NATIONAL
PREA
RESOURCE
CENTER

PREA Online Audit System (OAS)

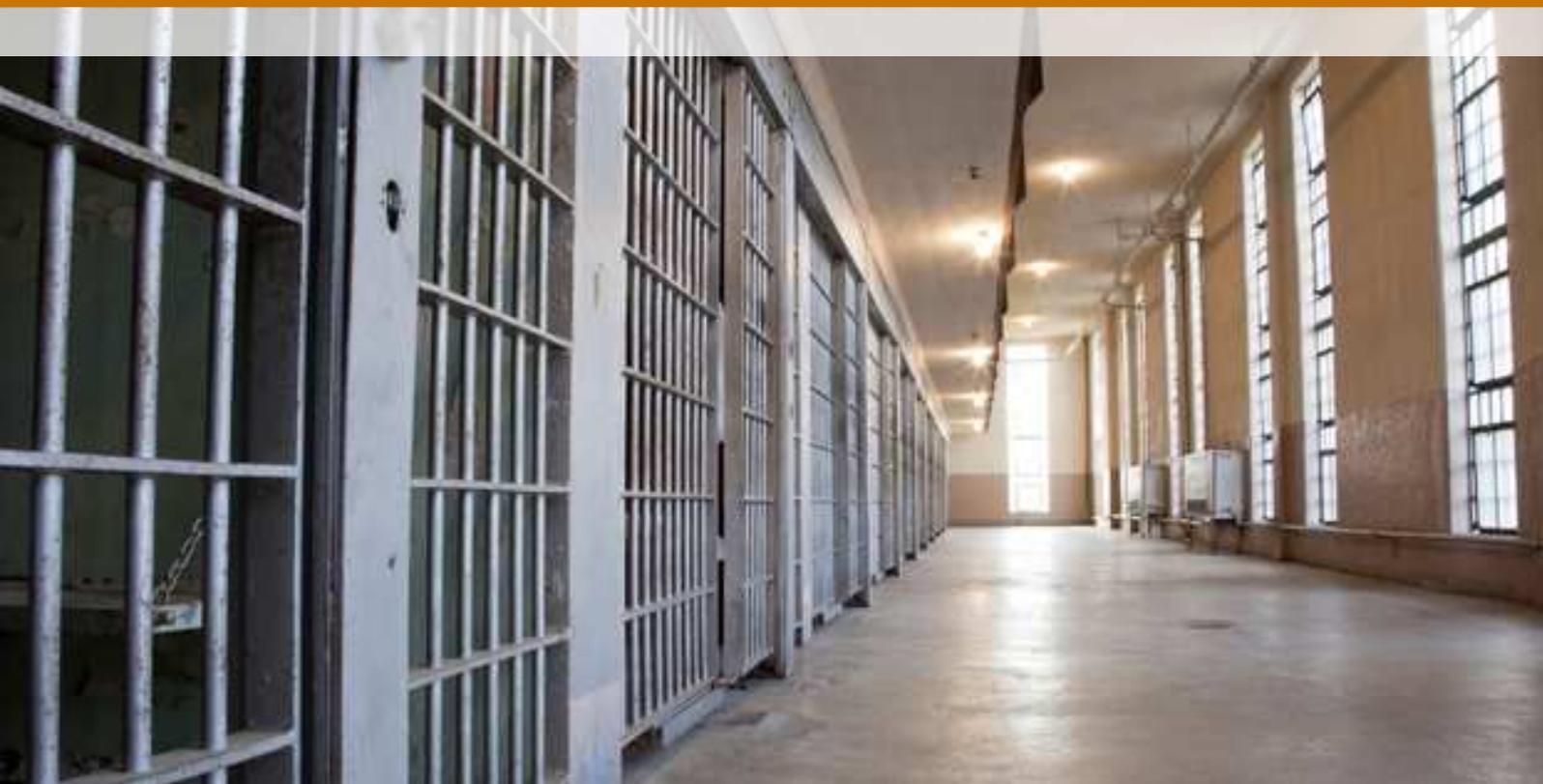## PREA Compliance Manager User Manual

MAY 2016

BJA
Bureau of Justice Assistance
U.S. Department of Justice

NCCD

National Council on
Crime & Delinquency

Abt
ASSOCIATES

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Introduction

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

The PREA Compliance Manager's Role in the OAS

As a PREA Compliance Manager, you will complete the Pre-Audit Questionnaire (PAQ) on behalf of your facility. This will include filling out the Facility Information page, as well as responding to a number of questions, or "measures," throughout the PAQ regarding your facility's characteristics, policies, procedures, staffing, etc. You will also be asked to upload relevant documentation for your auditor to review as part of the PREA audit. You are not required to complete the PAQ, but doing so will streamline the audit process and make it more efficient.

