Click on the  icon at the top right corner and select **Support** to access contact information for technology support with the PREA Audit System. The OAS User Manuals can also be accessed using the  icon.

## **Spell Check**

The OAS does not spell check you work. Depending on your web browser (Google Chrome, Mozilla Firefox, Internet Explorer, etc.) it may display when there are spelling errors. If your browser does not notify you of spelling errors, you may wish to type the text in a word processor, run spell check and copy and paste the text when you are ready.

## **Other**

If you put your mouse over words in **blue font** a pop-up will appear that defines the word.

**Blue icons** indicate something that can be opened.

The **magnifying glass icon** () indicates items that can be viewed only. The **pencil icon** () indicates items that can be edited.

# The Auditor Compliance Tool

## Chapter 2: The Auditor Compliance Tool

The Auditor Compliance Tool is the main part of the online system. The Auditor Compliance Tool allows the auditor to review facility/agency responses to, and documentation provided for, the Pre-Audit Questionnaire (PAQ) and guides the auditor through the audit process and documenting their findings.

This chapter describes how to navigate through the Auditor Compliance Tool, including reviewing facility/agency responses to the PAQ for each PREA standard, completing provision findings and providing overall determinations.

In the Audit Overview page click on the pencil icon (✎) in the **Action** column associated with a

topic to open the compliance tool pages for that topic. The **topic** name and **standard** language appear at the top of the page.

The **status bar** below the standard tells you the number of standards for that topic. For example, as shown below, Prevention Planning (for Prisons and Jails) has eight standards and 115.11 is the first standard.

Each standard is divided into **provisions**. For each provision, there are three sections: the Pre-Audit, Audit, and Provision Findings sections.

### TIP

There is one standard per page and each square represents a standard/page. A blue square represents the standard you are currently on.

The screenshot shows the Auditor Compliance Tool interface. At the top, there are navigation buttons: "AGENCY INFORMATION", "FACILITY INFORMATION", "View/Print Compliance Tool", and "Review then Submit". Below these is a table with columns "Section", "Status", and "Action".

Section	Status	Action
Prevention Planning	Ready <span>🟢</span>	<span>✎</span>
Responsive Planning	Incomplete ( 1 / 2 )	<span>✎</span>

Below the table, a large rounded rectangle highlights the "Prevention Planning" section. On the left, four callout boxes point to specific elements:

- Topic:** Points to "Prevention Planning".
- Standard:** Points to "Standard: 115.11 - Zero tolerance of sexual abuse and sexual harassment; PREA coordinator".
- Status bar:** Points to a progress bar showing "Standard (1 of 8)" with 8 squares, the first of which is blue.
- Provision:** Points to a text box containing the provision text: "115.11 (a) The agency shall have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment and outlining the agency's approach to preventing, detecting, and responding to such conduct."

Other interface elements include a "Save & Continue" button in the top right of the highlighted area and a pencil icon in the "Action" column of the table.

# The Auditor Compliance Tool

## Pre-Audit

When a PREA Coordinator or PREA Compliance Manager completes and submits the PAQ for the facility/agency being audited, you will receive an email notifying you that the PAQ has been submitted and is ready for your review.

**Pre-Audit Questionnaire (PAQ)**

The facility/agency completes and submits a PAQ, in preparation for their audit, in which they answer questions about the agency/facility policies and practices related to the PREA standards and upload supporting documentation.

The **Pre-Audit** section of the Compliance Tool includes the agency's/facility's responses and documentation they provided for each **measure** on their PAQ. To view the **documents** provided, click on the document name. If provided by the facility, the **page(s)/section(s)** for the uploaded file(s) are above the file name(s). To the right of facility/agency responses there are special auditor instructions and an **Auditor Notes** comment box for you to enter any notes (e.g., additional documentation to review while on site) you have as you review the PAQ responses and documentation.

**Prevention Planning** Save & Continue

Standard: 115.11 - Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

Standard (1 of 8)

115.11 (a) The agency shall have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment and outlining the agency's approach to preventing, detecting, and responding to such conduct.

