



Maryland Commission
on Correctional
Standards
Agency
Directive

Approved By:
Howard Ray, Jr.
• Executive Director

Title: Commission on Correctional Standards – Compliance Audits	Directive Number: MCCS.020.0001
Related MD Statute/Regulations: Correctional Services Article, Title 8, Subtitle 1, Annotated Code of Maryland; COMAR 12.14	Supersedes: N/A
Related ACA Standards: N/A	Authorized By: Executive Director – Commission on Correctional Standards
Related MCCS Standards: N/A	Effective Date: March 24, 2010 Number of Pages: 4

01 Purpose.

This directive establishes policy and responsibilities for compliance audits conducted by the Maryland Commission Correctional Standards (Commission).

.02 Scope.

This directive applies to Commission employees conducting Commission-authorized compliance audits.

.03 Policy.

The Commission shall schedule and conduct objective audits of adult places of confinement owned, operated, or authorized by State and local government to ensure compliance with statutory or regulatory requirements.

.04 Definitions.

A. In this directive, the following terms have the meanings indicated.

B. Terms Defined.

- (1) “Adult place of confinement” has the meaning stated in COMAR 12.14.01.01.
- (2) “Approved standards” has the meaning stated in Correctional Services Article, §8-101, Annotated Code of Maryland and specified under COMAR 12.14.0.01.
- (3) Audit.
 - (a) “Audit” has the meaning stated in COMAR 12.14.01.01.
 - (b) “Audit” includes compliance audit.
- (4) “Audit team (Team)” has the meaning stated in COMAR 12.14.01.01.
- (5) “Facility audit coordinator” means a facility employee assigned to facilitate audit activities with an audit team.

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- (6) “Managing official” has the meaning stated under Correctional Services Article §1-101, Annotated Code of Maryland.

.05 Responsibility.

A. The Executive Director of the Commission on Correctional Standards (Executive Director), or a designee, shall:

- (1) By the end of each calendar year, prepare and distribute to affected managing officials a schedule of audits for the following calendar year.
- (2) Identify members of a Team and designate a Commission employee as the Team Leader.
- (3) Establish, maintain, and distribute a Commission-approved manual detailing audit procedures.

B. A Team Leader (Leader):

- (1) Is the on-sight administrator during an audit;
- (2) Shall accept and respond to inquiries concerning the audit from the Commission and facility employees; and
- (3) Shall:
 - (a) Facilitate audit entrance, daily, and exit briefings with designated facility personnel;
 - (b) Conduct a daily review and discussion with the Team audit activities and related findings;
 - (c) Coordinate inmate and detainee interviews; and
 - (d) Appropriately brief the Executive Director on audit activities.

C. Audit Activities:

- (1) At least 60 days before a scheduled audit, the Executive Director, or a designee, shall forward to the managing official responsible for the facility subject to the audit pre-audit material.
 - (a) The pre-audit materials are provided to assist the managing official to prepare for the upcoming audit.
 - (b) As required under COMAR, the managing official shall respond to the Executive Director as instructed in the pre-audit material.
- (2) The designated Leader shall:
 - (a) Coordinate pre-audit or other administrative activities with the individual designed by the managing official as the facility’s audit coordinator;
 - (b) Schedule and conduct an audit entrance briefing to discuss and schedule audit activities with:

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- (i) The facility managing official;
 - (ii) Other facility personnel designated by the managing official to participate in the audit; and
 - (iii) The Team.
- (3) On the first day of an audit, the Team shall conduct a tour of the entire facility subject to the audit to assess the maintenance, environmental, and sanitation conditions.
- (a) If appropriate, the Team shall document deficiencies identified during the tour;
 - (b) Before leaving the facility on the first day of an audit, the Leader shall communicate tour findings to the facility audit coordinator; and
 - (c) If deficiencies were identified under .05(3)(a) of this directive and those deficiencies could be corrected before the end of the audit, the Team, before conducting an exit briefing, shall re-inspect the status of the identified, correctable deficiencies.
- (4) At the end of each day of an audit, the Leader shall communicate preliminary audit findings for that day to the managing official, or designee.
- (5) After completing actual audit activities, but before finalizing the audit results and conducting an exit briefing, the Leader shall review and discuss the audit and findings with the Executive Director.
- (6) After review and discussion under .05C(5) of this directive, the Leader shall:
- (a) Conduct an exit briefing with individuals identified under .05C (2)(b) of this directive; and
 - (b) Within 30 calendar days of completing the exit briefing prepare an audit report and forward a copy of the report to the:
 - (i) Executive Director; and
 - (ii) Appropriate managing official.

D. Post Audit Activities:

- (1) A managing official receiving an audit report under .05C(6)(b) of this directive shall comply with review and response requirements established in COMAR.
- (2) Upon receipt of a response under .05D(1) of this directive, the Leader shall complete a final audit report including, if appropriate, a compliance plan and forward the document to the Executive Director.
- (3) Upon receipt of the final audit report, and if appropriate, a compliance plan under .05D(2) of this directive, the Executive Director, within 60 calendar days of the audit exit briefing, shall submit the final audit report and, if appropriate, compliance plan to the Commission for review and approval.

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- (4) The Executive Director shall ensure appropriate actions are taken to monitor Commission-approved compliance plan activities.

.06 Attachment(s).

There are no attachments to this directive.

.07 History

This directive supersedes provisions of any other prior existing agency communication with which it may be in conflict.