This Manual

The PREA Facility Compliance Manager's User Manual is divided into four sections:

The **Getting Started** section describes 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 gives you a tour of the various screens that you will work with. It will also walk you through the work flow of an audit and the various tools for managing the audit.

The **Pre-Audit Questionnaire** section walks you through the process of completing the PAQ in the OAS, including how to respond to questions, upload documents, and submit the PAQ.

The **Uploading Documents** section walks you through the process of uploading files for your audit, as well as accessing documents that have already been uploaded, and removing uploaded files (if necessary).

The final section, **Accessing Agency Information for the Facility Audit**, goes through the process of accessing agency information, if your agency is in the process of conducting or has completed an Agency Audit.

Introduction

Additional Help

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

To request access to the OAS, complete the User Access/Audit Initiation form:

https://survey.abtassociates.com/s/auditrequest/

Section 1: Getting Started

This section provides information on system requirements, instructions for accessing to 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.

Requesting Access to the System

As a PREA Compliance Manager, you or the PREA Coordinator will complete and submit the **User Access/Audit Initiation** form (https://survey.abtassociates.com/s/auditrequest/) to request access to the OAS and initiate an audit. Once you submit the form, the PREA OAS administrator will send your supervisor (as indicated on the form) the Supervisor Confirmation Form to verify the request. When the PREA OAS administrator receives the signed Supervisor Confirmation Form, your supervisor will be contacted to confirm the request. Upon confirmation, you will receive an email from the OAS indicating that you have been given access.

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 you indicated on the User Access/Audit Initiation form. **It is strongly suggested that you keep this email for your records.**

If you do not receive an email within a reasonable period of time, you should contact 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 the instructions below for more information.

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

> **RULE**
>
> Passwords must:
> - be between 8-20 characters
> - contain letters, characters **and** numbers
> - contain both upper and lowercase letters
> - be reset every 90 days, which you will be prompted to do 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.
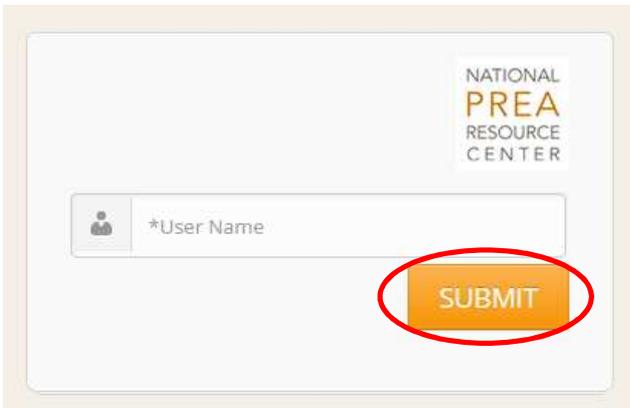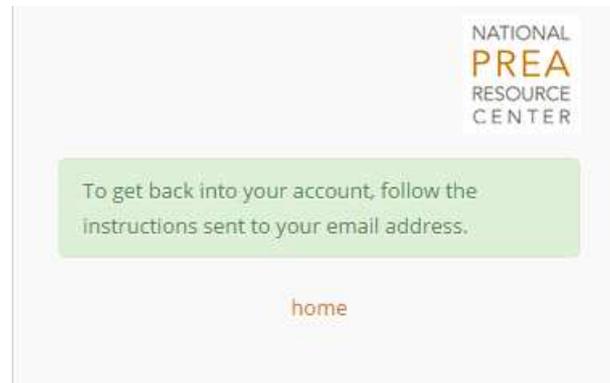
Expired Link