Pre-Audit		
Section	Question Text	Agency/Facility Response
115.11 (a)-1	The agency has a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment in facilities it operates directly or under contract.	<input checked="" type="radio"/> Yes <input type="radio"/> No Enter Comment Enter Page(s)/Section(s)
	Upload/select zero tolerance policy	
115.11 (a)-2	The facility has a policy outlining how it will implement the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment.	<input checked="" type="radio"/> Yes <input type="radio"/> No Enter Comment Enter Page(s)/Section(s)
	Upload/select policy outlining implementation plan	Agency Org Chart.docx

Pre Audit Questionnaire Text: Review uploaded policy(ies)/other documentation.

Auditor Notes:

Measures

Response to measure

Instructions

Auditor notes

Page(s)/section(s) of uploaded file(s)

File(s) uploaded

# The Auditor Compliance Tool

## Audit

The **Audit** section, below the Pre-Audit section, includes **instructions** (when applicable) to guide you through making a determination for that provision, an **Auditor Notes** field that provides a space to enter notes (observations from tour, discussions with staff and inmates, etc.) as you go through the audit, and a **Select Files** button for you to upload documentation pertinent to your audit findings (including interview notes or other files you have collected as part of the audit). The

“Uploading Files” section details how to upload documentation.

### Audit Instructions

**Interview Guides:** Indicates corresponding interview guides and question numbers.

**Audit Tour (Site Review):** Provides additional instructions for things to review during the tour of the facility.

**Review:** Additional documentation to review on site.

**Audit**

**Audit Instructions**

**Interview Guides:** Intermediate- or Higher-Level Facility Staff - Q: 1, 2, 3  
**Audit Tour:** Make observations and ask questions per the tour instructions. Note observations, etc.  
**Review:** Video demonstrating unannounced rounds when available (spot-check). Additional documentation of unannounced rounds and evidence that such rounds cover all shifts.

**Auditor Notes:**

Enter your notes here as you go through the audit.

**File(s) Uploaded**

Select File(s)

✓ Copy of PREA doc prison jail.docx - uncheck to remove

## Provision Findings

In the **Provision Findings** section you will be asked a number of questions related to requirements of the standard.

### RULE

Your responses to questions in the **Provision Findings** section are mandatory. You will not be able to submit the Interim and Final Reports until these are complete. You should not find a facility or agency compliant with a standard if you cannot answer “yes” to each of the Provision Findings questions.

**Provision Findings**

**115.13 (d)**

Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment? \*

Is this policy and practice implemented for night shifts as well as day shifts? \*

Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility? \*

Yes  No

Yes  No

Yes  No

# The Auditor Compliance Tool

## Auditor Overall Determination

Once you go through each provision, you will be required to make an **Overall Determination** of whether the facility/agency exceeded, met, or did not meet the requirements of the standard. The overall determination represents the entire standard, including all of the provisions on the page.

### RULE

You **MUST** select one determination for each standard in order to complete the audit. You will not be able to submit the Interim and Final Reports until you have provided an overall determination for each standard.

Once you have selected an overall determination, you must provide a justification in the **comments** box below the final determination.

### RULE

The justification for your overall determination is mandatory and you will not be able to submit the Interim and Final Reports until you have provided a justification for each standard. You **MUST** follow the instructions provided above the justification comments box.

Unlike the other comments on the page that are essentially your notes for your own record keeping, this comment field is part of the permanent record and will be included in the public, permanent final reports.

## Auditor Overall Determination: \*

- Exceeds Standard (Substantially exceeds requirement of standard)
- Meets Standard (Substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (requires corrective action)

The auditor should clearly articulate the facility's compliance or non-compliance with the standard. This should include a description of the key evidence relied upon in making this provision-by-provision compliance determination, the auditor's analysis and reasoning, along with the auditor's conclusions. The discussion must also include any deficiencies noted and corrective action recommendations where the facility does not meet standards. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility. Auditors should include all remedial actions taken by the agencies, even when such actions are taken during the on-site portion of the audit, or during the initial reporting period following the end of the onsite portion.

Justification for auditor overall determination is required.

Instructions for providing justification



# The Auditor Compliance Tool

## Navigating through Pages

You can click on a gray square  on the **status bar**, click on the next page icon , or click **Save & Continue** to advance to another page/standard.

