

1.3.A.9 Facility Security Audits

I Policy Index:



Date Signed: 07/21/2016
Distribution: Public
Replaces Policy: N/A
Supersedes Policy Dated: 07/08/2015
Affected Units: All Institutions
Effective Date: 07/22/2016
Scheduled Revision Date: May 2017
Revision Number: 14
Office of Primary Responsibility: Director of Security and DOC Administration

II Policy:

The South Dakota Department of Corrections (DOC) will ensure facility security audits are conducted on a regular basis to maintain a high level of safety and control within DOC institutions. The purpose of the security audit is to evaluate policy, procedures and post orders in place to provide protection to the public, staff, and inmates and a safe and secure correctional environment. 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 the security audit process.

Lead Auditor/Coordinator:

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

Security Audit Team:

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

Security Audit:

Process for determining the extent to which policy, procedure, standards and correctional best practices combine to ensure 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 and operational memorandum requirements and is used to record observations and notes of the security auditors.

Security Standard:

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

Security System Check:

A simulated emergency designed to test the adequacy of emergency response plans, procedures and responses. The check will measure staff's knowledge, practice, response and 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 can be measured.
- B. The standards will reviewed annually to ensure they measure the level of acceptability for each component of the targeted security operation.
- C. Security standards will be consistent with the mission, vision and values of the DOC and incorporate the following:
 - 1. Agency policies;
 - 2. Institutional 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), State Fire Marshall, Office of Risk Management, state statues, Administrative Rule, etc; 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 approved by the NIC, as well as any specific categories specific to the South Dakota 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/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;
 - 3. Knowledge of DOC policies;
 - 4. Knowledge of facility equipment, gear and hardware;
 - 5. Ability and experience communicating on a professional level with staff; and
 - 6. Sensitivity to the importance of health, safety and security requirements within a correctional facility.
- B. Lead auditor/coordinators will have developed leadership skills, the ability to delegate duties, organizational skills and experience/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 audit related training. Security audit team members will participate in and/or observe a minimum of one (1) facility security audit prior to being assigned as a security audit team member for a facility audit.
- B. Training will include information on goals of the security audit, roles and duties of security auditors and benefits to the facility and staff of conducting a security audit. Additional topics may include:
 - 1. An overview of the auditing protocol;
 - 2. Steps and protocols for successfully conducting a systematic review of a facility, its operations and equipment;
 - 3. Professional communication with fellow staff members and administrators;
 - 4. Techniques for avoiding confrontation while auditing; and

5. Knowledge and comprehension of DOC policies, facility OMs and security standards.
- C. Classroom training may be enhanced with opportunities for hands-on auditing experience.

5. Facility Security Audit Schedule:

- A. A comprehensive 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 at least 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 will be present to observe procedures such as inmate counts, inmate movement and security processes such as perimeter lighting, perimeter checks, vehicle inspections, etc.
 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 above.
- D. Audits may consist of internal and external audit processes. Internal audits will be conducted by security audit team members from within the facility. External audit processes will be completed by audit team members from outside the facility, i.e. review of documentation, reports, schedules, etc. stored electronically in COMS or on the M-drive.
- E. The duration of the audit is determined by the size of the facility, security and custody level, complexity of operations, the number and experience level of the auditors and the number of 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 and/or to enhance the training and audit experience of security audit team members.
- G. With approval from the Director of Prison Operations and the facility Warden, if deemed appropriate, 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 notified in advance of the day and start time of the audit. The Warden will be provided with a complete list of the security audit team members.
- B. It is the responsibility of the Warden or designee to immediately notify the Director of Security of any issues with the time and date set for the audit.

- C. The Director of Prison Operations and/or the Warden of the facility may submit a list of specific standards from the comprehensive list of standards or specific areas/procedures of security for inclusion in the security audit.
- D. The Warden or his/her 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 designated area will be made available to the security audit team at the audit site for the duration of the audit.
 - 2. Facility staff to facilitate access to all areas of the facility and to assist the audit team members while conducting walk-through and communicating with staff members whose duties include security audit items.
 - a. Security audit team members may be unfamiliar with the facility being audited. The lead auditor/coordinator or Director of Security may request a staff member from the facility be available to escort team members to specific 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 any 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 designees may provide pre-audit input to the Director of Security regarding the development and/or inclusion of audit standards to measure and audit specific areas, processes or procedures related to the organization of a particular facility.

7. Security System Check/Security Drill:

- A. The Director of Security may schedule and conduct a security system check/security drill during the audit of a facility with prior approval from the Director of Prison Operations, and if applicable, the Warden. The purpose of the security system check/security drill is to help staff identify areas of risk and vulnerability and to make improvements to any deficiencies noted. The Warden will be notified in advance of a security system check/security drill.
- B. Security system checks will not be conducted in a manner that may expose staff or inmates to risk, harm or injury or jeopardize institutional safety and security.
- C. The following factors will be considered when scheduling a security system check:

1. Identify the system(s), process(s), procedure(s), staff response(s) or equipment being tested.
 2. Facility staff who should participate in the security check.
 3. Staff requiring 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 given to the participants.
 6. The duration of the check and when the check will be terminated.
 7. Schedule for the debriefing following the conclusion of the security check.
- D. Time and schedules permitting, a debriefing should be held following the security check. The Director of Security, facility security audit team members, staff involved in the check, the Training Director of the facility, Warden and other staff designated by the Warden should be present at 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 process.
1. The out-briefing will typically include the Director of Security, members of the security audit team, the Warden and facility staff designated by the Warden.
 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.
 3. All emergency findings that jeopardize the safe, secure and orderly operation of the facility requiring immediate response/resolution will be included in the out-briefing or reported to the Warden immediately upon conclusion of the facility 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 facility audit and forwarded to the DOC Policy and Compliance Manager, Director of Prison Operations and the facility 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 a recommendation. The Director of Security will forward the responses to the Director of Prison Operations, 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.

Denny Kaemingk (original signature on file)

Denny Kaemingk, Secretary of Corrections

07/21/2016

Date