



ROBERT BENTLEY  
GOVERNOR

# State of Alabama Department of Corrections

Alabama Criminal Justice Center  
301 S. Ripley Street  
P. O. Box 301501  
Montgomery, AL 36130-1501  
(334) 353-3883



JEFFERSON S. DUNN  
COMMISSIONER

December 30, 2015

**ADMINISTRATIVE REGULATION  
NUMBER 322**

**OPR: OPERATIONS**

## **SECURITY AUDITS**

### **I. GENERAL**

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes the responsibilities, policies, and procedures for conducting security audits.

### **II. POLICY**

It is the policy of the ADOC to provide for a system to monitor operations and programs through inspections and reviews.

### **III DEFINITION(S) AND ACRONYM(S)**

- A. **Corrective Action Plan:** A plan of action by the Warden / Division Director to address deficiencies in security practices identified by the audit team.
- B. **Security Audit Team:** Trained ADOC staff members assembled to evaluate security policies and procedures of a selected institution.
- C. **Internal Audit Team:** ADOC staff members assembled at the institution to evaluate security policies and procedures.
- D. **Security Audit:** The examination, monitoring, and verification of security policies and procedures.

### **IV. RESPONSIBILITIES**

- A. The Associate Commissioner of Operations is responsible for managing the Security Audit Team and ensuring that they are trained.
- B. The Institutional Coordinator(s) are responsible for:

1. Serving as the chairperson for the Security Audit Team in coordination with the Associate Commissioner of Operations.
  2. Appointing members of the Security Audit Team(s). The Security Audit Team for the female institutions shall be comprised of Wardens from other female institutions.
- C. The Security Audit Team is responsible for conducting and reporting institutional audits in accordance with this AR.
- D. The Wardens / Directors are responsible for:
1. Developing their institutional / division Standard Operating Procedures (SOPs), as necessary, for the implementation of AR 322, *Security Audits*.
  2. Appointing an Internal Audit Team consisting of a minimum of three (3) members and forward their names to the Institutional Coordinator.
- E. The Internal Audit Team is responsible for preparing their respective institution and conducting internal security audits.

**V. PROCEDURES**

- A. The purpose of the security audit is to:
1. Enhance the overall security and safety of staff and inmates.
  2. Identify, refine, and improve security procedures.
  3. Heighten security awareness and proficiency among institutional staff.
  4. Identify those weaknesses and deficiencies in security operations.
  5. Determine aging institution infrastructure and equipment.
  6. Determine if institutional procedures and actual practices are in compliance with agency policies and procedures.
  7. Ensure security resources are being used effectively and efficiently.

- B. The Internal and Security Audit Teams shall review applicable areas listed in Annex A, *Security Audit Areas*.
- C. The Internal Audit Team shall conduct an annual audit, when staffing is available. Other audits may be conducted on an as needed basis. The results of the audit shall be documented and retained in a file for review by the Security Audit Team.
- D. The Associate Commissioner of Operations shall select three (3) institutions per year for Security Audits, when staff is available.
  - 1. The selection process shall ensure that at least one (1) major facility from each region and one (1) work release/work center is selected.
  - 2. The Institutional Coordinator(s) shall notify the Warden / Division Director at least forty-five (45) days in advance of a security audit.
- E. The Associate Commissioner of Operations may schedule unannounced audits at his or her discretion.
- F. Upon arriving at the institution, the Security Audit Team shall conduct a pre-audit interview with the Warden / Division Director and any other member(s) as deemed necessary. The auditor shall:
  - 1. Explain the audit plan.
  - 2. Answer questions.
  - 3. Identify any records initially required.
- G. The Warden / Division Director shall provide the Security Audit Team a tour of the institution.
- H. The Warden / Division Director shall identify a member on the Internal Audit Team to serve as the primary contact person to assist the Security Audit Team.
- I. The Warden / Division Director shall provide the Security Audit Team access to records, electronic documents, personnel, and security audit areas.
- J. During the audit, the Security Audit Team shall review documentation, observe practices, inspect the institution and equipment, and interview staff and / or inmates, as appropriate. Specifically, utilizing Annex A, *Security Audit Areas*, the team shall:

1. Question security staff member(s) about their knowledge of all procedures associated with the assigned post and observe their performance.
  2. Review staff rosters and schedules.
  3. Review logs and Standard Operating Procedures (SOP) on all posts.
  4. Check maintenance tools and equipment inventories. Review appropriate sign in/out sheets.
  5. Observe actual searches of inmates and inmate property.
  6. Review and observe procedures for all entry and exit areas.
  7. Randomly review selected security and armory equipment.
  8. Visit all perimeter posts during daylight and darkness hours.
  9. Report all critical findings that require immediate corrective action(s) to the warden.
- K. Upon completion of the audit, the Security Audit Team shall conduct a post-audit interview with the Warden / Division Director and Internal Audit Team. The Security Audit Team shall verbally report on the:
1. Knowledge of the staff and their responses to questions asked.
  2. Adequacy of the Standard Operating Procedures and/or post orders and if staff is following procedures.
- L. Upon conclusion of the audit, the Security Audit Team shall have ten (10) working days to prepare and submit a written narrative report reflecting observations of and recommendations for the *Security Audit Areas* (Annex A) to the Institutional Coordinator(s).
- M. The Institutional Coordinators shall review the Security Audit Team's report and forward it to the Associate Commissioner of Operations within 30 days after conclusion of the audit.
- N. The Associate Commissioner of Operations shall within ten (10) days of receipt of the audit report, review and forward copies to the Commissioner and the respective Warden / Division Director.
- O. The Warden / Division Director shall within ten (10) working days of receipt of the audit report, submit a corrective action plan outlining the actions taken relative to the recommendations. This plan shall be

submitted through the Institutional Coordinator(s) to the Associate Commissioner of Operations.