The blue square indicates the page you are currently on. A white checkmark (  ) in the box indicates that the facility/agency meets or exceeds that standard. A red checkmark (  ) indicates that the facility/agency did not meet the requirements of that standard.

## TIP

At any point prior to submitting the report, you ARE allowed to go back and make changes to any of the standards by clicking on the icon for the progress indicator.

You can also click on **breadcrumbs** at the top of the page to navigate backwards. Clicking on **Audits** will take you to the Audits List page. Clicking on **Facility Name** will take you to the Audit Overview page.



# Uploading Files

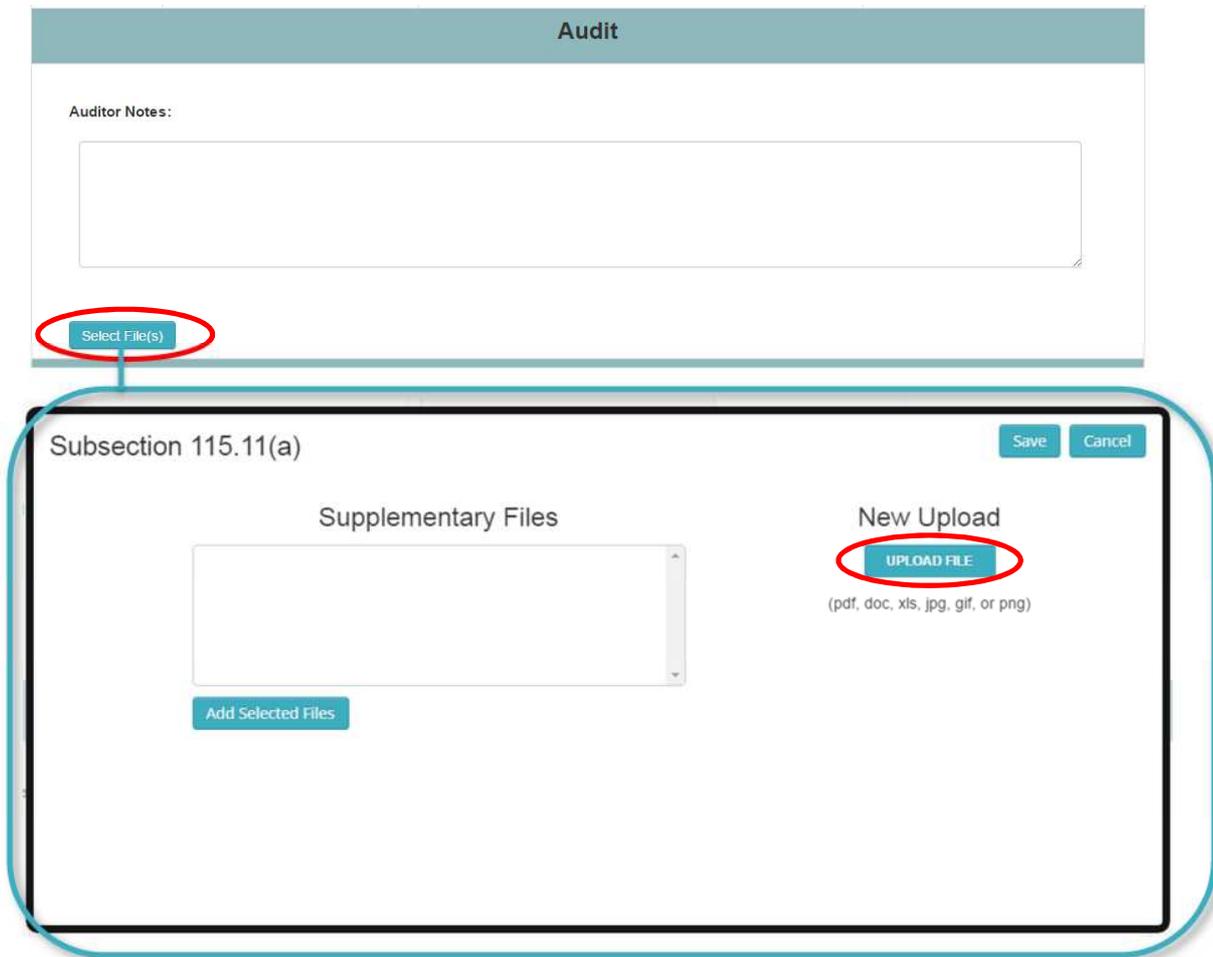
## Chapter 3: Uploading Files

This chapter guides you through the process of uploading files, including documentation reviewed during the audit, if relevant to findings, and notes from your interviews, etc.

