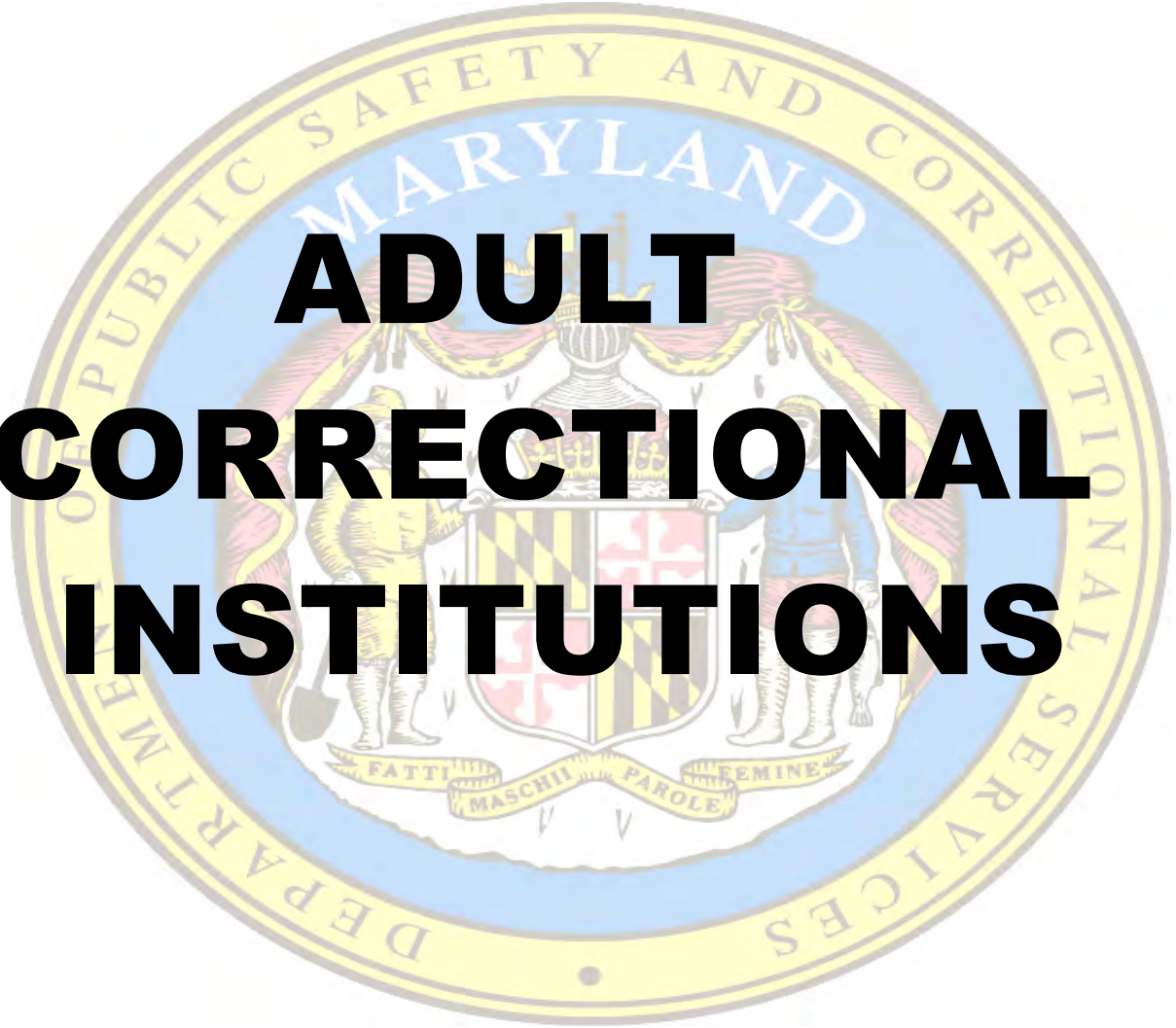


**DEPARTMENT OF PUBLIC SAFETY AND
CORRECTIONAL SERVICES**

**MARYLAND COMMISSION ON
CORRECTIONAL STANDARDS**

The seal of the Department of Public Safety and Correctional Services of Maryland is a circular emblem. It features a central shield with a red and white checkered pattern and a gold crown on top. The shield is flanked by two figures: a man on the left and a woman on the right, both holding the shield. A banner at the bottom of the shield reads "FATTO MASCHI PAROLE FEMINE". The seal is surrounded by a yellow border with the text "DEPARTMENT OF PUBLIC SAFETY AND CORRECTIONAL SERVICES" and "MARYLAND" in the center.

