

PREPARING FOR AN AUDIT

OVERVIEW:

HOW TO PREPARE FOR AN AUDIT

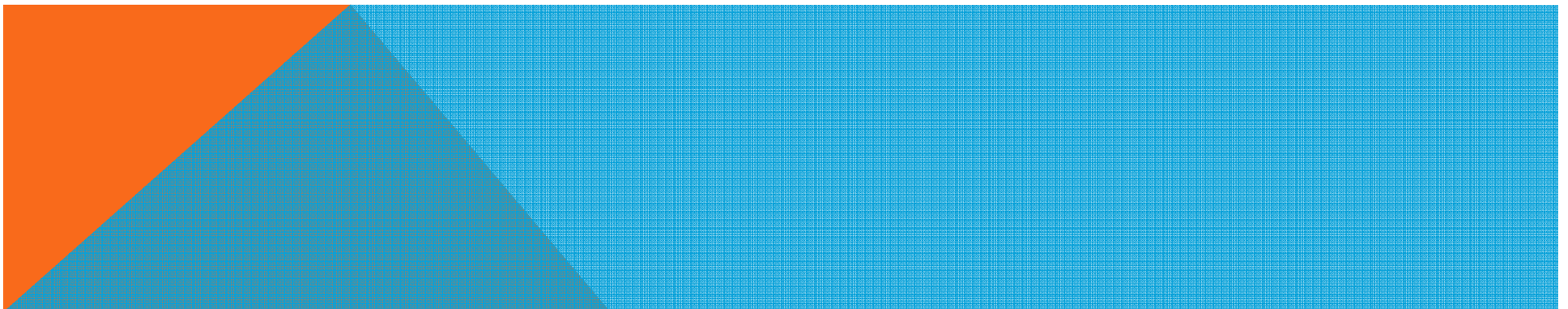
Prepare Standards Folders

Internal Review of the Standards Folders

Preparing space for the auditor

Facility should be “Inspection Ready**”**

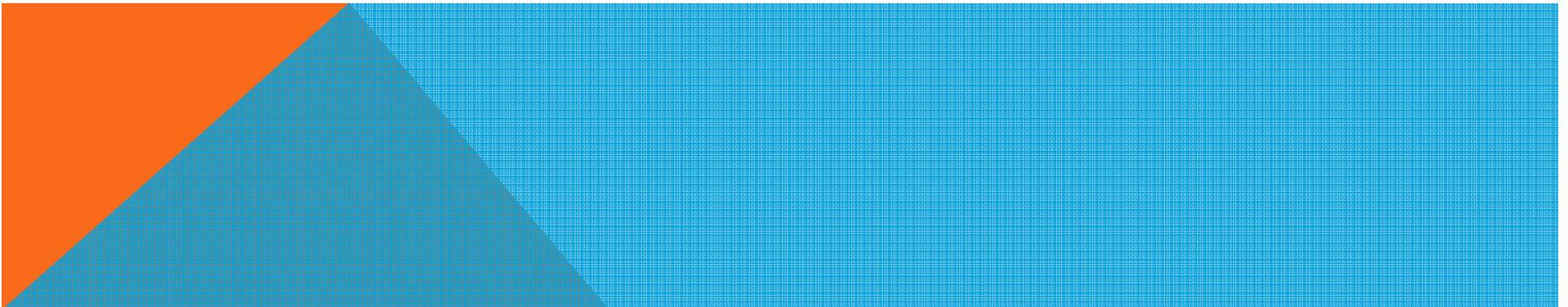
Preparing a Welcome Packet to introduce the facility to the Auditors