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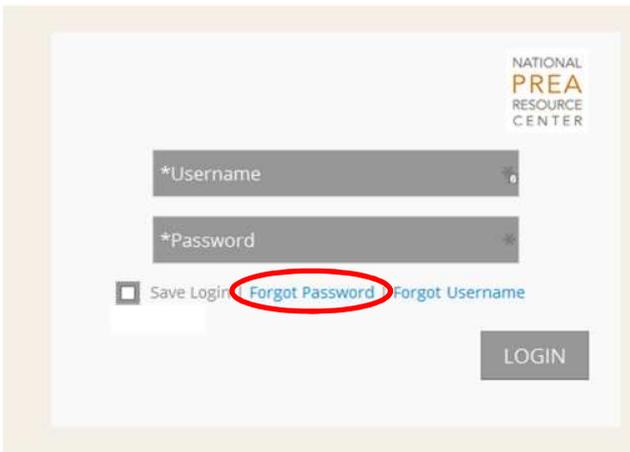
Enter the **Username** that was provided in the original email you received and click on **SUBMIT**.

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

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**.
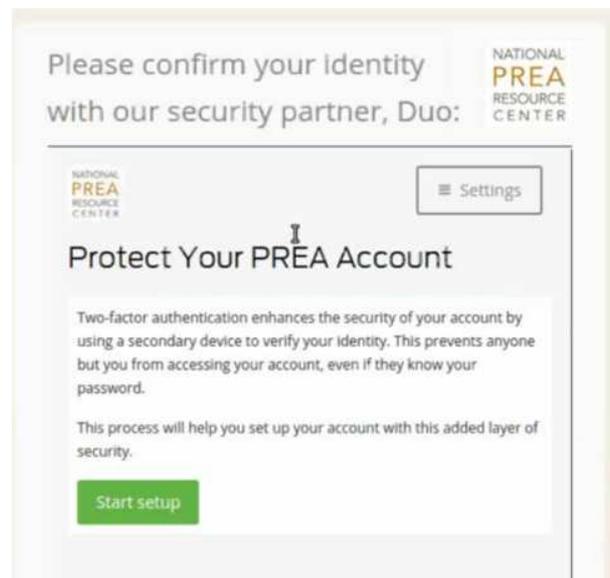
Getting Started

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. Select **Continue**.
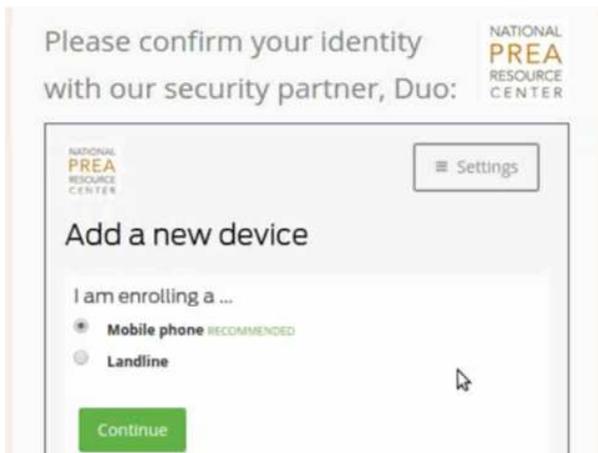
> **TIP**
> A mobile phone is recommended if you always have your phone with you.

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**.
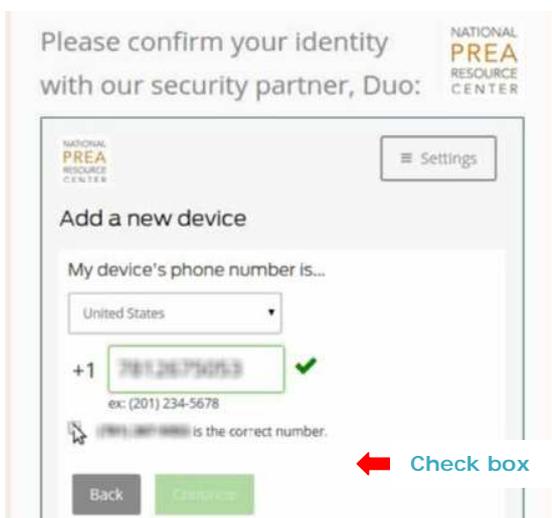

> **RULE**
> You must check the "**is the correct number**" box before you can select continue.