**ADULT
CORRECTIONAL
INSTITUTIONS**

AUDIT WORKSHEETS

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ADULT CORRECTIONAL INSTITUTIONS

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FACILITY: _____ AUDIT DATES: _____

.01 STANDARDS: SECURITY AND INMATE CONTROL

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____A. USE OF PHYSICAL FORCE

See incident reports from _____ to present. **Ensure** medical treatment offered or provided

_____B. USE OF DEADLY FORCE

See incident reports, if any

_____C. EMERGENCY SECURITY PLANS

_____ (1) Coordination - **See** letters of coordination with responding agencies

_____ (2) Duties/responsibilities - **Question** staff for awareness

_____ (3) Alternate housing - **Observe** in-house

_____ (4) Emergency communications - **Observe** radios, intercom, phone, etc.

_____ (5) Designated operations center - **Observe** on site (conference room, certain posts, etc.)

_____ (6) Specified command/control (**See Chain of Command Listing**)

_____D. EMERGENCY SECURITY PLANS AWARENESS
(**Review Training Records**)

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ E. SECURITY EQUIPMENT

_____ (1) Secure storage - See control center, arsenal, gun lockers, etc.

_____ (2) A current master listing - See a listing that is dated

_____ (3) Monthly inspections/inventories - See records from _____ to present

_____ (4) Authorized access - See list of trained staff in control center

_____ (5) Use circumstances - **Observe** use of restraints

_____ (6) Issue/return - See records from _____ to present. **Note** condition on return

_____ F. SECURITY EQUIPMENT TRAINING
(Review training records)

_____ G. INMATES EXERTING CONTROL

Observe; ensure inmates are not allowed to supervise, control, exert or assume authority over other inmates while working or in areas where sensitive materials are available. **Note:** Staff/inmate interview remarks

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ H. SUPERVISION OF INMATES

_____ (1) Counts - **See** minimum of 1 recorded count per shift from _____ to present

_____ (2) Rounds - **See** records on each shift from _____ to present

_____ (3) Monitoring whereabouts - **See** records of telephone checks, on site visits, third party notifications, *i.e.*, letters, pay stubs, etc. for employment whereabouts

See records of staff supervision for road crews, outside inmate workers, etc.

_____ (4) Drug/alcohol testing - **See** urinalysis reports/results; **ensure** frequency in SOP is met

_____ (5) Secure/orderly movement - **Observe** movement. **See** traffic sheets, escorts and work release movement sheets, if applicable

_____ (6) Weekly security inspections - **See** records from _____ to present.
Ensure facility perimeter is included

_____ I. POST ORDERS

Observe on all posts with required signatures, if applicable

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ J. SEARCH PROCEDURES

- _____ (1) Personnel searches - **See** records of staff searches, if any

- _____ (2) Semi-annual facility searches - **See** records from _____ to present; **ensure** all areas of the facility are included

- _____ (3) Searches of inmates with community access - **See** records for work release and trustees with outside access

- _____ (4) Searches of other inmates - **Observe** pat downs and use of electronic devices (metal detector/hand scanner, etc.)

- _____ (5) Vehicle searches - **See** records

- _____ (6) Visitor searches - **General observation** and records, if any; **observe** posted rules

- _____ (7) Inmate property protection - **Note** staff/inmate interview remarks

- _____ (8) Receipting - **See** receipts for confiscated personal property identified as returnable. **See** disciplinary reports as they may be used as a receipt.

