



INTERNAL MANAGEMENT POLICY & PROCEDURE


Applicability: _ ADULT Operations Only _ JUVENILE Operations Only DEPARTMENT-WIDE

IMPP #: 01-102D

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ADMINISTRATION: Policy and Procedure Compliance and Operational Audits

Original Date Issued: 01-18-17 Replaces IMPP Issued: 01-18-17 **CURRENT EFFECTIVE DATE:** 12-21-21

Approved By: , Secretary Next Scheduled Review: 01/2023

POLICY

Internal Management Policies and Procedures (IMPPs) issued by the Secretary of Corrections are to be applicable to all facilities, units, and offices of the Department. Each employee is to be knowledgeable of the IMPPs, particularly those directly related to the performance of their duties. Appointing authorities are to be responsible for ensuring compliance of their respective facility, office or unit of operation and are to be accountable to their immediate supervisor and, ultimately, to the Secretary for compliance with IMPPs.

Appointing authorities are to be given a high degree of flexibility in determining the methods by which compliance is ensured. Methods used may range from the establishment of specific performance expectations, within the context of employee position descriptions and performance reviews, to the establishment of formal audit, inspection, and/or review processes.

All departmental operations (Facilities Management Division, Parole Services, Juvenile Services, Fiscal Services, Human Resources/Staff Development Unit, and Programs) are to be annually audited in a manner and scope prescribed by the responsible appointing authority. Methods used may range from compliance audits, inspections, and performance reviews. For Juvenile Services, the Deputy Secretary or designee is to serve as the Inspector General in accordance with KSA 75-7024.

DEFINITIONS

Appointing Authority: As defined in IMPP 02-109D, any person or group of persons empowered by the constitution, statute, or by lawfully delegated authority to make appointments to positions in the State service pursuant to K.A.R. 1-2-9. Any time this term is used in this IMPP, it can be read as referring to the appointing authority or designee.

Management Team (MT): A panel of Central Office management staff designated by the Secretary. Currently this panel is comprised of the Secretary; Deputy Secretaries; Chief Legal Counsel; Executive Director of Contracts and Finance; Executive Director of Programs and Risk Reduction; Executive Director of Public Affairs; Human Resources Director; Information Technology Director; Director of Victim Services; Director of Enforcement, Apprehension and Investigation; and Prisoner Review Board Chair.

PROCEDURES

I. Policy and Procedure Oversight

A. Audits by the Secretary

1. Upon authorization of the Secretary, IMPP oversight audits may be conducted at any facility or office to ascertain the level of compliance with any IMPP or group of IMPPs.
2. Such audits may be conducted by individuals or by teams of individuals designated by the Secretary or member of the Management Team.

3. Appointing authorities are to receive advance notice of an audit and are to assist, as necessary and appropriate, in preparing for the audit.
4. The results of IMPP oversight audits are to be reported in writing to the Secretary and appointing authority through the appropriate Management Team member. The report is to:
 - a. Indicate the general level with which practice conforms with written policy and procedure;
 - b. Note specific practices which deviate from written policy and procedure; and,
 - c. Whenever appropriate, include recommendations for policy and procedural change.

II. Operations Audits

- A. The Deputy Secretaries, the Executive Director of Contracts and Finance and the Human Resources Director are to annually audit their areas of operation in a manner and scope that they see fit and report the findings of the same to the Secretary of Corrections.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff, residents, and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees, residents or offenders, or an independent duty owed by the Department of Corrections to employees, residents, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure are not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

None.

REFERENCES

KSA 75-7024
K.A.R. 1-2-9
IMPP [02-109D](#)

HISTORY

01-18-17 Original
12-21-21 Revision 1

ATTACHMENTS

None.