

## 1.3.A.9 Adult Facility Security Audits

### I Policy Index:



**Date Signed:** 07/08/2015  
**Distribution:** Public  
**Replaces Policy:** N/A  
**Supersedes Policy Dated:** 07/22/2014  
**Affected Units:** Adult Institutions  
**Effective Date:** 07/14/2015  
**Scheduled Revision Date:** May 2016  
**Revision Number:** 13  
**Office of Primary Responsibility:** Director of Security and DOC Administration

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### II Policy:

The South Dakota Department of Corrections (DOC) will perform facility security audits to maintain a high level of safety and control in adult institutions. Facility security audits will utilize methods that measure compliance with quality security standards.

### III Definitions:

#### **Director of Security:**

A DOC staff member appointed by and under the supervision of the Director of Prison Operations, who is responsible for directing an adult facility security audit program.

#### **Lead Auditor/Coordinator:**

A security auditor appointed by the Director of Security who is responsible for directing security audits at a particular DOC institution. The lead auditor/coordinator will act as the primary contact for the group of security auditors conducting a facility security audit.

#### **Security Audit Team:**

A team of trained staff members who share responsibility for conducting security audits of DOC facilities.

#### **Security Audit:**

Process for determining the extent which policy, procedure, standards and practice combine to provide a safe and secure institutional environment.

#### **Security Audit Instrument:**

A printed document that acts as an aid to the security auditors. The security audit instrument defines standards, relates issues to specific policy statements and is used to record observation/notes of the security auditors.

#### **Security Standard:**

An operational requirement that implies the highest degree of excellence in security practices. Security standards are contained in DOC policies and Operational Memorandums (OMs) and include mutually acceptable practices in the corrections profession.

## **IV Procedures:**

### **1. Facility Security Audit Goals:**

- A. Provide a valuable management service.
- B. Provide each facility with a measurement of compliance with DOC policies, operational memorandums (OMs) and directives/post orders and accepted security standards.
- C. Provide a forum for constructive, pro-active feedback and discussion among staff and other professionals to identify effective and efficient methods of maintaining security standards within the adult DOC facilities.
- D. Provide professional development and training.
- E. Provide consistency and standardization of security practices, policies, procedures and standards.
- F. Enhance and update security equipment. Identify and replace broken or missing security equipment.

### **2. Qualifications/Selection of the Security Audit Team:**

- A. Security audit team members will be selected based on the following qualifications/experience:
  - 1. Knowledge of security practices;
  - 2. Supervisory skills and knowledge;
  - 3. Knowledge of DOC policies;
  - 4. Interpersonal skills;
  - 5. Credibility.
- B. Lead auditor/coordinators are typically team members with experience in the field of correctional security. Lead auditor/coordinators are designated by the Director of Security and/or the Director of Prison Operations.

### **3. Security Auditor Training:**

- A. All staff selected as a member of the security audit team will receive designated training and shall participate in and/or observe a minimum of one (1) audit prior to being assigned to a adult facility audit.
- B. Training will include DOC facility security audit goals, the role of security auditors, the benefits of security auditing. Additional topics may include:
  - 1. An overview of the auditing protocol;
  - 2. How to successfully accomplish an audit;
  - 3. Interpersonal communications;

4. Techniques for avoiding confrontation while auditing; and
  5. Overview of DOC policies specific to each standard.
- C. Classroom training will be accompanied by hands-on auditing experience.

#### **4. Facility Security Audit Schedule:**

- A. A schedule of the adult facility security audits will be established by the Director of Security and communicated to the Director of Prison Operations, Policy and Compliance Manger and Wardens on an annual basis.
- B. The schedule will include:
1. The dates and location of each facility security audit.
  2. The name of the lead auditor/coordinator for each scheduled audit.
  3. The names of the security auditors participating in the facility security audits (if identified in advance).
- C. The Director of Security will maintain the master schedule of the audits scheduled for the year and will provide advance notification of any schedule changes to the staff designated in A. above.

#### **5. Facility Security Audit Preparation:**

- A. The Warden of the adult institution or satellite facility to be audited will be notified in advance of the day, and time of the audit. The Warden shall be provided with a complete list of the security audit team members.
- B. It is the responsibility of the Warden or his/her designee and individual security auditors to notify the Director of Security of any issues with the tentative audit schedule.
- C. The Warden or his/her designee will provide the security audit team members access to the facility OMs and post order manuals as requested by the lead auditor/coordinator.
1. A designated work area will be made available to the security audit team at the audit site.
  2. Facility staff will be available to facilitate access to all areas of the facility and to assist with the audit as directed.
- D. DOC Administration staff may provide input related to the organization of the audits to measure and ensure compliance of security standards and DOC policy.

#### **6. Facility Security Audit Results:**

- A. An out-briefing will be scheduled by the security audit team/lead auditor at the conclusion of the audit process.
1. The out-briefing will typically include the members of the security audit team, the Warden and facility staff designated by the Warden.