- _____ (9) Chain of custody - **See** records from _____ to present; **observe** contraband lockers

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

J. SEARCH PROCEDURES (cont'd.)

_____ (10) Body cavity searches - See records, if any

_____ (11) Strip searches - See records, if any. Searches must be in private and performed by the same sex

_____ (12) Documented acknowledgements of the search regulations by security staff.

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ K. KEY CONTROL

_____ (1) Secure storage - **See** control center and other storage areas

_____ (2) Quarterly inspections - **See** records from _____ to present.

_____ (3) Daily inventories - **See** records from _____ to present

_____ (4) Authorized access - **General observation**

_____ (5) Issue/return - **See** records from _____ to present

_____ (6) Duplicates - **Observe**

_____ (7) Emergency and restricted keys - **Observe** keys clearly identified by color code and/or touch

_____ (8) Current master listing - **See** a listing that is dated

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ L. TOOL CONTROL

_____ (1) Secure storage - **Observe** areas outside inmate living areas

_____ (2) Quarterly inspections - **See** records from _____ to present

_____ (3) Daily inventories - **See** records from _____ to present

_____ (4) Authorized access - **General observation**

_____ (5) Issue/return - **See** records from _____ to present

_____ (6) Current master listing - **See** a listing that is dated

_____ M. TRANSPORTATION OF INMATES

_____ (1) Authorization/qualification/licensure - **See** records of current weapons qualification and required motor vehicle licensure of a person authorized to transport. **Observe** spot checks by MVA, as required by the Department of Budget and Management, if applicable.

_____ (2) Security equipment - **General observation**

_____ (3) Protection of public/staff/inmates - **See** records of inmate and transport vehicle searches, vehicle safety inspections and maintenance checks; **observe** fire extinguishers and first aid kits in all transport vehicles

_____ (4) Accident response - **See** reports, if any

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

____ N. INTAKE PROCEDURES

____ (1) Commitment verification - **See** files for appropriate legal documents

____ (2) Search - **See** records, if any, in accordance with applicable law

____ (3) Positive identification - **Observe** photographs, fingerprint cards and registration numbers

____ (4) Intake data - **See** personal and general intake information

____ O. RELEASE PROCEDURES

____ (1) Identification verification - **See** closed files for photographs, fingerprint cards and ID numbers

____ (2) Release confirmation - **See** closed files for writs, parole release orders, court orders, or release by expiration

____ (3) Notification of affected agencies/persons - **See** records, to include victim notifications.

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.01 STANDARDS: SECURITY AND INMATE CONTROL (cont'd.)

_____ P. SPECIAL CONFINEMENT

- _____ (1) Placement/removal authority - **See** approvals by managing official/designee or qualified health care personnel

- _____ (2) Conditions/circumstances for assignment/release - **See** records of administrative and disciplinary segregation, protective custody and medical isolation

- _____ (3) Review procedures - **See** reviews and **note** frequency of reviews

- _____ (4) Programs/services access - **See** records of access (visits, exercise, showers, commissary, sick call, mail, etc.)

- _____ (5) Supervision records - **See** rounds by supervisory staff

_____ Q. SEPARATION OF SEXES

General observation of separation by sight and sound

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.02 STANDARDS: INMATE SAFETY

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____ **A. FIRE SAFETY INSPECTIONS**

See annual inspections from _____ to present; **ensure** inspections are at 12-month intervals

See re-inspections addressing corrective action for violations

_____ **B. INTERNAL FIRE SAFETY INSPECTION**

See monthly inspection reports from _____ to present

_____ **C. DISASTER PLANS**

_____ (1) Coordination - **See** correspondence with responding agencies and organizations;

_____ (2) Duties/responsibilities - **Question** staff for awareness

_____ (3) Evacuation instructions – Full, partial, and medical evacuation addressing:

- (a) The handling of injured individuals;
- (b) Security considerations;
- (c) Instructions for responding emergency personnel and vehicles; and
- (d) Movement of affected individuals to safe areas; See designated routes which are clearly marked by use of exit signs, charts, arrows on walls floors and/or other readily understood and clearly visible signs;

See designated routes which are clearly marked by use of exit signs, charts, arrows on walls, floors and/or other readily understood and clearly visible signs.