### Selecting Files

To upload files (i.e., documentation reviewed during the audit and interview notes):

1. Click the **Select File(s)** button in the **Audit** section of the Auditor Compliance Tool that corresponds to the relevant standard provision.
2. Under **New Upload** in the file upload screen, click the **Upload File** button
3. On your computer, navigate to and select the file, click **Open**.
4. Click **Save**.



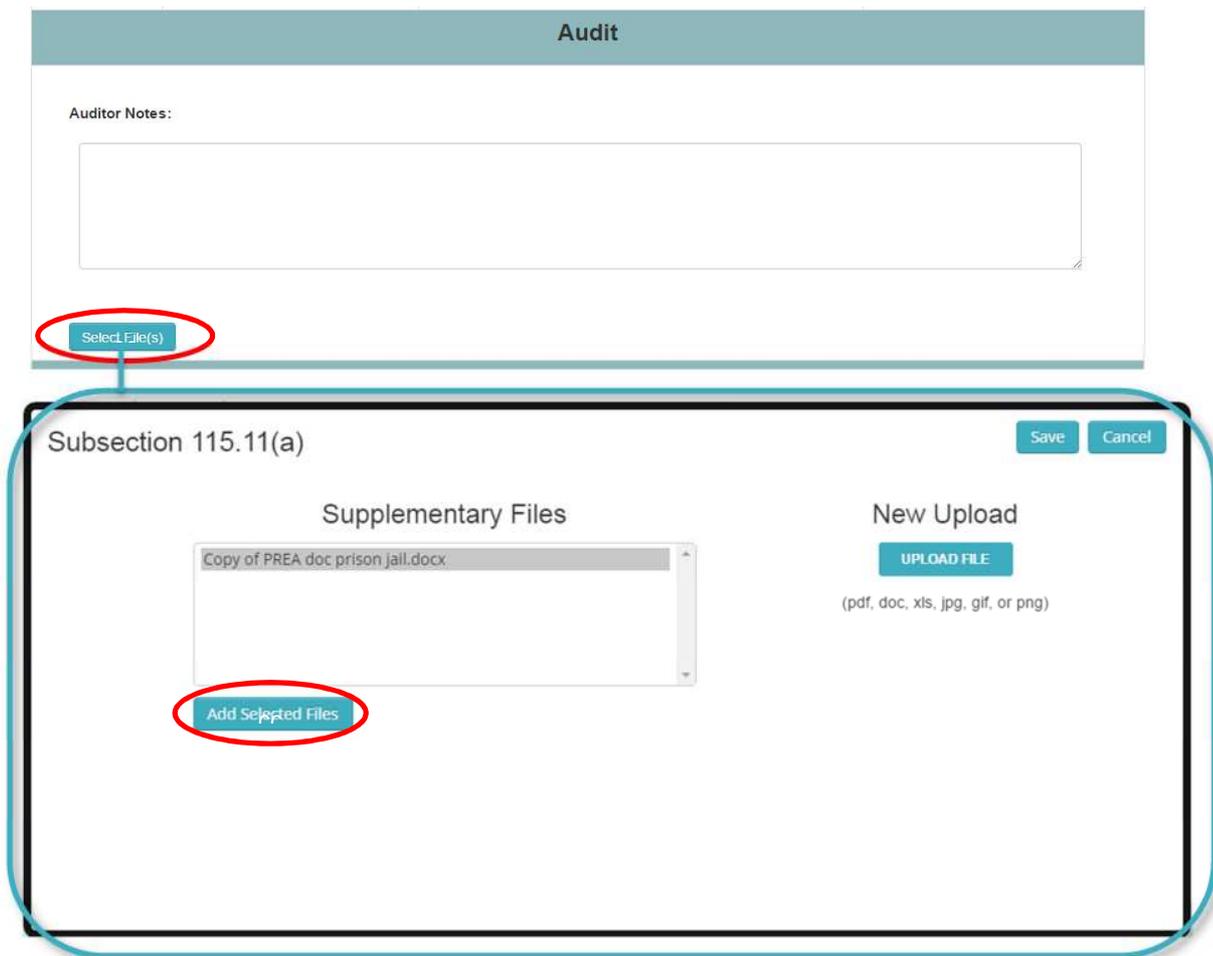
# Uploading Files

## Selecting Supplementary Files

Additional documentation may be provided via the **supplementary files** option after the facility/agency has submitted the PAQ, and the audit is in **audit** status, or during the **corrective action** period.

On their end, the facility or agency will log into the PREA system, and upload the document using the supplementary files icon associated with that audit. Once they have done that, those files will be available for you to upload to the compliance tool:

