

## 1.3.A.9 Facility Security Audits

### I Policy Index:



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### II Policy:

To maintain a high level of safety and control within DOC institutions, the South Dakota Department of Corrections (DOC) will ensure security audits are conducted on a regular basis at all facilities housing inmates. The purpose of the security audit is to evaluate compliance with policy, operational memorandums, procedures and post orders in place to protect and maintain the safety of the public, staff, and inmates within a safe and secure correctional environment. Security audits will utilize methods to measure compliance with quality security standards.

### III Definitions:

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

DOC staff member who is responsible for directing the security audit process. This position is supervised by the Director of Operations.

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

A DOC staff member trained as a security auditor who is responsible for directing a security audit at a particular DOC facility. This person will act as the primary contact for the group of security auditors conducting the audit and will delegate duties to audit team members and ensure all audit documentation collected is forwarded to the Director of Security.

#### **Security Audit:**

Process for determining facility compliance with policy, procedure, post orders, applied standards and correctional best practices to ensure a safe and secure correctional environment exists and is maintained at each facility. Audits determine the likelihood of a significant security problem or vulnerability due to inadequate policy, procedure, physical plant or performance and the level of risk that is present or remains after policies, procedures and protocol are implemented.

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

A document that serves as an aid to the security auditors while conducting an audit. Defines standards and cites related practices or procedures included within policies, operational memorandums or post orders. May be used to record observations and notes of the security auditors.

**Security Audit Team:**

Trained staff members responsible for conducting the security audit.

**Security Standard:**

An operational requirement that implies the highest degree of excellence in security practices. May be included in DOC policies, post orders and operational memorandums (OMs) and are based on correctional best practices.

**Security System Check:**

A simulated scenario designed to test the adequacy of plans, procedures, staff training, response and availability of equipment. May be implemented to help measure staff's knowledge, efficiency, response and proper use of equipment.

**IV Procedures:**

**1. Security Standards and Security Audit Instrument:**

- A. The Director of Security shall develop and maintain a manual of security operations standards (security audit instrument) against which various components of facility security operations will be measured.
- B. The standards will be reviewed annually to ensure each measures the level of acceptability for each component which the standard applies.
- C. Standards applied will be consistent with and support the mission, vision and values of the DOC. Applied security standards shall incorporate the following:
  - 1. Department policies;
  - 2. Facility Operational Memorandums (OMs);
  - 3. Accepted practices, procedures and post orders;
  - 4. Standards, rules and laws as applicable, i.e. American Correctional Association (ACA), National Commission on Correctional Health Care (NCCHC), South Dakota Codified Law, SD Administrative Rule; and
  - 5. Best security practices, as identified recognized professional resources and organizations.
- D. The audit instrument report containing the pre-established security standards will be consistent with the format provided by the National Institute of Corrections (NIC).
- E. The audit instrument will include standards for each of the categories, as approved by the NIC. The audit instrument shall include specific security and safety related categories and related standards/policy specific to SD DOC and/or the facility being audited.

**2. Facility Security Audit Goals:**

- A. To provide a valuable management service.
- B. To provide each facility with a measurement of compliance towards specifically targeted DOC policies, operational memorandums (OMs), directives, post orders, practices and security standards.

- C. To provide a forum for constructive, pro-active feedback and discussion among staff and others to identify effective and efficient methods of maintaining and improving the safety and security of DOC facilities, and the continued development of security standards with which safety and security operations and practices can be measured.
- D. To provide professional development and training for members of the security audit team.
- E. To provide a consistent and standardized method of measuring and auditing security practices, policies and procedures.
- F. To identify broken, missing, expired, or obsolete security equipment for replacement, and recommendations for improvements to facility and grounds infrastructure to maintain and enhance security and safety within the facility.
- G. To identify significant security problems or vulnerabilities that may lead to injuries, escape, disruption, or destruction of state property because of inadequacy of policy, procedure, practices, physical plant operations or staff performance.

### **3. Qualifications and Selection of the Security Audit Team:**

- A. Security audit team members will be experienced in the following areas:
  - 1. Knowledge of security practices and security equipment;
  - 2. Experience at a supervisory level and position within the DOC to affect change;
  - 3. Knowledge of DOC policies and operational memorandums;
  - 4. Knowledge of safety and security equipment, gear and hardware issued to security staff and located at facilities housing inmates;
  - 5. Ability and experience in communicating with staff on a professional level; and
  - 6. Be sensitive to the importance of health, safety and security requirements within a correctional facility and importance of using a combination of supervision, inspection, accountability and clear policy and procedures to promote safe and orderly operation of facilities.
- B. Lead auditor/coordinators will have developed leadership skills, the ability to delegate duties, organizational skills and experience and expertise in correctional security. Lead auditor/coordinators are selected by the Director of Security.