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 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.**
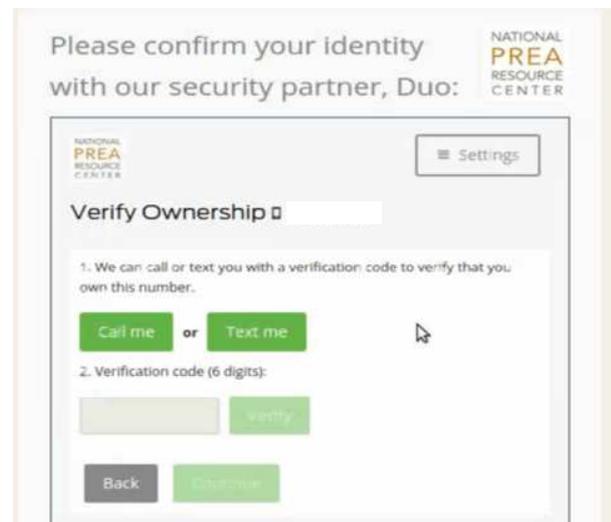
Getting Started

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.
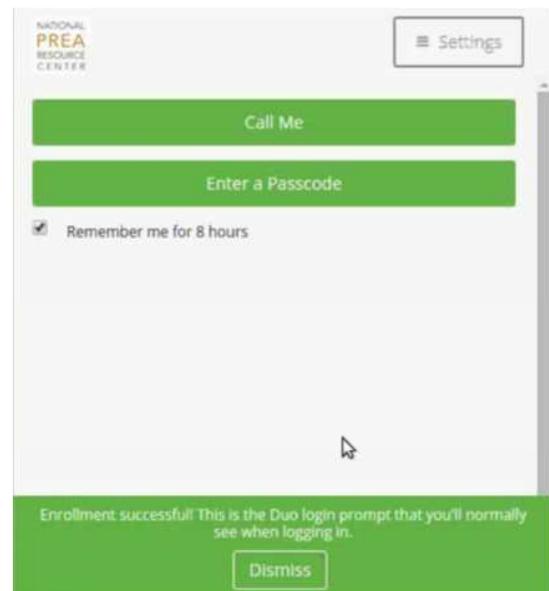

Logging In After Initial Account Set-up

To access the OAS in the future, go to the address www.PREAaudit.org to login. You will be brought to the login screen. Enter your **Username** and **Password** and click **LOGIN**.
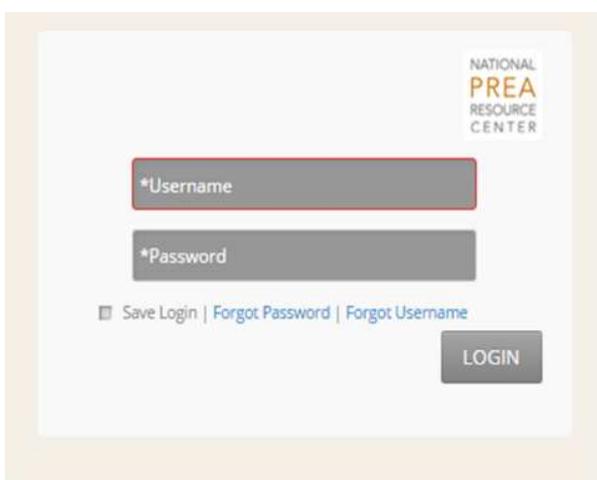
You will be taken to the security screen and will receive a prompt to click **Call Me** or **Enter a Passcode**.

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 will not 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 <u>username</u> 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 <u>password</u> 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.

OAS Pages

When you login to your account, you will be taken to the main screen in the OAS, the **Audits List**. The **Audits List** page allows you to edit the PAQ in preparation for your facility audit or view a completed PAQ.

From the **Audits List** page, you are able to navigate to the other pages (i.e., the Document Library) by clicking on the icons at the top. The text of the icon for the page you are currently in will be highlighted in blue. The next section will go into details about each of these pages.

Changing Your Password/Logging Out

You can change your password and logout of the system by clicking on the 👤 icon in 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 logout of the system when you are not using it.

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.

Search

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

Sort and Filter

Each page has a table that summarizes pertinent information related to that page.

On the **Audits List** 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 Auditor, Facility Type, 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 tables in both the **Audits List** and **Document Library** pages by clicking on a column heading at the top of the table. You are able to sort by multiple fields.

