1.3.A.9   Facility Security Audits

I   Policy Index:

Date Signed:	*08/08/2013*
Distribution:	*Public*
Replaces Policy:	*N/A*
Supersedes Policy Dated:	*08/06/2012*
Affected Units:	*Adult Institutions*
Effective Date:	*08/08/2013*
Scheduled Revision Date:	*May 2014*
Revision Number:	*11*
Office of Primary Responsibility:	*DOC Administration*

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:
DOC staff member under the supervision of the Director of Prison Operations who directs the state-wide facility security audit program.

Lead Auditor/Coordinator:
A security auditor appointed by the Director of Security to direct the facility security audit at a DOC institution. The lead auditor/coordinator will act as the lead worker for the group of security auditors conducting a facility security audit.

Security Auditor:
A participant in the DOC security audit who shares responsibility for the final audit document.

Security Audit Instrument:
A printed document that acts as an aid to security auditors during the course of a facility security audit. The security audit instrument defines standards, relates issues to specific policy statements and records observation/notes of the security auditors.

Security Standard:
An operational requirement that implies the highest degree of excellence in security practices. Security standards are found in DOC policies or mutually acceptable practices in the corrections profession.

Standards Variance:
An exception granted to a specific security standard. A standards variance is typically initiated through a request from the Warden to have a policy or standard modified by the security auditor in order to recognize a unique characteristic of the facility.

IV Procedures:

1. Facility Security Audit Goals:

A. Provide a valuable management service to each facility administration.

B. Provide each facility with a measurement of compliance with DOC security policies, operational memorandums (OMs) and directives/post orders.

C. Provide a forum for a constructive, pro-active approach among peers in the search for more effective and efficient methods of operating security programs.

D. Provide professional development for staff.

E. Provide a pathway for the expression of ideas for improvement in DOC security policies.

F. Provide consistency and standardization of security operational practices, equipment, policies and procedures.

2. Qualifications/Selection of the Security Audit Team:

A. A security auditor can be any DOC security management employee trained in security audit procedures according to an approved curriculum.

   1. The National Institute of Corrections (NIC) provides the training on the approved curriculum.

   2. Refer to the section on "Security Auditor Training" for additional information.

B. Lead auditor/coordinators can be any DOC security management employee with experience as a security auditor. Lead auditor/coordinators are designated by the Director of Security and are identified on the annual audit schedule.

C. The Director of Security is appointed by the Director of Prison Operations.

3. Security Auditor Training:

A. All staff involved in DOC facility security audits will have participated in one (1) audit designed to provide a training experience for staff new to the process.

B. Facility security audits will be preceded by an audit training review.

C. Training will address DOC facility security audit goals, the role of security auditors, the benefits of security auditing and the overall audit process.

D. Classroom training will be accompanied by hands-on auditing experience.

4. Facility Security Audit Schedule:

A. A schedule of facility security audits will be established by the Director of Security and communicated to the Wardens annually.

B. The annual facility security audit schedule will include:

1. The dates and location of each facility security audit.

2. The name of the lead auditor/coordinator for each facility security audit.

3. The names of the security auditors that will participate in the facility security audits.

C. The Director of Security will maintain the master schedule and provide notification of schedule changes as they occur.

5. Facility Security Audit Preparation:

A. The Warden will be notified of the facility security audit time frame and staff involved in conducting the audit in advance through publication of the annual facility security audit schedule.

B. It is the responsibility of the Warden or his/her designee and individual security auditors to notify the Director of Security of any problems or issues related to the schedule in order to allow for timely adjustments.

C. Facilities will provide the security auditors with a set of policies, facility OMs and post order manuals, or access to electronic versions of them, to be reviewed during the facility security audit process.

1. A work area will also be made available to the security auditors at the audit site.

2. Facility staff will be available to facilitate access to any and all areas of the facility and to answer specific operational questions.

D. The DOC administration will provide input related to the facility security audit organization throughout the DOC in order to measure security standards on a department-wide level.

6. Facility Security Audit Results:

A. Observations from individual security auditors will be verbally communicated to the administration during the out-briefing.

1. The out-briefing will take place at the conclusion of the site visit and will include the security auditors, Warden and his/her senior staff.

2. The out-briefing is intended to focus on the most significant findings of the security auditors and is not intended to be all-inclusive of the findings from the facility security audit.

B. A written facility security audit report inclusive of all findings from the security auditors will be compiled from the security audit instrument and through observations of the security auditors.

1. The written security audit report will be due to the DOC Policy and Compliance Manager, security audit coordinator, Director of Prison Operations and the facility Warden within thirty (30) days of the site visit.

2. Within thirty (30) days of receipt of the written security audit report, designated facility staff will provide a written response to the Director of Security that addresses any deficiencies identified in the security audit report and provides any further explanation that may be required regarding a deficiency. The security audit coordinator will forward the written response to the Policy and Compliance Manager and Director of Prison Operations,

C. The security audit coordinator will maintain an after-action plan report, which incorporates the results of the security audit report and the written response provided by the facility.

   1. If any issue is brought forward as a "standards variance", the after-action report will indicate the status.

   2. The Warden of each institution will review facility after-action plans for compliance and approval of any standards variance request.

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** "afteraction" 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.

Denny Kaemingk (original signature on file)	*08/08/2013*
Denny Kaemingk, Secretary of Corrections	Date