



AUDITS- Find the Landmines before you step on one!



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What are Audits? Quality Control!

- Quality Control is a procedure or set of procedures intended to ensure that a product or service performs to a defined set of quality criteria or meets requirements of the organization.





What is Quality Control?

- In a corrections setting how do we ensure quality control?





Corrections- Quality Control

- We run audits and checks to make sure our processes and procedures help ensure safety and security in the facility.
- In addition, we audit employees within the facility to ensure that duties and responsibilities are being carried out in accordance with agency expectations.
- We have supervisors to instruct and oversee performance.



What Is the Purpose of Audits?



To get your boss off your back
with as few beatings as possible.



What Is the Purpose of Auditing?



External audits often don't work
(putting on a show isn't reflective of ops)



What is the Purpose of Quality Control?

The purpose of a Quality Auditing Program is to discover and verify the good, bad and the ugly

BEFORE

it bites you, causes harm or embarrassment to your operation.

Example- Successful Suicide



What types of auditing programs can take place in a corrections facility?

- A facility can conduct their own Quality Control Program.
- Any supervisor can conduct Quality Control with the staff they supervise.
- A facility can have an outside auditor come in and conduct Quality Control.



As a member of your agency, what are some areas you can Audit?

It's important to make sure your officers are doing
what is required of them.

- Administrative Items
- Operational Items



Corrections officers will not do what you expect, but what you inspect!





Administrative Items to Audit

It's important to make sure your officers are doing the job they should be doing.

1. Attendance
 - a. Sick Leave Usage
 - b. Tardiness
 - c. Time Sheets
 - d. Leave Balances





Administrative Items to Audit

It's important to make sure your officers are doing the job they should be doing.

2. Training

a. Annual Training Completed?

b. Missed any required Training?

CPR Training, Sexual Harassment Training





Operational Items to Audit

There are numerous items an agency can audit.
Items can be routine duties or more critical functions.

You shouldn't audit EVERYTHING, you don't have that kind of time.

Pick and choose both random items and those that are critical to the operation.

Video surveillance is an excellent tool for conducting quality control.



Operational Items to Audit

What are some random items you can audit?

1. Pat Searches
2. Grievances
3. Shakedowns- How often, how they're completed.
4. Schedules
5. Log entries
6. Transport procedures





Operational Items to Audit

What are some critical items you can audit?

1. Release procedures
2. Security Rounds
3. Med/Pill Pass
4. Suicide watch
5. Intake process
6. Log entries





How to do an Operational Auditing Program

It depends on what items you choose to audit for your Quality Control.

1. Keep a log, document Quality Control carefully.
 - It's important that you track and log the results to show your supervisors that you're doing your job.



How to do an Audit

It depends on what items you choose to audit.

1. Keep a log, document the audit carefully.

- Keep a time-line if you're reviewing video.
- If your Audit ever comes into question, it should be organized, and you can prove each contention you make.
- Document your observations and your conclusions.
- Put them into memo form and forward the Audits results to your supervisor along with recommendations.



What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

If everything looks good?

1. No further action required. Document your findings and store the QC audit for future reference.



**NO
FURTHER
ACTION
REQUIRED**



What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

Is there something every officer is doing wrong
or overlooking?

Recommend putting out a reminder to staff.

Many times staff just simply need to be
reminded of a process or a policy. Nothing
wrong with a healthy reminder.

What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

You've found officers with minor performance issues.

Talk or coach officers. Provide instructions. Put them on notice.



What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

You have discovered instances of significant performance issues or repeated violations.

Document your findings and issue discipline.





What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

You find serious performance issues in your audit that are a major threat to safety and security.

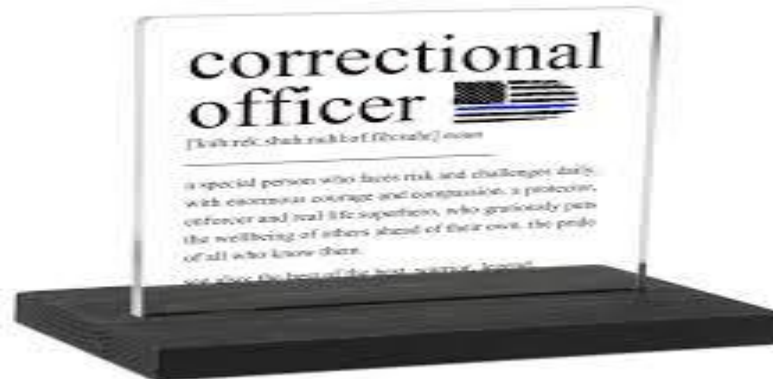
Document your findings and recommend major discipline up to termination.

What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

You find individual officers doing an outstanding job.

Recommend commendation. Find a way to give those employees the recognition they deserve!



What do you do with your results?

What Type of Recommendations?
That Depends on your findings!

Through your observations you may find that there may be a need for:

1. A change in policy.
2. Additional training.
3. A change in practice.





Why is it important to keep a record and carefully document Quality Control?

- Many lawsuits claim a “Failure to Supervise” when they bring action against a corrections facility. Your audit is great proof of supervision! Quality Control helps you to defend against claims of Failure to Supervise.
- If you must discipline an employee and the employee appeals, it's important to have your Quality Control documentation in good order.



You must not ignore the results of the audit!

- You must take action on the findings of your Quality Control Audit.
- If you ignore the results of Quality Control Audit, you may be accused of being “Deliberately indifferent” to the problems you discover.
- Where could that cause a facility problems?