1. Click the **Select File(s)** button in the **Audit** section of the Auditor Compliance Tool that corresponds to the relevant standard provision.
2. Under the **Supplementary Files** box in the file upload screen, click the file you wish to upload and click the **Add Selected Files** button
3. On your computer, navigate to and select the file, click **Open**.
4. Click **Save**.



# Uploading Files

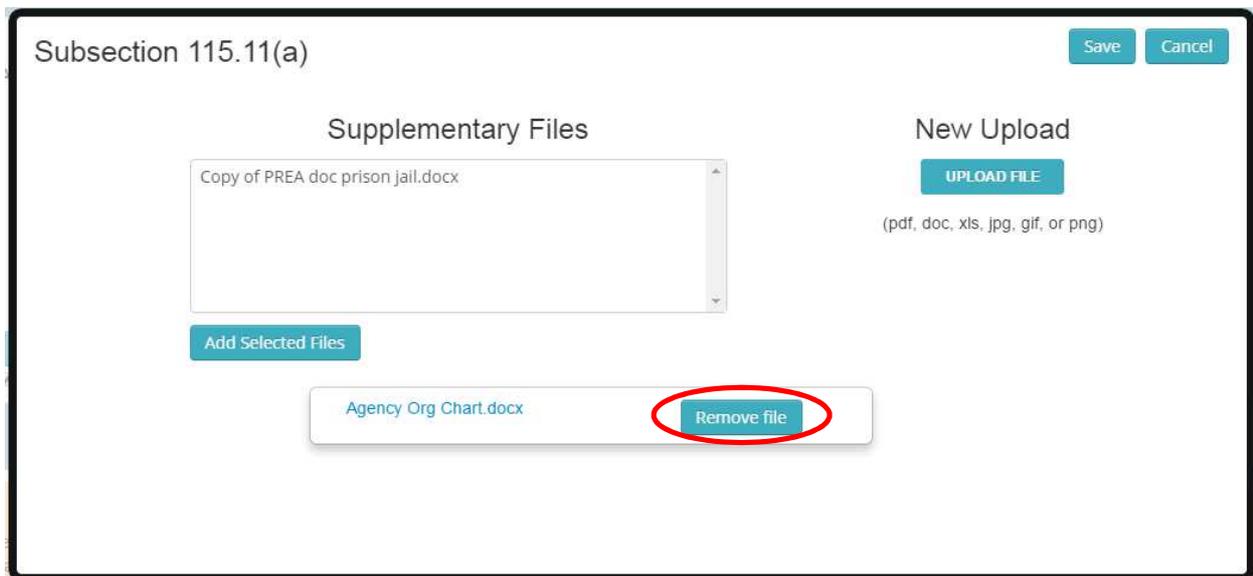
## Removing Files

To remove files that you uploaded to the compliance tool:

1. Click the **Select File(s)** button in the **Audit** section of the Auditor Compliance Tool that

corresponds to the relevant standard provision.

2. In the file upload screen, click the **Remove file** button for each file that you do NOT want associated with that measure.
3. Click the **Save** button.