Getting Started
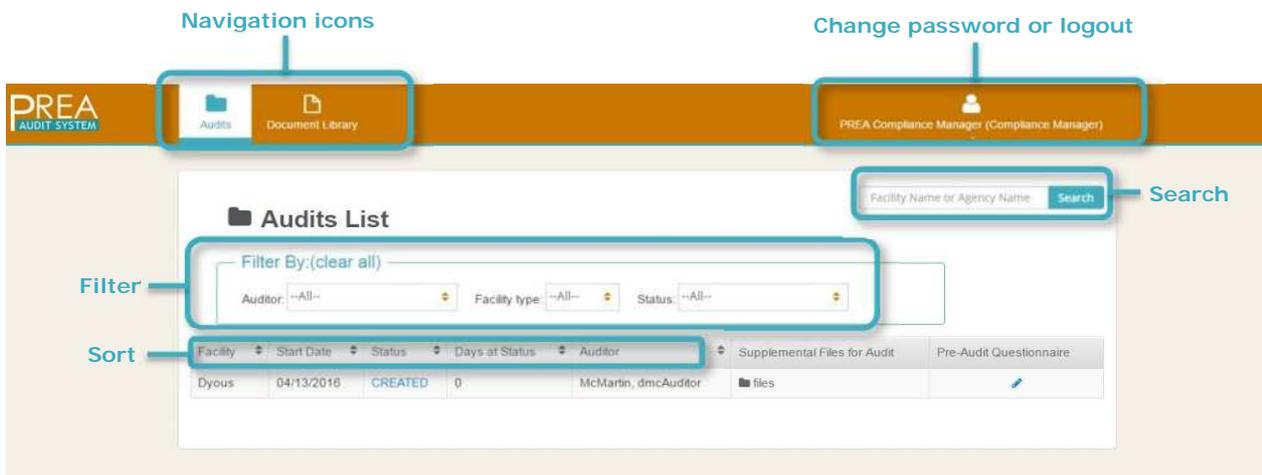
Other

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.

Section 2: The Pre-Audit Questionnaire (PAQ)

This section describes how to navigate through the PAQ, including reviewing agency information, completing facility information, answering questions about your facility for each PREA standard, and submitting the PAQ for your facility audit.

Starting the PAQ

To start your PAQ, click the pencil icon (🖉) for your audit on the **Audits List** page. The **Audit Overview** page will open. From this page, you can review the **AGENCY INFORMATION** provided by your agency, complete and update your **FACILITY'S INFORMATION**, respond to questions in the PAQ, and upload supporting documentation for each standard under each standard topic area (e.g., Prevention Planning).

The Pre-Audit Questionnaire (PAQ)

If an **Agency Audit** is pending, but has not been started for your agency, when you click on the pencil icon ( ) on the **Audits List** page, you will receive the following message from the OAS:

An agency audit is pending but the agency has not started their pre-audit questionnaire (PAQ). If you continue, your facility will conduct a full audit, without the benefit of the information provided from the agency audit. If you do not continue you can return to complete the PAQ at any point (*please check with the agency to determine when they have completed their PAQ*). Do you want to continue?

Yes, proceed to facility PAQ.   No, wait for agency audit.

As indicated in the instruction, if you click **Yes, proceed to facility PAQ** before the agency audit has been started in the OAS, your facility will not have access to the information and documentation provided by the agency as part of their PAQ. To wait for the agency to begin their audit, click **No, wait for agency audit** and check with the agency to determine when they have completed their agency PAQ, so that you can continue with the facility PAQ.

If your agency is in the process of conducting an **Agency Audit**, for those standards audited at the agency-level, you will also be asked an additional **shared responsibility question** regarding your facility's responsibilities, separate from the agency's responsibilities. If the answer is "yes", select **yes** from the drop-down menu and respond to all measures for that standard. If the answer is "no", select **no** from the drop-down menu. You do not need to respond to the measures and you should continue to the next standard.

Agency Information

To review the information provided by your agency, click on the magnifying glass (🔍) for **AGENCY INFORMATION**. You will be able to view responses to the **AGENCY INFORMATION** questions, as well as view any documents that have been uploaded by the PREA Coordinator for use in your facility audit.

Facility Information

To complete the facility information, click the pencil icon (✏) for **FACILITY INFORMATION**.

Fill out all of the information that is applicable on this screen. If you are not finished filling out this page, but you need to stop for some reason, scroll to the top and click the **Save & Continue** button. If you have no more information to add, click the **Check Box if Facility Information is Complete** option and then **Save & Continue**.

The Pre-Audit Questionnaire (PAQ)

When you select the check box for the facility information, even if all of the fields are not complete, the topic will show that it is **Ready**.

However, you can still edit the **FACILITY INFORMATION** as indicated by the pencil icon.