Memorialize the Documentation

- Write a Quality Control Report identifying the item you were auditing.
- Detail the result of the audit and any corrective actions taken. ie. Additional training, an email reminder sent to all staff, discipline, coaching etc.
- Memorialize the report. Don't ignore the issue, check on it again in 6 months! Document any improvements in performance and write another report. Again, take corrective action.



A True Story

Pima County Sheriff's Department

- Conducted Quality Control Audit on security rounds in Administrative Segregation-
 - Security rounds were to be conducted every 30 minutes.
 - Overall the audit went very well. The vast majority of officers were doing their job and completing their rounds.
 - One officer was found to be deficient. He was conducting rounds every 45 minutes to an hour. He had gotten complacent and lazy. He was normally a good officer, he just hit a rut.
 - He was given discipline, and I talked to him personally.



A True Story

Pima County Sheriff's Department

- Conducted a Quality Control audit on security rounds in Administrative Segregation-
- Although I was happy with the overall results of the audit, I was disappointed in this particular officer.
- When I talked to him I expressed my disappointment.
- The officer apologized. Took the discipline like a grown-up. He promised me that his poor performance would never happen again.
- I told the officer I would be watching his performance very closely.



A True Story

Pima County Sheriff's Department

- Conducted a Quality Control audit on security rounds in Administrative Segregation-
- Less than 2 weeks later an inmate attempted to commit suicide in his housing unit by hanging himself.
- The officer, who was conducting his rounds per policy, discovered the inmate hanging and was able to save his life.
- The officer came back and thanked me. He explained that my audit had saved his job.
- Quality Control and Self Audits are can be extremely beneficial to your facility!



Now you know why it's important to conduct Quality Control audits on your officers.

How do you make sure your facility is Constitutionally safe?





Inside-Out Self-Audits

Verify Compliance thru Outside
Quality Control Inspections

An Inside-Out Quality
Control audit can be
extremely beneficial in
making sure your facility is
constitutionally safe.



Making Your Facility Constitutionally Safe

Is Everybody Singing From the Same Hymnbook?

- Inconsistencies between shifts
- Are memos incorporated into your policy appropriately?
- Do your standards, policy, operations and training all correlate and support each other?



Policy v. Practice

Are you actually doing what you think you are doing?

Are routine procedures consistently performed correctly?

Quality Control can Identify Problems!



Consistency



Consistency is developed by:

- Good policy and procedure
- Ongoing training
- Ongoing self audits
- Verification inspections



Do you audit your video randomly?

What can it tell you about policy and procedure? Training?





Verification Inspections



Ronald Reagan
Signing the INF Treaty, 1987



Verification Inspections

- Verifies what you discovered during the Quality Control self audit
- May provide support for non-compliant areas
- Provides unbiased documentation to:
 - Witness compliance
 - Create documentation that can be used to put county commissioners on notice.



What happens if you or your jail aren't perfect?



Perfection isn't required by law. You just have to prove you were not deliberately indifferent.



Designing Effective Detention Quality Control Systems

Specifically for Corrections

- Inside – Out Approach
- User Friendly and affordable
- Risk management focused (documentation, deliberate indifference, corrective action, etc.)
- Based on what the law requires
- Easily modified /updated
- Not scored
- Run interference as needed (legislators, educate county commissioners, ICE, DOC)

= Web-based



Making Your Jail Constitutionally Safe

Step One:

What should be “inspected”
for Quality Control Purposes?

- Inspect what the LAW requires
= Legal-Based Guidelines (federal, circuit, state)



Making Your Jail Constitutionally Safe

Step Two: Documentation

- Policy
- Training
- Proofs



Making Your Jail Constitutionally Safe

Step Three: Corrective Action





CORRECTIVE ACTION



As long as its documented!

- Email Reminder
- Briefing
- Training
- Memorandum
- Meeting
- Evaluations



Making Your Jail Constitutionally Safe

Step Four: Trend Analysis



Follow up! See improvements in 6 months!

Track Changes and Improvements





The Benefits of Quality Control

1. Helps ensure compliance with policy and procedure.
2. Proves your agency supervises! (ie Litigation)
3. Running a better facility.
4. Officers tend to perform better when they know they're being watched.
5. Finds the landmines before you step on them!
6. Assists the agency in accountability and expectations





Future Webinars!

- **Session 4: Know the Law – The Importance of Keeping Up with the Law Pertaining to Corrections**
August 5, 2026 from 11:00 AM to 12:00 PM -
- **Session 5: Staff Retention: How to Reduce Turnover**
September 2, 2026 from 11:00 AM to 12:00 PM -
- **Session 6: Beneficial Training to Reduce Liability**
October 7, 2026 from 11:00 AM to 12:00 PM -
- **Session 7: Inmate Death – How to Reduce Liability, Suicide Prevention Policy**
November 4, 2026 from 11:00 AM to 12:00 PM -
- **Session 8: Procedures for Suicide Prevention – Proactive Steps Your Agency can take to help Prevent Suicide in your Facility**
December 2, 2026 from 11:00 AM to 12:00 PM -



What Can NIJO Do for You?

- On-Line DACOTA training
- BASIC Academy- ABC Academy for beginners
- Accreditation- Become a NIJO Accredited Facility!
- Legal Based Jail Guidelines- Corrections Law at your fingertips!
- Special Services- Staffing Analysis, Operational Assessments, In-Person Training, etc.
- Legal Based Policy!
- ELITE Academy for Jail Administrators!

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