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- _____ (4) Alternate housing - **Observe** in-house and at alternate sites when the facility or portions of it are rendered uninhabitable;
- _____ (5) Quarterly fire drills during each shift which include inmates, unless their inclusion compromises security - **See** records from _____ to present, to include inmates, unless security is compromised. **Note** inmate interview remarks
- _____ (6) A written evacuation plan that conforms to federal, state and local fire safety code; and
- _____ (7) An annual review that includes:
- (a) building interior diagram or floor plan;
 - (b) marked exits;
 - (c) directional symbols; and
 - (d) location of posted evacuation diagrams

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ D. DISASTER PLANS AWARENESS

See training records; pre/in-service training curricula; written acknowledgements for all involved personnel; staff interviews.

_____ E. EMERGENCY MEDICAL SERVICES

_____ (1) Access to facilities/personnel - **See contract/agreement and identify off site resources**

_____ (2) Monthly inventories of designated/approved first aid kits - **See at various locations. See records from _____ to present. See documented approval for contents of first aid kits by a qualified health care person**

_____ (3) First Aid/CPR certification requirements **(handled by MCCS staff)**

See up-to-date records, duty schedule and post assignments to determine adequate coverage

_____ F. ROUTINE HEALTH SERVICES

See contract/agreement with health care provider. See schedule

See sick call records and note response time frame

_____ G. RECEPTION MEDICAL SCREENING

See records of screenings within 24 hours of admission to an initial reception facility

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ H. DISPENSING MEDICATIONS

_____ (1) Authorized prescription initiation - **See** records of prescription origin

_____ (2) Method for filling prescriptions - **See** agreement with a pharmacy. **Note** procedure for initiating, filling, transferring and transporting medications (fax, courier, etc.). **See** a current formulary (list of approved medications). **Observe** storage of stock and/or bulk medication

_____ (3) System of packaging and labeling - **See** unit dosage, blister packs; **observe** properly labeled containers with name, contents, directions, stop dates, and other vital information clearly indicated

_____ I. ADMINISTRATION OF MEDICATIONS

_____ (1) Standing orders/protocol - **See** nurses' instructions approved by a physician

_____ (2) Administration instruction to nonmedical personnel - **See** training records by a qualified health care provider (**handled by M CCS staff**)

_____ (3) Administration/refusal records - **See** medication logs

_____ (4) Circumstances for self-medication - **See** records for insulin injection, nitroglycerin, ointments

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ J. CONTROL OF MEDICATIONS

- _____ (1) Secure storage - **See** safe, locked cabinet, drawer or locked closet, etc. Controlled medication must be under double lock (*i.e.*, door and cabinet), outside inmate living and activity areas
- _____ (2) Specified access and use - **General observation**
- _____ (3) Disposal procedures - **See** records of disposal for all unused and expired medications. Records must include all persons witnessing or participating in the disposal; **see** return to pharmacy records. **Check** medications on hand for expiration dates
- _____ (4) Weekly inventories of controlled substances - **See** records from _____ to present. **Perform** cross-check of current CDS inventory
- _____ (5) Incoming medication handling - **Discuss** procedure and **see** records addressing personal medication of inmates upon admission. **Refer** to auditor assigned to Inmate Property
- _____ (6) Transfer/release medication handling - Policy should indicate supply given at release **See** records of facility and personal prescription medication given at time of release or transfer. **See** closed files for continuity of care forms

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ K. CONTROL OF MEDICAL AND DENTAL INSTRUMENTS

_____ (1) Secure storage - **See** safe, locked cabinet, drawer or locked closet, etc.

_____ (2) Specified access - **General observation**

_____ (3) Quarterly inspections - **See** records from _____ to present

_____ (4) Weekly inventories - **See** records from _____ to present

_____ (5) Disposal procedures - **See** contaminated waste containers. **See** contract with biohazard disposal company

_____ (6) Needle/syringe usage records - **See** records from _____ to present

_____ (7) Current master listing - **See** a listing that is dated; **perform** a cross-check

_____ L. MEDICAL TESTING

Note inmate interview remarks

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ M. LICENSING/CERTIFICATION

See roster for all medical staff and verification of up-to-date credentials

_____ N. MEDICAL JUDGEMENT

Note staff/inmate interview remarks

_____ O. PHYSICAL EXAMINATIONS

A health appraisal is to be completed no later than 14 days following admission. **Random sample** medical files

_____ P. PERIODIC HEALTH EXAMINATIONS

See medical records of physical examinations of inmates 40 years of age and older; **ensure** exams are performed by an M.D., N.P., or P.A.; **see** list of returned inmates (escapees).