Understanding the Topics Pages of the PAQ

The next sections on the Audit Overview page are the main pages of the PAQ and are divided into the standard **topics** that are covered by the PREA standards, such as **Prevention Planning** and **Responsive Planning**.

To open a topic, click on the pencil icon associated with that topic.

Section	Ready for Audit	Action
AGENCY INFORMATION		🔍
FACILITY INFORMATION	Ready ✓	✏
Prevention Planning	Incomplete	✏
Responsive Planning	Incomplete	✏
Training and Education	Incomplete	✏
Screening for Risk of Sexual Victimization and Abusiveness	Incomplete	✏
Reporting	Incomplete	✏
Official Response Following an Inmate Report	Incomplete	✏
Investigations	Incomplete	✏
Discipline	Incomplete	✏
Medical and Mental Care	Incomplete	✏
Data Collection and Review	Incomplete	✏

Topics

The **topic** name and **standard** 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 on the following page, Prevention Planning (for Prisons and Jails) has eight standards and 115.11 is the first standard.

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

Each standard is divided into **provisions.** Within each provision, there are **measures** associated with that provision and, if applicable, **instructions** for documents to upload. You enter your **response to the measure** and **select files to upload** to the right of the measure.

> **TIP**
>
> For each measure, you may select more than one file to upload. If you select a file or files to upload, you may **enter the page(s)/section(s)** in the uploaded file(s) that apply to the measure.

Navigating through Pages

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

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 the **Facility Name** will take you to the Audit Overview page.

Completing a Topic

Once you complete a topic and it is ready to be submitted for the audit (i.e., you have completed all of the measures associated with a standard), select the **Check if Topic is Ready for Audit** checkbox at the top of each standard. You will need to do this for each topic once it is ready.

Once you check the box for a topic, the topic will show as **Ready** in the Audit Overview page. It can still be edited if you want to go back and make changes.

View/Save/Print the PAQ

You can view, save, or print the PAQ at any time by clicking the **View/Print Pre-Audit Questionnaire** icon at the top of the Audit Overview page.

The Pre-Audit Questionnaire (PAQ)

Submitting the Pre-Audit Questionnaire

When all of the topics and the facility information are in Ready status, the Submit button becomes available (i.e., it will change from gray to blue).
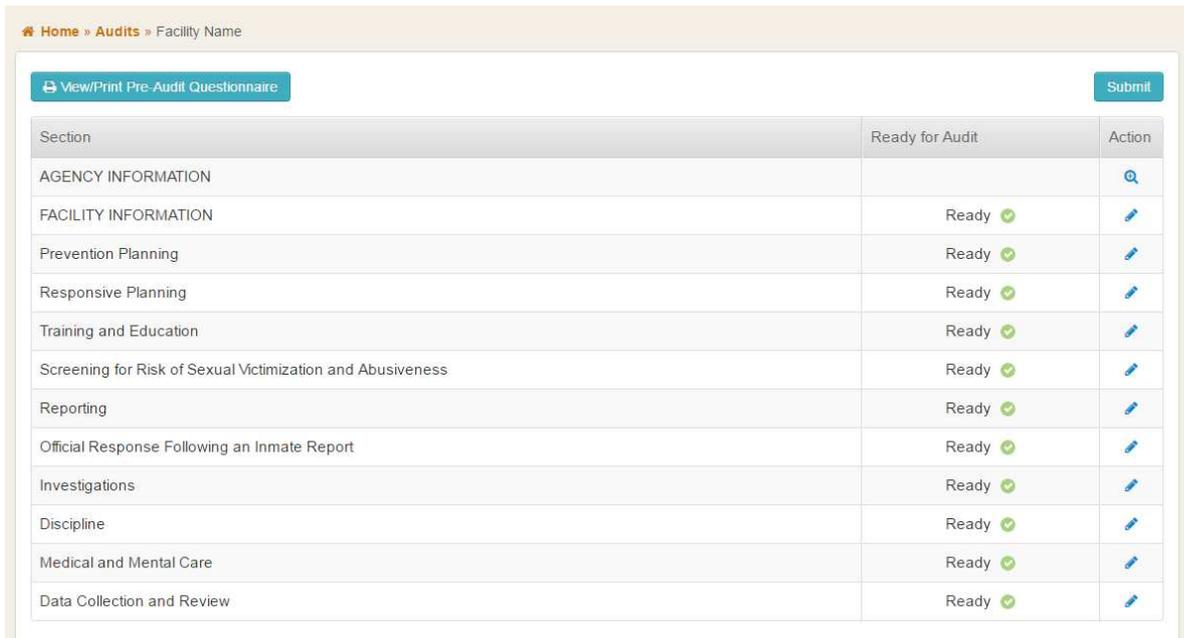
When you click the Submit button, a prompt will appear reminding you that once you submit the PAQ (by clicking **Yes**), you will no longer be able to edit any of the responses and the PAQ will be submitted to the auditor for the audit.