### **4. Security Auditor Training:**

- A. Because the validity and effectiveness of a security audit is in direct proportion to the knowledge and skill of the auditors, all staff selected as members of the security audit team will receive training in how to effectively conduct security audits. Security audit team members will participate in and/or observe a minimum of one (1) facility security audit prior to participating in an audit as a security audit team member.
- B. Training will include information on the purpose of the security audit, roles and duties of security auditors and benefits to the facility and staff. Additional topics may include:
  - 1. An overview of the auditing protocol;

2. Steps for successfully conducting a systematic review of a facility, its operations and equipment;
  3. Focus points and tips for engaging in professional communication with fellow staff members and administrators; and
  4. Knowledge, comprehension and familiarity with applicable DOC policies, facility OMs and security standards.
- C. Classroom training may be enhanced with opportunities for hands-on experience (job shadowing).

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

- A. A schedule of facility security audits will be developed by the Director of Security annually. The schedule will be communicated to the Secretary of Corrections, Director of Prison Operations, Policy and Compliance Manager, Wardens and audit team members on an annual basis. Each facility housing offenders should be audited annually.
- B. The audit schedule will include:
1. The dates and location of each scheduled facility security audit.
    - a. The times which the security audit members are at the facility may vary as auditors must observe select facility security procedures, such as inmate counts, transports, inmate movement and security safety features and protocol such as perimeter lighting, perimeter checks, vehicle inspections, etc.
  2. 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 identified in A above.
- D. Audits may consist of internal and external audit processes. Internal audit processes may be conducted by security audit team members on-site. External audit processes may be completed by audit team members off-site i.e. review and verify of documentation, reports and schedules stored electronically in COMS or on the DOC M-drive with the facility's folder(s).
- E. The duration of the audit is determined by the size of the facility, custody levels of the facility, complexity of operations, number of inmates and security standards included in the audit.
- F. The DOC may contract with trained security auditors from outside the DOC to bring additional expertise to the audit process from a broader experience base, provide a neutral and outside review of the facility security and safety processes, and to enhance the training and audit experience of SD DOC audit team members.
- G. With direction from the Director of Prison Operations and approval by the Warden, unannounced audits of a facility may be scheduled and organized by the Director of Security.

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

- A. The Warden of the facility or satellite facility to be audited will be provided with a complete list of the security audit team members.
- B. It is the responsibility of the Warden or designee to notify the Director of Security of any issues that may impact the efficiency and effectiveness of the audit.
- C. The Director of Prison Operations and/or Warden may submit a list of specific standards from the comprehensive list of established security audit standards and/or specific areas/procedures related to security and safety procedures at the facility, to include with the previously selected security audit standards to be audited by the team.
- D. The Warden or designee will ensure the security audit team members have access to:
  - 1. A designated, private work area with computer availability, i.e. internet access. A private area within the facility shall be made available to the security audit team for the duration of the audit.
  - 2. Facility staff to facilitate access to all areas of the facility and communicating with facility staff.
    - a. Security audit team members may be unfamiliar with the facility being audited. The lead auditor/coordinator or Director of Security may request the Warden designate facility staff to assist audit team members in accessing areas of the facility.
  - 3. Facility OMs, post orders, Emergency Response manual, etc.
- E. The audit team will schedule a "Pre-Audit Briefing" with the Warden and staff designated by the Warden. The Pre-Audit should consist at a minimum of the following tasks:
  - 1. Introduction of audit team members;
  - 2. Introduction of facility staff who may be assisting with the audit and senior staff/supervisors;
  - 3. Brief overview of the audit process and goals;
  - 4. Tentative time schedule;
  - 5. Opportunity for the Warden or designee to request special attention by the audit team to specific areas, processes or procedures; and
  - 6. A pre-audit tour of the facility, as requested.
- F. The Secretary of Corrections, Director of Prison Operations or Warden or designee may provide pre-audit input to the Director of Security regarding the development and/or inclusion of audit standards to measure specific areas, processes or procedures related to the organization of a particular facility.

## **7. Security System Checks:**

- A. The Director of Security may schedule and conduct a security system check/security drill during the audit, with prior approval from the Director of Prison Operations, and if applicable, the Warden. The purpose of the security system check is to help the audit team identify areas of risk and vulnerability and suggest improvements if deficiencies are identified. The Warden will be notified in advance of a security system check.