- P. The Institutional Coordinator(s) shall follow-up and monitor all unresolved recommendations.

**VI. DISPOSITION**

All security audits, subsequent responses, and follow-up reports shall be retained for a period of three (3) years.

Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

**VII. FORMS**

There are no forms prescribed in this regulation.

**VIII. SUPERCEDES**

This regulation supercedes AR 322, *Security Audits*, dated February 5, 2008.

**IX. PERFORMANCE**

- A. Code of Alabama 1975 as amended § 14-1-1.1.
- B. U. S. Department of Justice, National Institute of Corrections (NIC), Conducting Prison Security Audits.
- C. American Correctional Association (ACA), Guidelines for the Development of a Security Program, Third Edition.
- D. American Correctional Association (ACA), Standards for Adult Correctional Institutions, Fourth Edition.

  
Jefferson S. Dunn  
Commissioner

**ANNEX:**

- A. Security Audit Areas

## Alabama Department of Corrections

### SECURITY AUDIT AREAS

The Security Audit Team will examine the following areas:

1. Security:
  - a. Key control plan.
  - b. Escape prevention plan
  - c. Fire safety and evacuation.
  - d. Security procedures for entry / exit areas.
  - e. Motor vehicle accountability.
  - f. Tool and substance control plan.
  - g. Search of departmental vehicles.
  - h. Communication.
  - i. Inmate mail.
  - j. Incident reporting.
  - k. Disturbance management plan.
  - l. Searches and substance abuse testing.
  - m. Security threat group members.
  - n. Inmate Property.
  - o. Admission / Releases practices.
  - p. Control Centers.
  - q. Contraband and Evidence management.
  - r. Control movement.
  - s. Inmate visitation.
  - t. Inmate work / job assignments.
  - u. Inmate transport.
  - v. Offsite security procedures.
  - w. Perimeter security.
  - x. Security inspections.
  
2. Medical / Mental Health:
  - a. Tool control (i.e., surgical, dental and other medical equipment).
  - b. Storage and control of narcotics and controlled substances.
  - c. Maintenance and handling of hazardous materials.
  - d. Protocol.
  - e. Suicide prevention.

## Alabama Department of Corrections

### SECURITY AUDIT AREAS (continued)

3. Food Service:
  - a. Tool control.
  - b. Control of food items.
  - c. Sanitation.
  
4. Training:
  - a. Training records and programs.
  - b. Weapons qualification and training.
  - c. Compliance with use of force regulations.
  - d. Training plans.
  - e. Chemical Agents.
  - f. Mental Health.
  
5. Armory / Arsenal:
  - a. Storage, issuance and accountability of weapons, chemical agents and related security equipment.
  - b. Issuance of firearms.
  - c. Restraining devices.
  - d. Security equipment inventories.
  
6. Maintenance:
  - a. Tool control.
  - b. Reporting and responding to maintenance requests.
  - c. Inmate supervision by maintenance personnel.
  - d. Maintenance and handling of hazardous materials.
  - e. Physical Plant.
  
7. Shift Supervisor:
  - a. Roll call procedures.
  - b. Correctional post orders.
  - c. Overtime rosters.
  - d. Inmate headcounts.
  - e. Institutional log book system.
  - f. Cell extraction directive and plans.

**Alabama Department of Corrections**

**SECURITY AUDIT AREAS (continued)**

7. Shift Supervisor (continued):
  - g. Escape prevention.
  - h. Disturbance management.
  - i. Discipline.
  - j. Emergency response.
  - k. Procedures for ongoing inspection of security, fire safety, maintenance and cleanliness.
  - l. Inmate admissions / releases.
  
8. Classification:
  - a. Sex Offender Notification process.
  - b. Initial classification and reclassification conducted in a timely basis.
  - c. Review classification hearing in process.
  - d. Inmate intake / release checklist.
  - e. Written inmate classification plan, objectives of the classification system and methods for achieving them, and monitoring and evaluation mechanism.
  - f. Regular review of inmate custody / security level classifications.
  - g. Classification process provides for the involvement of representatives relevant to institutional programs.
  - h. Collecting of inmate criminal history information.
  - i. Staff member assigned to inmate at initial institutional review.
  - j. Written plan for inmate classification reviews at least every twelve (12) months.
  - k. The classification plan specifies the criteria for determining and changing an inmate's classification status.
  - l. All inmates appear at classification hearings unless precluded for security reasons; a 24 hour notice is required before the hearing, but can be waived by the inmate in writing.
  - m. Written procedures which allow an inmate to request a progress and program status.
  - n. Paroling authority is provided access to the inmate progress review prior to parole hearing.
  - o. Identification of special needs inmates.
  - p. Written classification purpose.



**Alabama Department of Corrections**

**SECURITY AUDIT AREAS (continued)**

8. Classification (continued):
  - q. Written procedures to establish a central classification monitoring process to ensure that no more than 5 to 15 % overrides of objective risk assessment score.
  
9. Segregation:
  - a. Processing.
  - b. Security checks.
  - c. Documentation review.
  - d. Mental Health.
  - e. Protective custody for inmates.