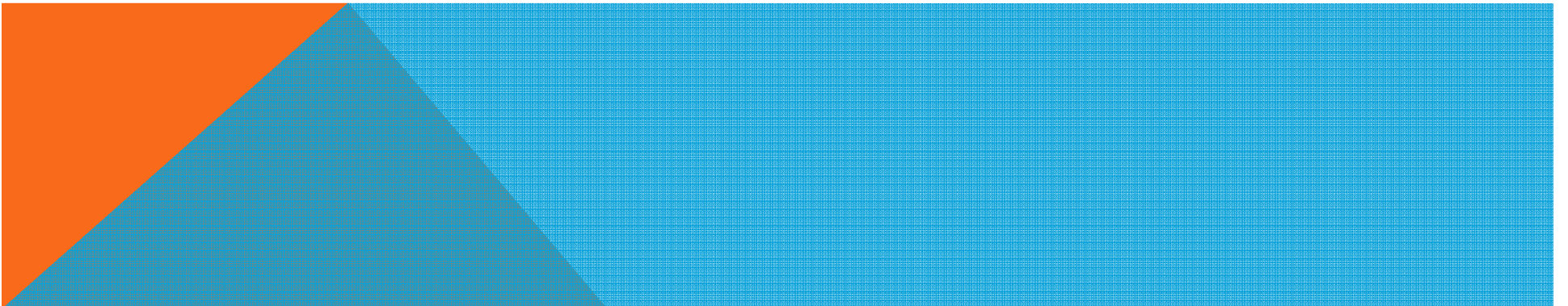
ROLE OF THE COMPLIANCE MANAGER

A **Compliance Manager** is an employee designated by the administrator to supervise the planning and implementation of standard compliance activities in the facility.

The **Compliance Manager** has comprehensive knowledge of the facility and sufficient authority to design and administer a successful compliance strategy.

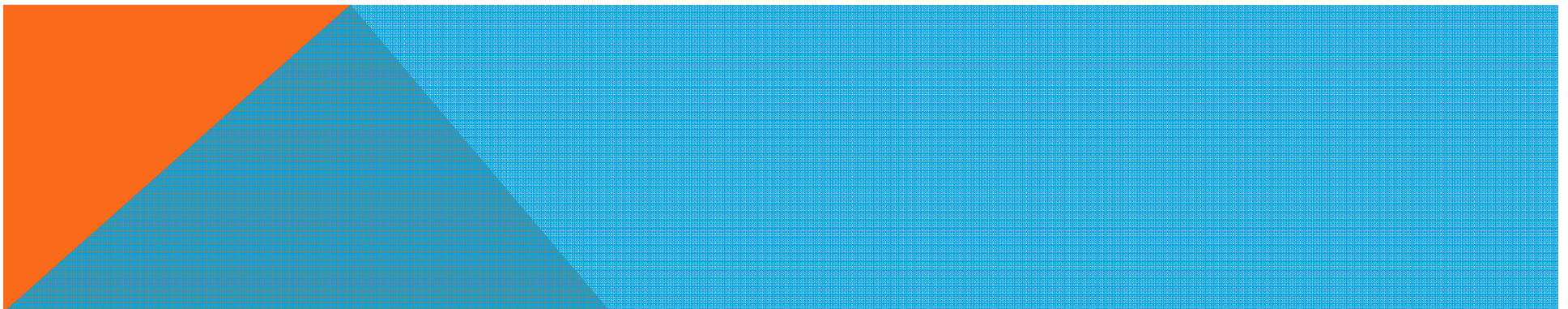


INSPECTION CHECKLIST



PREPARING STANDARDS FOLDERS

- Ensure that documents are clearly labeled
- Review Standards Folders to ensure highlighting is accurate
- Documents are dated within the current review period
- Bulleted expected practices are numbered properly w/ corresponding documentation numbered to match
- Documents prove each component of the standard
- Review and sign Standards Compliance Coversheet for every standard



CONDUCT AN INTERNAL REVIEW OF THE STANDARDS FOLDERS

Facility Name:

Facility Address:

The following standards are Not Applicable to the facility:

Standard	Reason the standard is Not Applicable

The facility is Not Compliant with the following standards:

