

 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 1.9	Effective Date 8/8/14	Page 1 of 3
	Supersedes Audits, dated 12/15/06		
Approved By  Commissioner James E. Dzurenda	Title Audits		

1. Policy. The Department of Correction shall conduct audits at each correctional facility, community based program and Health Services Unit to ensure compliance with Department Directives.
2. Authority and Reference.
 - A. Public Law 108-79, Prison Rape Elimination Act of 2003.
 - B. 28 C.F.R., 115 Prison Rape Elimination Act National Standards.
 - C. Connecticut General Statutes, Section 18-81.
 - D. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1A-20 and 2-CO-1A-21.
 - E. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4017 and 4-4455.
 - F. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-7D-02.
 - G. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standard 3-3023.
 - F. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standard 1-CTA-1A-14.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Audit. A procedure to evaluate a unit's compliance through a detailed examination of that unit's operations.
 - B. Compliance. The attainment and maintenance of standards and requirements as set forth in accordance with the Connecticut General Statutes, Regulations of Connecticut State Agencies, and Administrative Directives.
 - C. Non-compliance. The failure to attain and/or maintain standards and requirements pursuant to the Connecticut General Statutes, Regulations of Connecticut State Agencies, and/or Administrative Directives.
 - D. PREA. Prison Rape Elimination Act.
4. Audits. Each correctional facility, community based program and Health Services Unit shall conduct ongoing reviews to ensure compliance with all statutes, regulations and directives. Each Division shall, at a minimum, conduct an annual audit at each correctional facility, community based program and/or Health Services Unit consistent with its functional responsibility.

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- A. Audit Procedure. The audit shall be conducted in accordance with the following procedures:
1. A master schedule of audits shall be distributed by each Deputy Commissioner and Division Director by July 1st of each year. The schedule shall identify the functional areas to be audited, division responsible, and expected date of audit.
 2. Upon arrival at the unit, the assigned auditor(s) shall meet with the Unit Administrator to identify the procedures and standards to be audited.
 3. The Unit Administrator shall assign staff as needed to assist in conducting the audit.
 4. The following information and documents shall be reviewed to determine compliance:
 - a. Code of Federal Regulations;
 - b. Connecticut General Statutes;
 - c. Regulations of Connecticut State Agencies;
 - d. Administrative Directives;
 - e. Unit Directives and/or post orders;
 - f. Interviews with staff and inmates;
 - g. Performance observation; and,
 - h. Operational records.
- B. Documentation. Each Division shall develop an internal audit format to meet its needs and any necessary requirements in accordance with Attachment A, Audit Format.
5. Record of Results and Assessment. The assigned auditor(s) shall record the results of the audit. Upon completion, the auditor shall meet with the Unit Administrator to review the results. A written report shall be prepared and forwarded to the Unit Administrator within two (2) calendar weeks. The report shall list the areas of compliance and/or non-compliance and any additional comments. The Unit Administrator shall develop a written plan of corrective action for any areas of non-compliance within two (2) calendar weeks. The appropriate District Administrator shall approve and ensure compliance with the plan of corrective action. A copy of the audit and plan of corrective action shall be forwarded to the Commissioner through the chain of command within six (6) calendar weeks of the completion of the audit. Upon review and acceptance by the Commissioner, the audit and plan of corrective action shall be filed by the Division requiring and/or conducting the audit.
 6. Unscheduled Audits and Reviews. Nothing in this Directive shall prohibit a Division Head from conducting unannounced and/or random audits in any relevant area.
 7. PREA Audit. During the three-year period starting in 2013 and continuing for each three year period thereafter, the Department shall ensure that each facility it operates and each community confinement center with which it contracts for the housing of inmates in the community is audited at least once. Each year the Department shall ensure the audit of at least a third of its jails, prisons and community confinement centers. Auditors must be appropriately qualified and certified.

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The Department shall not use the services of an auditor who has received compensation from the Department in the past three years (except for payment for PREA audits) and the Department shall not employ, contract with, or otherwise financially compensate the auditor for three years following the audit (except for subsequent PREA audits).

The auditor shall be given access to all areas of the audited facilities and shall be permitted to receive copies of any relevant documents, tapes and other electronically available data that is relevant to the audit. The auditor shall be permitted to conduct private interviews with inmates, residents and staff, supervisors and administrators. Inmates shall be permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel.

If an audit makes a "Does Not Meet Standard" finding on one or more standard, the Department shall work jointly with the auditor to develop a corrective action plan to achieve compliance. The Department shall cooperate with the auditor's attempts to verify implementation of the corrective action plan.

8. Forms and Attachments. The following attachment is applicable to this Administrative Directive and shall be utilized for the intended function:
 - A. Attachment A, Audit Format.
9. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.