

Pre-IRP & Mock Audit - Things to Look For -

Staff:

- in every area, staff should greet auditor at front door and walk them and talk them through their areas. Explain the functions of their area, hit notable accomplishments, and make their area shine in the eyes of the auditor. The auditor should NEVER have to ask Department Heads to "tell them about their area!"

General Information:

- need recorder for entire tour (record names & titles of staff actually talked to; record total number of inmates talked to in one area (i.e., four inmates in Food Service)
- Front Desk needs to be there before auditors arrival
- fire extinguishers throughout should be inspected
- ensure no doors are blocked
- ensure no extinguishers are blocked
- ensure proper clearance for sprinklers (18" from ceiling)
- cabinets and doors should not be opened by staff unless the auditor asks
- check chemicals (ensure proper labeling, control, and accountability throughout)
- chemicals need to be consistently accounted for (i.e., 1/4, 1/2, 3/4, etc.)
- ensure MSDS books contain the proper sheets for the chemicals on hand
- MSDS books need to be tabbed/indexed to ensure easy access to finding the needed chemical
- doors should not be propped open
- touch up paint throughout (if needed)
- check floor and ceiling tiles for damage and repair if necessary
- mops need to be hung with mop head down and dripping over bucket
- Check for sanitation throughout (fans, vents, etc.)
- SANITATION OF ENTIRE FACILITY (to include parking lot)

Control:

- check keys / how are they issued?
- question procedures for emergency keys / how often are they drawn?
- what are the procedures when there is a fire?
- what is the closest fire department and what is their response time?
- invisible ink / where is it kept? Is it in a flammable cabinet and inventoried?
- staff should tour auditor around Control, show panels, telephone system, etc.

Armory:

- check Firearms Qualification (No Shoot List) / ensure it is recent; ensure no lapses
- inventory chemicals and ammunition
- what is the disposal procedures for expired gas?
- ensure all cylinders are properly secured
- question emergency trips and process; inventory of equipment
- how often are guns test fired?
- what do they do with their brass?
- escape kits (how are items issued?)

Lockshop:

- how many keys are in the institution?
- what are the procedures if there is a broken key?
- what do they do with their unuseable keys?
- how many 24-hour keys are issued?

Health Services:

- is there 24-hour medical coverage?
- are x-rays digital? If not, check inventories on chemicals
- are pregnancy warnings posted in x-ray?
- check status of chronic care physicals
- are they up to date on 14-day physicals?
- are they up to date on 30-day dental exams?
- are they up to date on chronic care?
- check informed consent documentation
- how many days do you run sick call?
- is there a contract for hazardous waste disposal?
- is there an exhaust fan in the hazardous waste room?
- how are sharps controlled/inventoried
- check sharps inventories
- check instruments and how they are maintained/controlled (inventory packs)
- how are medications dispensed and inventoried?
- check controlled substance inventories
- what is the wait time for a dental cleaning?
- what is the wait time for a filling, crown, etc.?
- check chemical inventories in Dental (corrosives properly stored, etc.)
- do they have a negative pressure room? Who inspects?
- are cylinders properly chained?
- PREA – are there private rooms where inmates can be seen by medical and mental health care staff? Can you see inmates without an officer present? Can you cover windows?
- PREA - where are medical records kept? Who has access to the records?
- PREA – is the same sex present during an encounter?
- PREA – what is the protocol if someone reports an incident of sexual abuse?
- PREA – what is the protocol for conducting a sexual abuse forensic medical exam?
- PREA – has everyone received special training in dealing with victims of sexual abuse? If so, what did the training consist of?

Food Service:

- check cleanliness of stainless
- do they use yeast? If so, where is it controlled and inventoried?
- knife logs, check to ensure proper use of issuance forms
- check chemical control and proper use of spill basins (ensure corrosives are stored separate)
- check tool control (how issues, chits in place, etc.)
- check freezer logs to ensure proper temperatures are taken three times daily and maintained
- are the freezers alarmed? If so, how?
- check freezer/coolers (bags closed, food covered on racks, seals frozen, condensers w/ice buildup, foods stored under condensers, etc.)
- check sanitation (i.e., under serving lines, stainless, vents, ceilings, etc.)
- check how pots and pans are dried
- check ice machines for lime buildup and how scoops are attached/maintained
- is there a battery charging system in use? If so, where is the closest eye wash station?
- is soap/paper towels available at all handwashing stations?
- is there a thermometer in dry storage?
- ensure no scoops are found in the spices
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Safety:

- noise and light surveys done?