_____ Q. RELEASE MEDICAL SCREENING

See review by qualified health care personnel of all inmates prior to release or within 7 days thereafter. This may be documented on a continuity of care form. **Ensure** that records for inmates released from court, paroled or mandatorily released are included in the review

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.02 STANDARDS: INMATE SAFETY (cont'd.)

_____ R. MOSHA INSPECTIONS

See periodic inspections from _____ to present

See plans of corrective action for each inspection

_____ S. MENTAL HEALTH SERVICES

See special housing, if any. **Review** files for treatment, supervision and referrals. **Note** inmate interview remarks

_____ T. NOTIFICATION OF NEXT OF KIN

See examples, if any, to include death, serious illness or injury of an inmate; **note** managing official/designee initiating contact with the next of kin identified by the inmate at admission

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.03 STANDARDS: INMATE FOOD SERVICES

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____A. MENU APPROVAL

See annual approvals from _____ to present by a registered dietician. **Note** name and number of dietician's registry/license

_____B. FREQUENCY OF MEALS

See schedule for breakfast/lunch/dinner, **ensuring** that not more than 14-hour intervals are between dinner and breakfast. Times must be posted or in inmate handbook; **see** log entries, include special housing

_____C. HEALTH INSPECTION

See documented inspections as required by the health department and records of corrective action.
See current license/permit (posted)

_____D. DIETARY HYGIENE PRACTICES

Observe hand washing and toilet facilities that are reasonably accessible. **See** records of inspection and posted hygiene instructions; **observe** the wearing of hair nets or caps and clean clothing (includes delivery persons)

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.03 STANDARDS: INMATE FOOD SERVICES (cont'd.)

_____ E. DIETARY MEDICAL SCREENING

See pre-employment physical exams for dietary civilian staff, and annual medical screenings thereafter.

See staff/inmate roster. **See** inmate medical screening by qualified health care professionals before assignment and annually thereafter. **Ensure** intervals are no more than 12 months

_____ F. SPECIAL DIETS

See records of initiation, provision and renewal by a qualified health care provider or the facility chaplain

_____ G. USE OF FOOD AS PUNISHMENT/REWARD

General observation; note staff/inmate interview remarks

_____ H. SUPERVISION OF FOOD SERVICES

See job descriptions, staff/inmate work schedules, post orders; **general observation**

_____ I. WEEKLY DIETARY SANITATION INSPECTIONS

See reports from _____ to present. **Ensure** food is properly stored off floor in a clean, dry area, separated from cleaning supplies. **See** records of corrective action

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.03 STANDARDS: INMATE FOOD SERVICES (cont'd.)

_____ J. KITCHEN UTENSILS

_____ (1) Secure storage - **See** safe, locked cabinet or drawer, vault or locked closets. Utensils are to be stored in a manner which permits an easy determination of the presence or absence

_____ (2) Daily inventories - **See** records from _____ to present

_____ (3) Quarterly inspections - **See** records from _____ to present

_____ (4) Issue/return - **See** records from _____ to present

_____ (5) Specified access/use - **Observe** inmates with permitted specified use under the direct supervision of facility staff

_____ (6) Current master listing - **See** a listing that is dated

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.04 STANDARDS: INMATE HOUSING AND SANITATION

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____A. TOXIC, CAUSTIC AND FLAMMABLE MATERIALS

_____ (1) Secure storage - **See** areas outside inmate living and activity areas. **Ensure** proper storage of materials

_____ (2) Quarterly inspections/inventories - **See** reports to determine condition and accountability from _____ to present

_____ (3) Authorized access/use - **General observation; see** written designation of persons authorized access

_____ (4) Issue and disposal - **See** records from _____ to present. Disposals must be in conformance with applicable federal, state and local regulations

_____B. WEEKLY FACILITY SANITATION INSPECTIONS

See records from _____ to present. **Ensure** all areas of the facility and grounds are addressed

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.04 STANDARDS: INMATE HOUSING AND SANITATION (cont'd.)