When you submit the PAQ, your auditor will be notified that it is ready for review. The Audits List will show that the Audit is in Audit status and the magnifying glass icon indicates that it is no longer editable.

The Pre-Audit Questionnaire (PAQ)

If you click on the magnifying glass icon in the Audit List, you will see that all of the topics show as **Ready** in the Audit Overview page, but the Action icon has changed to a magnifying glass for all topics.

If you open a topic, all of the navigation works the same way, but you cannot modify any of the responses.

Section 3: Uploading Files for the Audit

This section guides you through the process of uploading files for your audit. Files can be uploaded to the document library page, so that you can easily access them as you complete the PAQ or directly in the PAQ before it is submitted.

The Document Library

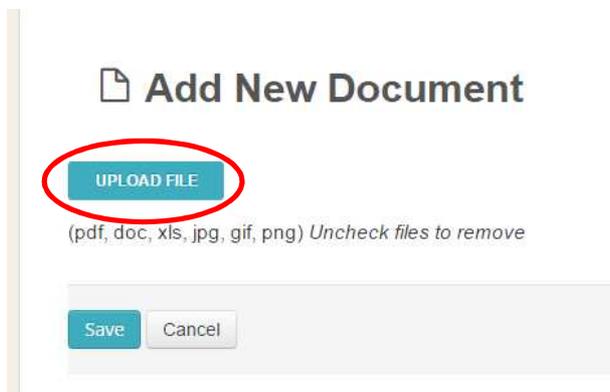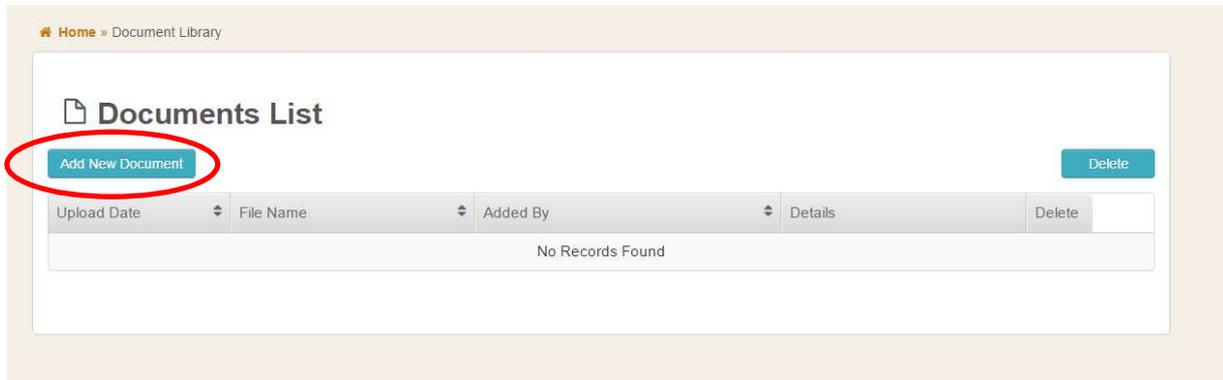You can upload the files that you know you will need for your audit into the **Document Library**.

To access the Document Library:

1. Click the **Document Library** icon [Document Library] at the top of the page.

2. Click **Add New Document**.

3. From the **Add New Document** page, click **Upload File**.

4. Navigate to and select your file before you click **Open**.

5. Click **Save**.

> **TIP**
>
> If you want to upload all of your facility's supporting documentation at one time, you can use the Document Library. You will be able to select the files you need from the library as you go through the measures of the PAQ. This may save you time as you complete the PAQ.

 # Home » Document Library

☐ Documents List

[Add New Document]   [Delete]

Upload Date	File Name	Added By	Details	Delete
		No Records Found		

☐ Add New Document

[UPLOAD FILE]

(pdf, doc, xls, jpg, gif, png) *Uncheck files to remove*

[Save] [Cancel]

> **TIP**
>
> You can hold the control key on your keyboard while clicking to select multiple files before clicking **Open**.

