



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI: DIR
Number: 1311.2B
Supersedes: 1311.2A (6/24/02)
Date: February 28, 2008
Subject: Management Controls

1. **PURPOSE AND SCOPE.** To provide guidelines to maintain, evaluate and improve DC Department of Corrections (DOC) management controls.
2. **POLICY.** It is DOC policy to annually inspect and review policies and procedures, operations and programs to evaluate compliance and to take appropriate corrective action when warranted.
3. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. Programs shall comply with applicable laws, regulations, policies, procedures and court ordered provisions.
 - b. Problems shall be identified and corrected at the earliest stage possible.
4. **DIRECTIVES AFFECTED**
 - a. **Directive Rescinded**
 - 1) PS 1311.2A Management Controls (3/3/01)
 - 2) PS 1311.3 Management Controls – OICCA Audit Process (6/24/02)
 - 3) PS 1311.4 Management Controls – Liaison with External Audit Authorities (6/24/02)
 - 4) PS 1311.5 Management Controls – Internal Reviews (6/4/02)
 - b. **Directives Referenced**
 - 1) PS 1311.1 Management Controls – Research Activities

- 2) PS 1110.2 The Directives Management System
- 3) PS 2120.3 Food Service Program
- 4) PS 2920.1 Fire Safety Inspections
- 5) PS 2920.2 Abatement Plan of Action Program
- 6) PS 2920.8 Environmental Safety and Sanitation Inspections
- 7) PS 4090.3 Fiscal Management

5. **AUTHORITY.** DC Code § 24-211.02, Powers; Promulgation of Rules

6. **STANDARDS REFERENCED**

- a. American Correctional Association 2nd Edition Standards for Administration of Correctional Agencies: 2-CO-1A-06, 2-CO-1A-07, 2-CO-1A-08, 2-CO-1A-09, 2-CO-1A-20, 2-CO-1A-21, 2-CO-1A-22, and 2-CO-1A-23, 2-CO-1B-07, 2-CO-1F-01, 2-CO-1F-04, 2-CO-1F-10 and 2-CO-1F-11.
- b. American Correctional Association 4th Edition Standards for Adult Local Detention Facilities: 4-ALDF-7D-01, 4-ALDF-7D-02, and 4-ALDF-7D-09.

7. **MEASURABLE GOALS AND OBJECTIVES.** DOC has established measurable goals and objectives that are reviewed at least annually and updated, as needed. Goals and objectives are used to develop the annual performance-based budget.

8. **STRATEGIC PLANNING.** It is intended that strategic planning be a continuous process, and that the use of audit findings and strategic planning objectives or action steps be closely interrelated. By identifying issues through auditing and the program review process, strategic planning/development ensures that corrective action is fully implemented. Information may be used from the following sources:

- a. Policies and procedures
- b. Management assessments
- c. Internal reviews
- d. Audits
- e. Legal Counsel

- f. Other information sources (Chief Financial Officer, Inspector General, new legislative regulations, national standards, etc.)
 - g. Information analysis and synthesis (Program Summary Reports, etc.)
 - h. Formulation of strategic plans and goals
9. **MANAGEMENT CONTROLS.** DOC shall maintain a system of management controls that enables managers to regularly assess program performance, test the adequacy of management controls, assess achievement of goals and objectives and as necessary, implement program changes in response to findings.
- a. *Visits*
 - 1) The Director may conduct periodic announced and unannounced inspections of overall operations of each facility, central office and support services area.
 - 2) *The Risk Assessment and Control Committee.* Chaired by the agency Risk Manager, the committee shall meet monthly to resolve issues including environmental safety and sanitation conditions, fire safety and facilities maintenance.
 - b. *Inspections*
 - 1) Staff conduct and document daily environmental safety and sanitation of inmate housing units and food services. Maintenance repair requests are electronically generated based upon daily inspections.
 - 2) Managers at the CDF conduct and document weekly visits and inspections of the entire facility.
 - 3) Environmental and Fire Safety staff conduct and document monthly inspections.
 - c. *Internal Reviews.* Program Managers shall monitor their operation in addition to conducting not less than annual Internal Reviews to determine compliance and shall take appropriate corrective actions.
 - d. *Audits.* DOC inspects and reviews operations and programs at least annually to evaluate compliance with policies and procedures. A report describing findings and corrective plans is submitted to the appropriate authority responsible.
 - e. *Compliance Monitoring.* Designated managers and contract monitors regularly inspect/monitor contractor compliance.

- f. *Research.* DOC uses statistical data to evaluate overall performance.
- g. *External Audits*
 - 1) The DC Department of Health regularly audits the CDF.
 - 2) The DC Fire and Emergency Medical Services conducts an annual fire safety audit.
 - 3) Chief Financial Officer for the DC Government conducts annual fiscal audits.
 - 4) An independent outside source annually tests and certifies the safety of the CDF potable water supply.
 - 5) The Office of the Inspector and the Department of Consumer and Regulatory Affairs periodically conduct audits.
- h. *Corrective Actions.* Corrective action is taken and documented pursuant to PS 2920.2 Abatement Plan of Corrective Action.



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