- B. Security system checks will not be conducted in a manner that may expose staff or inmates to risk, harm, injury or in a manner that directly jeopardizes institutional safety and security.
- C. The following factors will be considered when scheduling a security system check:
  - 1. Pre-identification of the system(s), process(s), procedure(s), staff response(s) or equipment to be tested/audited.
  - 2. The number of staff who should participate and the staffing posts represented or affected by the security check.
  - 3. Any staff that requires advance notice of the security check.
  - 4. Any safeguards that must in place prior to conducting the security check.
  - 5. Any specific instructions or information that will be provided to staff prior to or during the security check.
  - 6. The estimated duration of the check and how and when the check will be terminated.
  - 7. Schedule and agenda items to share with staff following the security check (debriefing) and list of staff who should attend the debriefing.
- D. Time and schedule permitting, a debriefing should always be held following the security check. The Director of Security and Warden will determine those staff who should attend the debriefing.

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

- A. An out-briefing will be scheduled by the security audit team/lead auditor at the conclusion of the audit. The time and location should be briefed with the Warden.
  - 1. The out-briefing will typically include the Director of Security, members of the security audit team, the Warden and designated facility staff.
  - 2. The out-briefing will include a summary of the significant findings of the security audit team and is not intended to be inclusive of all findings or security audit standards audited by the team. The briefing shall include standards that were deficient and areas of compliance.
  - 3. All noted deficiencies that may jeopardize the safe, secure and orderly operation of the facility require immediate response/resolution and shall be included in the out-briefing or reported to the Warden immediately upon conclusion of the audit. The Director of Prison Operations will receive a copy of any emergency findings.
- B. A full audit report containing an inclusive list of all security audit standards measured during the audit will be compiled by the lead auditor/coordinator from the security audit instruments assigned to each facility auditor and will include the observations, comments, action plans and recommendations of the audit team member assigned to each standard.
  - 1. The final security audit report will be completed by the Director of Security within 2-4 weeks of the conclusion of the audit and shall be forwarded to the DOC Policy and Compliance Manager, Director of Prison Operations and Warden within thirty (30) days of the site visit, either by the lead auditor/coordinator or Director of Security.

2. Within thirty (30) days of receipt of the final security audit report from the Director of Security, the Warden or designee will provide a response to the Director of Security addressing each deficiency or recommendation identified in the security audit report. The response will include a status report on the deficiency, any corrective action taken or explanation declining the standard or recommendation. The Director of Security will forward the response to the Director of Prison Operations and Policy and Compliance Manager.
- C. The Director of Security will maintain all documents/reports relative to the security audit, including the list of security audit standards measured, the security audit report and the responses received from the Warden regarding corrective actions taken.
  - D. Final security audit reports contain information pertaining to the protection and security of the institution, staff, offenders, and public and may include unique areas of vulnerability identified through the audit process and/or specific response plans intended to prevent or mitigate criminal acts, emergency management and/or staff response to an emergency or critical incident. Unauthorized disclosure of the final security audit report, in whole or in part, may compromise the security of critical systems or create a substantial likelihood of endangering public safety and is prohibited by policy and state statute (See SDCL § 1-27-1.5)

## V Related Directives:

SDCL § 1-27-1.5.

## 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.

**May 2016:** **Revised** policy statement. **Added** definition of “Security System Check” **Added** new Section 1. **Added** “targeted” in Section 2 b. **Added** G. to Section 2. **Added** “ability to communicate on a professional level with staff” to Section 3 A. 5. **Added** 4. to Section 3. A. **Added** 6. to Section 3 A. **Deleted** “and/or the Director of Prison Operations” in Section 3 B. **Deleted** “accomplish an audit” and **Replaced** with “conduct a systemic review of facilities, operations, and equipment” in Section 4 B. 2. **Added** “annually” to Section 5 A. **Added** “Secretary of Corrections and Added “audit team members” and **Added** “Each facility should be audited at least annually.” in Section 5 A. **Added** a. to Section 5 B. 1. **Added** D. E. and F. to Section 5. **Added** “Emergency Response manual” in Section 6 C. **Added** new C. and E. F. to Section 6. **Added** new Section 7. **Added** 3. to Section 8 A. **Added** “will be compiled by the lead auditor/coordinator from the security audit instruments assigned to each facility auditor” in Section 8 B. **Added** “will be completed by the Director of Security within 2-4 weeks of the facility audit” in Section 8 B. 1. **Added** D. to Section 8.

**May 2017:** **Reviewed** with no changes.

**May 2018:** Minor language and structure changes.

*Denny Kaemingk (original signature on file)*

Denny Kaemingk, Secretary of Corrections

07/10/2018

Date