_____ C. GENERAL SANITATION REQUIREMENTS

- _____ (1) Staff/inmate duties - **See** cleaning assignments, schedule, inmate worker job descriptions; **general observation**

- _____ (2) Quarterly vermin/pest control - **See** contract with licensed exterminator. **See** records of provisions; **general observation**

- _____ (3) Weekly trash removal, to include the removal of paper or plastic receptacle containing soiled menstrual hygiene products; **See** contract, records of provision; **general observation**

- _____ (4) Secure paper or plastic receptacle for daily disposal of soiled menstrual hygiene products; **general observation**

_____ D. PERSONAL ACCOMMODATIONS

Observe adequate number of operable and accessible toilets, bathing and shower facilities; one shower per 15 inmates, or the opportunity to bathe at least three times per week; **observe** hot and cold running water. Ratio is one toilet/wash basin per 10 inmates. **Note** inmate interview remarks

_____ E. PERSONAL HYGIENE ARTICLES

- (1) **See** provisions through purchase or from visitors. **See** commissary for supply and variety
- (2) **See** special arrangements for indigent inmates from _____ to present
- (3) **See** new inmate kits, if any. **Note** inmate interview remarks
- (4) **See** provisions for no cost feminine menstrual hygiene products upon admission, routinely and upon request. **Note** inmate interview remarks
- (5) **See** routine commissary access and record of inventory for menstrual hygiene products

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.04 STANDARDS: INMATE HOUSING AND SANITATION (cont'd.)

_____ F. INMATE CLOTHING

See records of issue/return of facility property (*i. e.*, jumpsuits for dietary, hospital, garage, maintenance shops and vocational programs)

Observe clothing room for adequate supplies

See records for provision of clothing to indigent inmates

_____ G. INMATE BEDDING AND LINEN

See records of provisions for at least one clean sheet and mattress, and sufficient blankets for the season; wash cloths and towels, if available; if pillows are distributed, pillow cases are to be issued. **See** records of issue, return and exchange; **ensure** mattresses and pillows are fire retardant

_____ H. INMATE LAUNDRY SERVICES

See provisions by the facility (operable washers/dryers) or through contractual arrangements in the community (*i.e.*, exchange with visitors, etc.). **See** records of exchange, laundry list, schedule. Bed linens, personal and issued clothing are to be laundered weekly

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.04 STANDARDS: INMATE HOUSING AND SANITATION (cont'd.)

_____ I. INMATE PROPERTY MANAGEMENT

_____ (1) Allowable property list - **See** approved list; **general observation**

_____ (2) Itemized listing - **See** initial inventory records

_____ (3) Signatures upon confiscation/return - **See** records; **ensure** forms are complete with Inmate e/staff signatures and dates

_____ (4) Semi-annual inventory - **See** records from _____ to present; includes all property (valuables) retained by the facility. **See** property room

_____ (5) Replacement procedures - **See** records, if any. **Note** inmate interview remarks

_____ (6) Disposal procedures - **See** records for disposals of abandoned property (charity donations, conversion to facility property, sold, or discarded); **see** records from _____ to present; **ensure** time limits adhere to policy

_____ (7) Modification to listing - **See** inventory for additions and deletions, with appropriate signatures and dates

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.05 STANDARDS: INMATE RIGHTS

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____A. NONDISCRIMINATION

General observation. Note inmate interview remarks. **See** statement in inmate handbook

_____B. PROTECTION FROM ABUSE

_____ General observation. Note inmate interview remarks and inmate handbook. Zero Tolerance Policy – Abusive Sexual Act/Harassment **See** incident reports and complaints for:

1. Facility Response,
2. Access to medical health care,
3. Access to mental health counseling and support.

_____C. LEGAL MATTERS

_____ (1) Court access - **See** logbooks, traffic sheets, movement sheets, etc.; **general observation**

_____ (2) Reference material/availability - **See** law library; **see** records of the use of LASI/LIPS or other legal references; **see** provisions to indigent inmates for paper, pencil, etc.