2. The out-briefing will include the significant findings of the security audit team and is not intended to be inclusive of all findings/items audited by the team.
- B. A written report containing an inclusive list of all audit items will be compiled from the security audit instrument and will include the observations of the team members.
1. The written security audit report will be forwarded to the DOC Policy and Compliance Manager, Director of Prison Operations and the facility Warden within thirty (30) days of the site visit by the lead auditor/coordinator.
  2. Within thirty (30)-days of receipt of the written security audit report, the lead auditor/coordinator or other staff member designated by the Warden will provide a written response to the Director of Security addressing each deficiency identified in the security audit report. The response will include a status report on the deficiency and any explanation required showing the deficiency has been corrected. The Director of Security will forward the written response to the Director of Prison Operations, Policy and Compliance Manager and Warden.
- C. The lead auditor/coordinator and/or Director of Security will maintain all documents/reports relative to the security audit, including the list of audit items, the security audit report and the written response provided by the Warden describing any corrective action.

## V Related Directives:

None

## VI Revision Log:

**May 2002:** New Policy.

**June 2004:** **Revised** and **reworded** most of the policy. **Deleted** attachment 1.

**May 2005:** **Revised** the definition of Security Auditor Coordinator. **Changed** DOC Central Office to DOC Administration.

**June 2006:** **Changed** Chief Warden to Director of Prison Operations. **Added** the Director of Prison Operations appoints the Lead Auditor/Coordinator.

**August 2007:** Minor revision to the policy statement **Revised** the definitions of Lead Auditor/Coordinator and Security Auditor. **Added** a definition for Security Audit Coordinator **Revised** the section title of Qualifications for Security Auditors and Security Audit Coordinator to Qualifications/ Selection of the Security Audit Team **Revised** facility duties to provide a work area instead of a room for the security auditors **Added** language that the facility being audited may provide an electronic version of policies and post orders.

**May 2008:** **Revised** formatting of policy in accordance with DOC policy 1.1.A.2 Policy and Operational Memorandum Management policy **Revised** "after-action" to "after-action" reports or plans throughout policy.

**May 2009:** **Reviewed** with no significant changes.

**May 2010:** **Revised** formatting of Section 1.

**July 2011:** **Added** "Lieutenant (SDWP) to definition of Security Audit Coordinator. **Deleted** "the" **Replaced** with "designated" and "staff" **Deleted** "from" and **Replaced** with "identified in" **Added** "The security audit coordinator will forward the written response to the Policy and Compliance Manager and Director of Prison Operations". to Section 6. B. 2.

**June 2012:** **Deleted** "Non-Public" and **Replaced** with "Public" **Deleted** "Security Audit Coordinator" and **Replaced** with "Director of Security" in definitions and throughout the policy. **Added** operational memorandums (OMs) and directives/post orders to Section 1 B. **Deleted** "and remains in the this position until a replacement is appointed" in Section 2 C. **Deleted** "facilities" and **Replaced** with "the Warden" in Section 5 A. & B. **Added** "facility OMs" in Section 5 C. **Deleted** "recommendations" and **Replaced** with "explanation that may be required regarding a deficiency" in Section 6. B. 2.

**May 2013:** **Deleted** "A senior level DOC security staff member (normally a captain, major or lieutenant

(SDWP) and **Replaced** with "DOC staff member under the supervision of the Director of Prison Operations" in definition of Director of Security.

**May 2014:** **Changed** title from "Facility" to "Adult Facility" **Added** "Director of Security" to Office of Primary Responsibility. **Deleted** "Security Auditor" and **Replaced** with "Security Audit Team". **Deleted** "Standards Variance" definition. **Added** definition of "Security Audit" **Added** "and application of accepted Security Standards" to Section 1 B. **Added** "and training" to Section 1 D. **Deleted** "operational" and "equipment" and **Added** "standards" in Section 1 F. **Added** G. to Section 1. **Added** 1-5 to Section 2 A. **Deleted** "security management" and **Deleted** "and are identified on the annual audit schedule" and **Replaced** with "and Warden or his/her designee" in Section 2 B. **Deleted** C. "The Director of Security is appointed by the Director of Prison Operations". **Deleted** "for staff new to the process" and **Replaced** with "in the accepted methods of auditing security standards" in Section 3 A. **Added** 1-5 to Section 3 B. **Added** "and the Director of Prison Operations, Policy and Compliance Manager and" in Section 4 A. **Added** "advance" and **Added** "to the Director of Prison Operations, Policy and Compliance Manager and Wardens" in Section 4 C. **Added** "and director notification provided by the Director of Security" in Section 5 A. **Deleted** "Facilities" and **Replaced** with "the Warden or his/her designee" in Section 5 C. **Deleted** "designated facility staff will provide a written response" and **Replaced** with "lead auditor/coordinator or other staff member designated by the Warden will provide written response" **Deleted** D. in Section 5. **Added** "The response will include a status report on the deficiency and any explanation required" **Deleted** "security audit coordinator" and **Replaced** with "Director of Security" in Section 6 B. 2. **Added** "and Director of Security" and **Deleted** "an after action plan report, which incorporates results" and **Replaced** with "all documents relative to the security audit included a list of the audit items" in Section 6 C. **Deleted** 1. and 2. in Section 6 C. regarding standard variance requests.

**May 2015:** Minor grammar changes.

*Denny Kaemingk (original signature on file)*

Denny Kaemingk, Secretary of Corrections

07/08/2015

Date