TIP

Documents that now appear in your **Documents List** can be downloaded by either clicking on the **file name** or clicking the blue **download icon** (🔽) in the details column.

TIP

You can delete files in your **Documents List** by checking the box in the delete column and clicking **delete**.

Selecting Files in the PAQ

Selecting facility files

If you added documents directly into the document library or if you uploaded documents as you answered measures within the PAQ, they will be available for you to select as you respond to subsequent measures in the PAQ. To access these files in the PAQ:

1. Click the **Select File(s)** button to the right of the measure.

2. Under the **Facility Files** box in the file upload screen, click the **Add** button associated with the files you want to add.

3. Click **Save**.

4. Enter the relevant **page(s)/section(s)** of the documents you uploaded.

Uploading Files for the Audit

Selecting new files

To upload files that you have not previously uploaded to the Document Library or PAQ:

1. Click the **Select File(s)** button to the right of the measure.

2. Under **New Files** 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**.

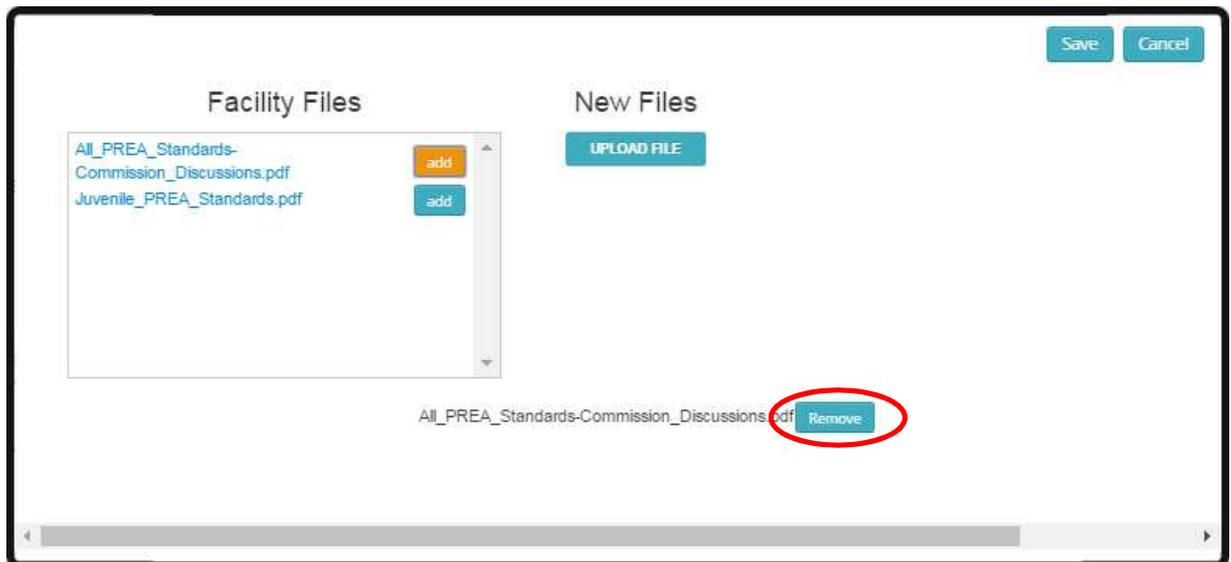5. Enter the relevant **page(s)/section(s)** of the documents you uploaded.

Uploading Files for the Audit

Removing files

To remove files that you uploaded to the Document Library or PAQ:

1. Click the **Select File(s)** button to the right of the measure.

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

3. Click **Save**.

Accessing Agency Information for the Facility Audit

Section 4: Accessing Agency Information for the Facility Audit

If your agency is in the process of conducting an Agency Audit and they have completed their PAQ, or if the agency has already completed an audit, you will be able to access additional information and documentation provided by the agency for use during your facility audit.

When you click the **Select File(s)** button to the right of the measure, the **Agency Files** box will be displayed in the file upload screen. For each measure, if the agency uploaded documentation you can **Add** the relevant file to the facility measure by following the steps described above for selecting files. You can also see if the agency indicated that they do not have documentation for the measure (as indicated in the **check box**) or if they provided any **comments** about the measure.