_____ (3) Legal mail handling - **See** logs, mail records; **general observation; note** inmate interview remarks. Legal mail is to be opened only in the presence of the inmate

_____ (4) Legal visits availability - **See** records of visits. **Observe** private and confidential setting

_____ (5) Legal calls access - **See** telephone schedule, telephone log/records; **note** inmate interview remarks

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.05 STANDARDS: INMATE RIGHTS (cont'd.)

_____ D. RELIGIOUS PRACTICES

See staffing – See available space

See statement in inmate handbook and policy

_____ E. MAIL PRACTICES

See schedule, staffing

See records of provisions to indigent inmates (postage)

See inmate interview remarks

See statement in inmate handbook and policy

_____ F. INMATE ORIENTATION

Policy Review and ensure all elements below are addressed in the inmate handbook:

- _____ (1) Emergency Plans Response
- _____ (2) Classification procedures
- _____ (3) Rules/regulations/disciplinary process
- _____ (4) Complaint process
- _____ (5) Search practices
- _____ (6) Access to case records
- _____ (7) Programs/services regulated by standard
- _____ (8) Sick call access

Review case files for inmate signature/date for receipt of the most recent handbook. **See** program activities schedules. **See** records of access

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.05 STANDARDS: INMATE RIGHTS (cont'd.)

_____ G. CONVICTED INMATES/PROGRAM PARTICIPATION

See records of participation in work release, substance abuse, basic education, facility work assignments, etc.

Note inmate interview remarks

See statement in inmate handbook and policy

_____ H. REGULAR EXERCISE

See records of opportunity to participate.

See staffing, schedules; **observe** equipment and space. **Note** staff/inmate interview remarks

See statement in inmate handbook and policy

_____ I. INTERNAL COMPLAINT SYSTEM

See training records for all staff having direct contact with inmates

See training records of written acknowledgements by all appropriate staff; handbook; and pre-/in-service training curricula and schedules.

_____ J. PERSONAL GROOMING

General observation; note inmate interview remarks

See provisions/availability (*i.e.*, schedule for hair care services)

See statement in inmate handbook and policy

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.05 STANDARDS: INMATE RIGHTS (cont'd.)

_____K. ACCESS TO MEDIA

See records of access/denial

Note rationale for denials

Note inmate interview remarks

See statement in inmate handbook and policy

_____L. VISITATION PRACTICES

Note inmate interview remarks

See schedule; **note** records of provisions, including special visits

Observe appropriate space, posted rules and regulations

See statement in inmate handbook and policy

_____M. GENERAL TELEPHONE USE

See records of provisions, if any

General observation; see schedules; **note** inmate interview remarks

See statement in inmate handbook and policy

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FACILITY: _____

AUDIT DATES: _____

.06 STANDARDS: CLASSIFICATION

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____ **A. CLASSIFICATION PROCESS**

_____ (1) Initial inmate classification within 45 days of admission **and reclassification according to established guidelines.**

_____ (2) Decision-makers identification - **Note** appropriate facility personnel involved in classification actions; **review** case files

_____ (3) Criteria - **Review** files for appropriate placement in security levels, housing, work assignments, programs and services

_____ (4) Inmate appearance - **Review** files to see if inmates are present when classification decisions are made

_____ (5) Routine assessment of security and program needs

_____ (6) Recorded decisions and rationale - **See** decisions, recommendations and rationale; **see** various classification forms (initial summary, health history, classification assignment sheets, progress sheets, etc.)

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.06 STANDARDS: CLASSIFICATION (cont'd.)