- are annual inspections completed by an outside source (someone not paid by the Warden) for the Safety, Sanitation, and Fire Inspections?
- if trouble exists with the fire suppression system, are there procedures in place for fire watches and are they being conducted and documented?
- check how extinguishers are inspected monthly, ensure logs are in place (either on the extinguisher or in the Safety Dept.)
- check chemical and pesticide inventories
- what is the process for issuing chemicals?
- what is the process for disposing of oily rags? Are they emptied to an outside location daily?
- how are chemicals maintained throughout the institution? (0-1 do not need to be controlled and inventoried; 2-3 needs controlled and inventoried).
- send direction to all staff ensuring proper control (inventories should be consistent (bottles, oz, etc.; 1/4, 1/2, 3/4, etc.)

Laundry:

- how often are clothes issued? What are they initially given?
- how often can inmates get their clothes washed?
- lint traps, how often emptied?
- needle issuance, how is it done? Is there an inventory?
- check chemicals and their control/inventory
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Commissary:

- what are the top sellers?
- how do they and how often can they shop?
- what is spending limit?
- does commissary list differ for SHU inmates?
- check freezer temperatures (is there a temperature log)
- ensure exits are not blocked
- ensure extinguishers are not blocked
- ensure rows are not blocked
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Barbershop:

- what disinfecting product is in use? (i.e., Barbicide, Marvicide, H-42?) How is it issued? Who issues it and who controls/inventories it?
- ensure no brushes are used (per BOP policy)
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Housing Units:

- how often are fire drills conducted? Are different exits utilized? Are emergency keys drawn?
- check showers for soap scum, missing/broken tiles, sanitation
- check vents in cells (i.e., covered, dirty, etc.)
- check laundry areas (are dryers vented to the outside?)

- check location of fire extinguishers
- check post orders to ensure they are signed and maintained
- are menus posted?
- ensure chemicals are in proper secondary use bottles
- ensure microwaves are clean
- PREA: observe: PREA notices posted (in English and Spanish); announcement of entry of opposite sex (if applicable); blind spots; camera placement (and privacy issues)
- PREA: check: TRULINCS for DOJ reporting (sexual assault)
- PREA: ask staff: do supervisory staff perform unannounced rounds?; is their an announcement made any time there is a change in gender entering the unit?
- PREA: ask inmates: do you know how to report an incident of sexual abuse? Do supervisory staff walk through the units?; Is there an announcement of opposite gender entering the unit? Can you change, shower, and use the toilet without officers of opposite sex watching?

SHU:

- check 40-minute irregular log
- check outside recreation areas. What is size of rec cages? How many inmates at a time?
- ensure no clotheslines or excess property is visible
- how often is the library cart afforded to the inmates?
- check chemical control
- is Health Services immediately notified (at all hours) when an inmate is placed in SHU?
- is inclement weather gear provided?
- is Psych Hot List present
- PREA: observe: PREA notices posted (in English and Spanish); where are cameras placed? Do cameras have a direct line into cells, toilet, or shower areas?
- PREA: ask staff: do supervisory staff perform unannounced rounds? Do staff of opposite sex announce their presence when entering SHU? Do you know which inmates are here for protective custody? If so, do those inmates know why they are in protective custody? Do inmates in protective custody have access to out-of-cell programs, education, and work assignments? How often do they get out of their cells?
- PREA – ask inmates: do you know how to report an incident of sexual abuse? Do supervisory staff walk through the unit and how often? Do staff of opposite gender announce their presence when entering SHU? Can you change your clothes, use the toilet, or shower without being observed by an officer of the opposite sex? Have you been placed in protective custody involuntarily? Do you have access to out-of-cell activities and how often?

