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	POLICY AND PROCEDURE		SUPERSEDES:	1311.2C November 5, 2012	
			OPI:	DIRECTOR	
			REVIEW DATE:	June 5, 2014	
			Approving Authority	Thomas Faust Director	
SUBJECT:	QUALITY ASSURANCE AND ACCOUNTABILITY (NEW ISSUANCE)				
NUMBER:	1311.7				
Attachments:	None				

SUMMARY OF CHANGES:

Section	Change
Page 1, Subject	<i>"PS 1311.2-Management Control" has been rescinded and replaced with "PP 1311.7 -Quality Assurance and Accountability".</i>
Page 2, § 1	<i>Section #1 has been revised.</i>
Page 3, § 7	<i>Section #7 ACA Standard 4-ALDF-7D-01 was removed.</i>

APPROVED:



Thomas Faust, Director

06/05/2013

Date Signed

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- 3) PS 2120.3 Food Service Program
- 4) PS 2920.1 Fire Safety Inspections and Abatement
- 5) PS 2920.2 Fire Service Impairment Program
- 6) PS 2920.4 Inspections and Abatement Program
- 7) PS 2920.8 Environmental Safety and Sanitation
Inspections

6. **AUTHORITY.** DC Code § 24-211.02, Powers; promulgation of rules

7. **STANDARDS REFERENCED**

- a. American Correctional Association 4th Edition Standards for Adult Local Detention Facilities: 4-ALDF-7D-02, and 4-ALDF-7D-09.

8. **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.

9. **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 to effectuate the strategic planning process:

- 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

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10. **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, headquarters and support services areas.
- 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 the daily environmental safety and sanitation conditions of inmate housing units and food service areas. 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 with internal policies and procedures and applicable laws and regulations, and shall take appropriate corrective actions.

d. *Audits.* DOC inspects and reviews operations and programs at least annually to evaluate compliance with internal policies and procedures and applicable laws and regulations. A report describing findings and corrective plans is submitted to the appropriate responsible authority.

e. *Compliance Monitoring.* Designated managers and contract monitors regularly inspect/monitor contractor compliance with internal policies and procedures, applicable contract provisions, and applicable laws and regulations.

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- 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 conduct 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 General 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, "*Fire Safety Inspections and Abatement*", PS 2920.4, "*Inspections and Abatement Program*" and PS 2920.8, "*Environmental Safety and Sanitation Inspections*".