# An Agency Audit vs. a Facility Audit

## Chapter 4: An Agency Audit vs. a Facility Audit

The process for conducting an agency audit is similar to the process for a facility audit except there are fewer standards to be audited and, in some cases, fewer provisions within the standards to be audited.

Within the OAS, there are some slight differences for a facility audit if the agency to which it belongs has been or is in the process of being audited.

Some standards/provisions will not appear on the compliance tool because they will be audited at the agency level (e.g. 115.88 and 115.11(b)).

For some standards (such as 115.17 and 115.66), the facility will be asked in their PAQ, if they have “responsibility, separate from the agency’s responsibilities” for the standard or provision.

If the facility indicates they **do** have responsibility for a standard, separate from the agency’s responsibility, then you will audit the standard as you would for any other standard (i.e., you will be required to interview, review documentation, and tour the facility per the instructions and make an overall determination for those standards).

If the facility indicates they **do not** have responsibility for a standard, separate from the agency’s, you will receive a **notification** for that standard in the Auditor Compliance Tool.

**Prevention Planning**

Standard: 115.17 - Hiring and promotion decisions

Standard (7 of 8)

Notification

This standard is also being, or has been, audited at the agency-level. If the facility does not have any responsibility for this standard, you do not need to audit it. The facility has indicated on their PAQ that they do not have responsibility for this standard, separate from the agency’s responsibilities, but you must confirm this as part of your audit. If confirmed, check the box AND include a justification in the comments section below (required).

Check-box

As part of the audit, you **MUST** confirm that the facility does not have any responsibility for those standards/provisions. If confirmed, **check the box** and provide a justification in the **comments** box. You will not need to provide an overall determination.

### RULE

The justification is mandatory and you will not be able to submit the Interim and Final Reports until you have provided a justification.

# An Agency Audit vs. a Facility Audit

## Auditor Overall Determination: \*

- Exceeds Standard (Substantially exceeds requirement of standard)
- Meets Standard (Substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (requires corrective action)

No overall determination required

The auditor should clearly articulate the facility's compliance or non-compliance with the standard. This should include a description of the key evidence relied upon in making this provision-by-provision compliance determination, the auditor's analysis and reasoning, along with the auditor's conclusions. The discussion must also include any deficiencies noted and corrective action recommendations where the facility does not meet standards. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility. Auditors should include all remedial actions taken by the agencies, even when such actions are taken during the on-site portion of the audit, or during the initial reporting period following the end of the onsite portion.

Justification required here

Justification required

# Finalizing the Audit

## Chapter 5: Finalizing the Audit

This chapter focuses on finalizing the audit including completing the Post-Audit Report and Audit Findings section; previewing, saving, and printing the Interim and Final Reports; submitting the Interim and Final Reports; and updating the Auditor Compliance Tool during the Corrective Action period.

### Post-Audit Report & Audit Findings

The final section in the Audit Overview page is the **Post-Audit Report and Audit Findings** section. In the Audit Overview page, click on the pencil icon (✎) in the **Action** column for the Post-Audit Report and Audit Findings section to open the

page.

The **Post-Audit Report** section asks questions about the audit process itself including the work you did during site visits, document availability, interviews conducted and so on. **The Audit Findings** section requires that you provide details on the audit methodology, facility characteristics and a summary of audit findings per the instructions.

#### RULE

All fields on this page are required and you will not be able to finalize the audit until they are completed.

Post-Audit Report and Audit Findings Ready

### Post-Audit Report & Audit Findings

#### Post-Audit Report

[Return & Save](#)

*Please complete all the information below. \*These are required fields and you will not be able to submit your audit until all fields are complete.*

Start Date of On-Site Audit: \*  
(mm/dd/yyyy)

End Date of On-Site Audit: \*  
(mm/dd/yyyy)

Estimate the total number of days you worked on this audit (include pre-audit, on-site, and post-audit portions) (1 day = 8 hours) \*

Have you received financial compensation from the agency being audited (other than compensation received for conducting this or prior PREA audits) within three years prior to being retained by the agency? \*

Yes

No

# Finalizing the Audit

## Audit Findings

Narrative: The auditor's description of the audit methodology should include a detailed description of the following processes during the pre-audit, on-site audit, and post-audit phases: documents and files reviewed, discussions and types of interviews conducted, number of days spent on-site, observations made during the site-review, and a detailed description of any follow-up work conducted during the post-audit phase. The narrative should describe the techniques the auditor used to sample documentation and select interviewees, and the auditor's process for the site review. \*

## Submitting the Interim & Final Report

When all of the topics are marked as **Ready**, on the Audit Overview page, you can choose Review then Submit.