UNICOR:

- how are tools issued?
- check tool room for chits
- what do they do with broken tools?
- check for safety and sanitation issues (lock out/tag out, emergency stops, etc.)
- who certifies forklift operators? How often do they recertify?
- check for proper use of eye and ear protection. Is it posted?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Facilities:

- are cylinders properly chained?
- check various chemical cabinets throughout the department
- discuss work orders and how they are prioritized
- are all paint products water based?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?

- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Central Tool Room

- how are AA tools accounted for? Check tool inventories and storage.
- what are the procedures for broken tools?
- how often do you survey tools?
- what are the procedures for a lost/missing tool?
- are cylinders properly stored?
- are quarterly tool inventories done? (check inventory sheets)

Psychology:

- are inmate companions utilized? How are they trained? How long of a shift can they work?
- when do you first notify an inmate of who to contact for sexual abuse? At intake? Or during A&O? Is it in the handbook?
- do you offer suicide prevention training?
- what other training is conducted?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates? Check PREA referrals to ensure they were timely.
- PREA – ask: what questions are asked to determine whether there is a risk for sexual abuse or predatory behavior? What do you do with the information you receive if there is a risk? Is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Education/Recreation:

- what days is the library open? If not available seven days a week, what do they do when they are closed? Library cart in recreation?
- do they utilize contractors/volunteers?
- do they have any live work VT programs?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Religious Services:

- how many faith groups are represented?
- do they utilize contractors/volunteers?
- do they use tobacco/wine? If so, check inventories and proper control
- ensure inmate and staff food is not maintained in the same refrigerator (inmate refrigerator must have thermometer and temperature log)
- do they have a sweatlodge?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Visiting Room:

- check strip area; ensure process is explained
- check microwaves
- check tops of vending machines
- how many days is visiting held?
- how often can an inmate have visits?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of

- authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Human Resources:

- how often is No Shoot List dispersed? Who gets a copy?
- what are their procedures to ensure no lapse in firearms certification?
- if lapse in firearms certification, what is reason? How soon upon return does an employee get re-certified?
- when is annual training conducted?
- what is the rate of staff complement/vacancy?

Business Office:

- what is the budget? What part of that is salaries?

CSM:

- how often do inmates get their mail?
- how is special or legal mail differentiated?
- what do they do with a suspicious package?
- what is the process in R&D for an inmate coming in?
- are cameras positioned so inmates have right to privacy when using restroom?
- what are the procedures for strip searching an inmate of opposite sex?
- do they have a refrigerator in use for inmate meals? If so, is there a thermometer and temperature log maintained? Is the refrigerator marked as “Inmate Only”?
- PREA – observe: do holding cells provide privacy for toilet use? Are there cameras in holding cells? How are cameras supervised? Where are screening forms kept? When does the initial screening take place? Review intake forms to ensure PREA screening is conducted and forms are complete.
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Outside Warehouse:

- are exits clearly marked?
- are floors marked?
- do they have a battery charging station? If so, where is the closest eye wash station?
- who certifies the inmates on the forklifts? Do the forklifts have a backup alarm and strobe?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Food Service Warehouse:

- check freezers and cooler temperature logs. Are they audible?
- check food in freezers/coolers for bags being open or food being exposed.
- do they utilize first in, first out procedures?
- check chemical storage
- do they have a battery charging station? If so, where is the closest eye wash station?
- who certifies the inmates on the forklifts? Do the forklifts have a backup alarm and strobe?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Garage:

- how often are oily rags disposed of? Daily to an outside location? Is there a contract for someone to clean them?
- how many vehicles in fleet?
- any certifications required?
- check oil disposal procedures
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Powerhouse:

- check chemical inventories
- how often are boilers checked? Who checks the chemicals?
- how often are the generators tested?
- how much of a load can they handle? Do they all power up and then back down?
- is there a battery charging station? If so, where is the closest eye wash station?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?

Outside Facilities:

- how is gas issued and inventoried?
- check chemical inventories
- where is hazardous waste kept?
- how is it disposed of?
- are cylinders properly chained?
- PREA – observe: staff supervision; camera placement; blind spots; are inmates in positions of authority over other inmates?
- PREA – ask: is the level of supervision present today typical? Are there times when this area is less supervised? Do staff/inmates feel safe in the area?