A. CLASSIFICATION PROCESS (cont'd.)

_____ (7) Managing official review - **See** records of review by the managing official/designee within one week or a reasonable amount of time

_____ (8) Appeal process - **See** records

_____ **B. CLASSIFICATION PROCESS AWARENESS**

See written acknowledgement by appropriate personnel of training on the classification process
(Review training records)

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FACILITY: _____ AUDIT DATES: _____

.07 STANDARDS: HEARINGS

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____ **A. FORMAL DISCIPLINARY HEARING PROCESS**

_____ (1) 96-hour inmate notification - **Review** disciplinary reports to **ensure** the time frame is met

_____ (2) Inmate appearance - **See** hearing reports noting the presence of the inmate. **See** waivers, if any; **ensure** hearing is held within 9 days, **excluding holidays and weekends and not less than 24 hours after notification of charges, unless waived by inmate.**

_____ (3) Witnesses/representatives/evidence - **See** hearing reports

_____ (4) Recorded decisions and rationale - **See** recorded results in hearing reports **noting** rationale

_____ (5) Managing official review - **See** reviews by the managing official/designee on appropriate format

_____ (6) Appeal process - **See** examples of appeals, if any; **note** reasonable response times

_____ (7) Report of all hearing decisions to the managing official/designee

_____ **B. FORMAL DISCIPLINARY HEARING PROCESS AWARENESS**

See written acknowledgement of the disciplinary process by all personnel having direct contact with inmates

(Review training records)

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FACILITY: _____ AUDIT DATES: _____

.08 STANDARDS: ADMINISTRATIVE RECORD KEEPING

C = Compliance NC = Noncompliance NA = Non-applicable H = Hold ★ = Recommendation

_____A. CONFIDENTIALITY OF CASE RECORDS

_____ (1) Access approval authority - **See** appropriate approvals by managing official/designee

_____ (2) Restricted/accessible information - **Must** be clear in policy

_____ (3) Release consent form - **Review** case records to **see** release of information forms; **note** appropriate signatures and dates

_____ (4) Recorded decisions and rationale - **See** records of provision/denial; **note** staff/inmate interview remarks

_____ (5) Appeal process - **See** records of appeals

_____B. COMPUTATION OF SENTENCE CREDITS

See good conduct, industrial and special project credit time records. **Randomly conduct** computation using the proration chart

Observe loss of good conduct and industrial credits in accordance with written disciplinary procedures

Note documented programs and activities eligible for special project credit (predetermined)

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.08 STANDARDS: ADMINISTRATIVE RECORD KEEPING (cont'd.)

_____ C. MANAGEMENT OF INMATE FUNDS

- _____ (1) Confiscation and receipting procedures - **See** financial records **noting** appropriate receipting practices
- _____ (2) Establishment of inmate accounts - **Observe** records for financial activities (intake, commissary, reimbursement for room and board, if applicable, disbursements for fines, restitutions, inmate pay, transfer/release, etc.)
- _____ (3) Records of financial transactions, including victim restitution and transfers to other facilities – Note staff/inmate interview remarks
- _____ (4) Recorded return of funds on release – See records

_____ D. OFFICIAL PUBLICATIONS/ANNUAL REVIEW

See records of annual review for all regulations, policies, procedures, post orders, emergency plans, orientation handbooks, manuals, etc. from _____ to present; **note** anniversary dates

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.08 STANDARDS: ADMINISTRATIVE RECORD KEEPING (cont'd.)

_____ E. CASE RECORDS

- _____ (1) Secure storage outside inmate living and activity areas - **Observe** in areas free from access by unauthorized staff, inmates and the public. Storage should be reasonably safe from forced entry, fire, vermin, moisture, etc.
- _____ (2) File content and order - **See** files for uniformity, noting standardized forms, designated contents and specification of an established format to separate particular functional areas (to include disciplinary actions, classification decisions, commitment/diminution of sentence records, medical, etc.)
- _____ (3) A date and signature on all documents and entries – See formats for appropriate signatures and dates.
- _____ (4) Disposal/retention schedules -**See** records of disposal according to the retention schedule with documentation of disposition.
- _____ (5) Transfer procedures - **See** receipts/records of transfer

_____ F. BACKGROUND CHECKS

- (1) See written policy
(2) Review records/forms of newly hired employees' background checks

_____ G. TRAINING

- (1) See written policy
(2) Review entrance level-training records/forms of newly hired employees