### RULE

Once you submit the report it cannot be edited so you should conduct a final review of the compliance tool and report and make any necessary changes before submitting.

AGENCY INFORMATIONFACILITY INFORMATIONView/Print Compliance ToolReview then Submit

Section	Status	Action
Prevention Planning	Ready <span style="color: orange;">⚠</span>	<a href="#">✎</a>
Responsive Planning	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Training and Education	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Screening for Risk of Sexual Victimization and Abusiveness	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Reporting	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Official Response Following an Inmate Report	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Investigations	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Discipline	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Medical and Mental Care	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Data Collection and Review	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Auditing and Corrective Action	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>
Post-Audit Report and Audit Findings	Ready <span style="color: green;">✔</span>	<a href="#">✎</a>

# Finalizing the Audit

When you click Review then Submit, a box will open that outlines the number of standards exceeded, met and not met. There is a preview button in this box to **preview the report**.

Click **preview the report** and the OAS will generate an interim or final report for you to review.

## RULE

If you are required to have PRC review your report (including interim and final reports), please follow the instructions in the box and do NOT submit your report until you have done so. Instead, you should save the report to your computer or an external drive and send it to PRC for further instructions.

**Remember, once you submit the report it cannot be undone.**

If one or more standards do not meet the requirements, an **Interim Report** will be created requiring corrective actions as outlined in your overall determinations notes. If all standards are met or exceeded, a **Final Report** is generated.

Once you have previewed the report and are ready to finalize, check the **certifications** and type your **name** in the appropriate box. Click **Submit Audit** to submit the report.

The screenshot shows the OAS report finalization interface. At the top, a summary box displays: Standards Exceeded: 0, Standards Met: 43, and Standards NOT Met: 1. Below this is a 'Preview Report' button, which is highlighted with a callout box labeled 'Preview Report'. A red notice follows, stating: 'NOTICE: Once you click "Submit Audit" you will not be able to edit this report. If you are on PROBATIONARY STATUS or otherwise required to submit this report to the PREA Resource Center (PRC) or the PREA Management Office (PMO) at the Bureau of Justice Assistance (BJA) prior to finalization, please DO NOT CLICK "Submit Audit" until you have completed that process. To send a draft of your report for review by the PRC or PMO, click "Preview Report" and save a copy of the report on your computer as a PDF. Please make sure you do not click "Submit Audit" until you are absolutely certain that you do not need to further edit the report. Please contact the PRC if you have any questions about whether you need to submit a draft report for review.' Below the notice are three certification checkboxes: 'The contents of this report are accurate to the best of my knowledge', 'No conflict of interest exists with respect to my ability to conduct an audit of the agency under review, and', and 'I have not included in the final report any personally identifiable information (PII) about any inmate or staff member, except where the names of administrative personnel are specifically requested in the report template.' The third checkbox is highlighted with a callout box labeled 'Certifications'. Below the certifications are two text input fields: 'Full Name (typed)' and 'Date'. The 'Full Name' field is highlighted with a callout box labeled 'Type Your Full Name'. The 'Date' field contains the text 'April 14, 2016'. At the bottom of the form are two buttons: 'Cancel' and 'Submit Audit'. The 'Submit Audit' button is highlighted with a callout box labeled 'Submit Audit'.

# Finalizing the Audit

Once you submit the report, the system will send **emails** to you, the PREA Compliance Manager and/or PREA Coordinator letting you know that the report was created.

## RULE

The system will not send the report; you will need to print or save the report to your computer or another drive and then provide the report directly to the facility and/or agency per your agreement with them.