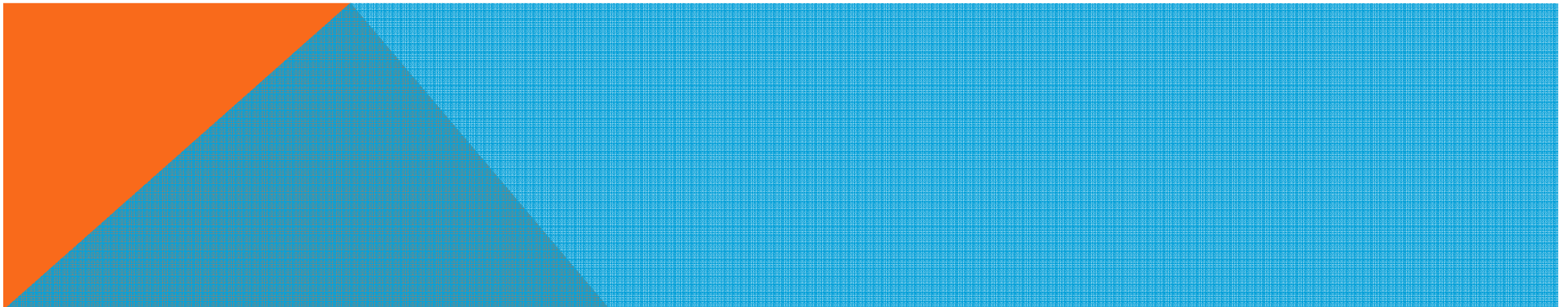
Standard	Reason the facility is Not Compliant

Certification

I am the Facility Administrator for the above named facility and certify an internal audit of the Indiana Detention Center Standards has been performed. Regarding the standards listed above, I deem either the standards to be Not Applicable or the facility to be Non-Compliant. I deem the facility to be compliant with all standards not listed above.

Name

Date



WORK AREA FOR THE AUDITORS

Prepare a private area for auditors to work. If the area is connected to staff offices, the office should be vacated during the audit process.

Auditors should have unimpeded access to a restroom.

If the facility utilizes electronic files, extension cord(s) should be provided for the auditors to plug in their computers.

A resource table should be available for the auditors and include:

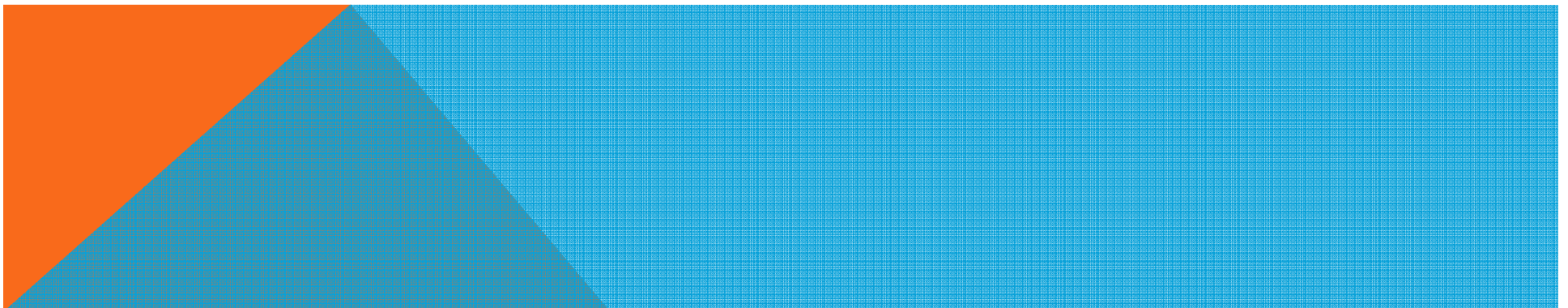
Policy Manuals

Security/Emergency Manual

Offender Handbook

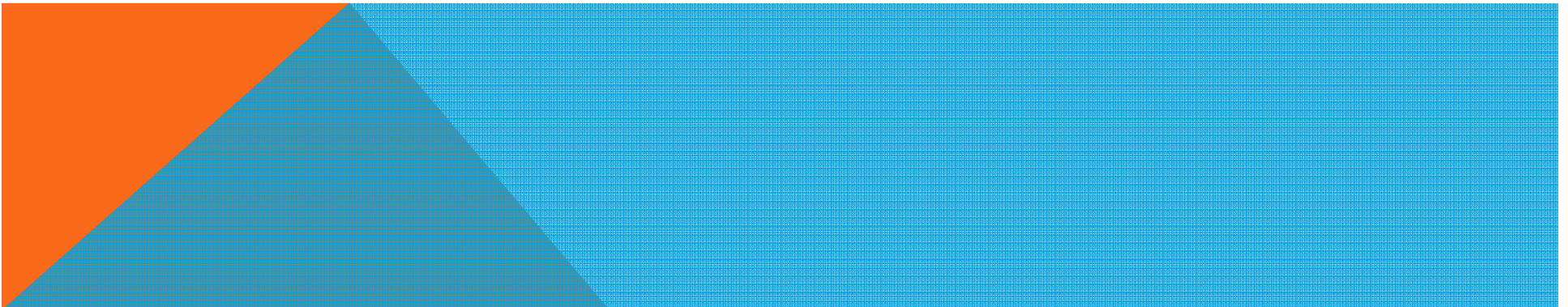
Personnel Handbook

Other pertinent information/manuals



AVAILABLE STAFF

Have staff available to take auditors on tour, obtain additional documentation, and answer questions

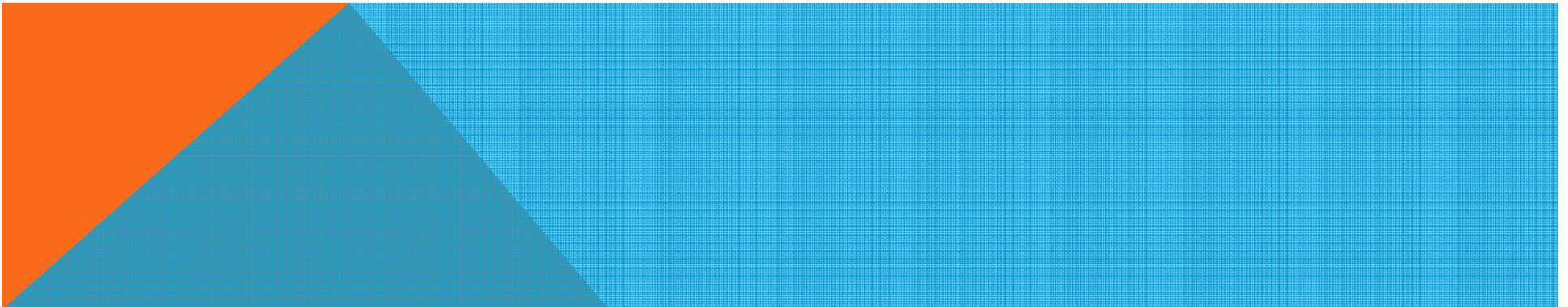


HOW TO BE “INSPECTION READY”

Sanitation

Graffiti and scuff marks

Quality of linens and clothing (holes, elasticity ect)



Before and After



Before and After



Before and After



Outdoor Recreation Center



Sanitation & Serving Line



2nd floor Range & Toilet



WELCOME PACKET

The Welcome Packet describes the facility's mission and programs, and introduces the Auditor's to the facility. The packet is usually a 2-pocket folder and includes the following the documents:

- 1. Facility Description/Overview**
- 2. Facility Organizational Chart with staff names**
- 3. Labeled Facility Floor Plan/Map**
- 4. Staff schedule with position and part-time/full-time designations**
- 5. Facility Master Schedule with Student Activity**
- 6. Facility's Annual Report to its governing body**
- 7. Completed IDOC Questionnaire**
- 8. Completed IDOC Data Sheet**
- 9. Listing of Significant Events within the reporting period**
- 10. Internal Pre-Audit Review**