## Corrective Action Period

If you determined that the facility or agency did not meet the requirements of one or more standards as part of the Interim Report, the facility or agency will enter the **Corrective Action Period**. During this time, you will work with the facility or agency to address the standards where you determined requirements were not met.

### *Corrective Action and the Compliance Tool*

Once an Interim report is submitted, you will be able to modify the compliance tool as part of the Corrective Action period. As part of this process, you may need to review and upload additional supporting documentation, conduct additional interviews, and/or conduct another tour of the facility.

Modifications to the compliance tool may include:

- Uploading additional documentation and your notes in the **Audit** section.

- Changing answers to the **Provision Findings** sections; and
- Modifying **Overall Determinations** for standards where requirements were not met.
- Revising the **Post-Audit Report and Auditor Findings** section.

You may also need to upload additional notes or supporting documentation to support revised overall determinations.

### *Modifying the Compliance Tool*

As detailed earlier, to access the **Auditor's Compliance Tool**, click on the **pencil icon** from the **Audit Overview** page. You can now edit the compliance tool as you work with the facility or agency during the Corrective Action period.

For each standard that was not previously met: update your notes and upload additional documentation, update the provision findings, and revise your overall determination and comments, as necessary. Also, as necessary, update the Post-Audit report and Auditor Findings section.

## RULE

You **MUST** retain the original comments outlining the need for/type of corrective action(s), provide additional comments detailing what steps have been taken to meet the requirements of the standard (or not), and justification for final determination.

# Finalizing the Audit

The screenshot shows the 'Audits List' interface. At the top right, there is a search box labeled 'Facility Name or Agency Name' with a 'Search' button. Below this is a 'Filter By: (clear all)' section containing dropdown menus for 'Auditor: --All--', 'Facility type: --All--', 'Agency: --All--', and 'Status: Corrective Action'. Below the filters is a table with the following columns: Audit Type, Agency, Facility, Facility Type, Start Date, Status, Days at Status, Auditor, and Details. The first row of data shows: Facility, Agency Name, Facility, Prison / Jail, 04/11/2016, CORRECTIVE ACTION, 0, Auditor, and a magnifying glass icon in the Details column, which is circled in red.

## Submitting the Corrective Action Compliance Tool

After reviewing and updating all necessary standards and the Post-Audit Report and Auditor Findings section, you are ready to **submit** the audit again. You will submit the Final Report regardless of whether the facility or agency has met the requirements of all the standards.

To submit the audit, go back to the Audit Overview page and choose **Review** then **Submit**. Follow the instructions for submitting the Interim or Final Report detailed in the "Submitting the Interim & Final Report" section above.

### RULE

Again, if you are required to have PRC review your report, follow the instructions in the box and do NOT submit your report until you have done so. Instead, you should save the report and send it to PRC for further instructions. **Remember, once you submit the report it cannot be undone.**

Once you submit the Final Report, the status in the Audits list will change to **Complete**, the days at status will reset to zero, and the icon in the

details column will change to a magnifying glass. The audit will be locked after you submit.

### RULE

You can only submit the compliance tool once during the corrective action period. Once submitted, the report becomes final and you will not be able to edit it.

Once again, you, the PREA Compliance Manager and PREA Coordinator (as appropriate) will receive an email letting you know that the report has been created.

After you submit, you can view, print, or email the Compliance Tool, Interim Report or Final Report. Click the magnifying glass icon on the **Audits List** page and click on **View/Print Compliance Tool**, **View/Print Interim Report** or **View/Print Final Report**.

### RULE

Remember, the system will not send the Final report; you will need to provide the report to the facility and/or agency per your agreement with them.

# Finalizing the Audit

## Audit Details

[View/Print Compliance Tool](#) [View/Print Interim Report](#) [View/Print Final Report](#) [Return](#)  
[View/Print Pre-Audit Questionnaire](#)

**Audit Start Date:**  
04/11/2016

**Audit Type:**  
Facility Audit

**Agency:**  
Colorado State of Corrections

**Facility:**  
Stillwater  
MN

**Facility Type:**  
Prison / Jail

**Audit Status:**  
COMPLETE

**Agency Coordinator(s):**  
Smart, Casey

**Auditor:**