



Department of Juvenile Justice  
Administrative Procedure

<b>Administrative Procedure VOL.I-1.5-02</b>	<b>Statutory Authority:</b> Title 66 of the <u>Code of Virginia</u>
<b>Subject: Self-Audits of Programs and Facilities Subject to Certification Audits</b>	<b>Regulations:</b> 6VAC35-20-61
	<b>ACA #:</b> 4-JCF-6A-09

**I. PURPOSE**

The purpose of this administrative procedure is to establish uniform guidelines for conducting self-audits of juvenile residential facilities, secure juvenile detention centers, juvenile correctional centers (JCCs), and court service units (CSUs).

**II. SCOPE**

This administrative procedure applies to juvenile residential facilities, secure juvenile detention centers, JCCs, and CSUs regulated by the Board of Juvenile Justice (Board).

**III. DEFINITION**

**Annual** - Within thirteen months from the previous occurrence or event.

**Board** - The Virginia Board of Juvenile Justice.

**Certification audit** - The process by which designated personnel assess a program's or facility's compliance with applicable regulatory requirements, which includes an on-site visit, the results of which are reported in a certification audit report for certification action as provided for in 6VAC35-20-100. All facilities and CSUs regulated by the Board shall be subject to certification audits.

**Certification Manager** - The manager of the DJJ's Certification Unit.

**Court Service Unit (CSU)** - A locally- or state-operated entity that provide services to a juvenile court, including intake, investigations and reports, probation, parole, case management, and other related services in the community.

**Critical regulatory requirements** - Those regulatory requirements for programs and facilities, as defined by the Board that must be maintained at 100% compliance.

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***Detention center or secure juvenile detention center*** - A local, regional, or state, publicly or privately operated secure custody facility that houses individuals who are ordered to be detained pursuant to the Code of Virginia. This term does not include juvenile correctional centers.

***Director*** - The Director of the Department of Juvenile Justice.

***Health, welfare, or safety violation*** - Any action or omission that causes an immediate and substantial threat to the health, welfare, or safety of the juveniles or staff in juvenile residential facilities.

***Juvenile correctional center (JCC)*** - A public or private facility, operated by or under contract with the DJJ, where 24-hour-per-day care is provided to residents under the direct care of the DJJ.

***Program administrator or Facility administrator*** - The individual responsible for the operations of a program or facility subject to regulatory requirements.

***Regional Program Manager*** - A manager employed by the DJJ to provide direct supervision to JCC superintendents and CSU directors.

***Self-Audit Team Leader*** - An individual identified by the program or facility administrator who is tasked with coordinating or conducting the self audit. The self audit team leader is responsible for the oversight and implementation of the self-audit process.

***Self-Audit*** - The process by which a program or facility assesses its own compliance with applicable regulatory requirements.

***Regulatory requirement*** - A provision of a regulation promulgated by the Board to which a program or facility must adhere. A section, subsection, or subdivision of a regulation may include multiple regulatory requirements as provided for in 6VAC35-20-85.

***Residential facility or Juvenile residential facility or Facility*** - A publicly or privately operated facility or placement where 24 hour-per-day care is provided to residents who are separated from their legal guardians and that is certified pursuant to this chapter. As used in this regulation, the term includes juvenile group homes, detention centers, and JCCs.

***Variance*** - A Board action that relieves a program or facility from having to meet a specific regulatory requirement or develop a corrective action plan for that regulatory requirement for a determined period of time.

***Waiver*** - A formal statement from the DJJ temporarily excusing a program or facility from meeting a noncritical regulatory requirement pending Board action on a formal variance request.

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*Written or in writing* - The required information is communicated in writing. Such writing may be available in either hard copy or in electronic form.

#### **IV. PROCEDURES**

##### **A. Self-Audits Generally**

1. The self-audit process is intended to serve as a compliance assistance tool. Self-audits provide facilities and CSUs with an opportunity to self identify areas of noncompliance and initiate corrective action prior to the Certification Unit conducting a certification audit.
2. All programs and facilities subject to certification audits shall conduct at least one self-audit annually, in accordance with 6VAC35-20-61 of the Virginia Administrative Code.
3. A self-audit shall be conducted annually during each calendar year beginning in January 2014. A self-audit does not need to be conducted if a certification audit has been or is scheduled to be completed within the same year.
4. To prepare for the self-audit, program and facility administrators may request assistance and information from the Certification Manager including:
  - a. Self-audit compliance checklist; and
  - b. The process for randomly selecting materials to be reviewed by the self-audit team.
5. Such request for assistance or information must be made 30 days prior to the self-audit.
6. The self-audit compliance checklist shall be posted on the DJJ "S" Drive and the DJJ Website.
7. During the self-audit it is strongly encouraged that the team completes the self-audit checklist.
8. The self-audit report shall contain the following information:
  - a. Program or facility information (name, address, administrator, contact information);
  - b. The date(s) of the self-audit;
  - c. The name and contact information of the self-audit team leader;
  - d. Names of the self-audit team members; and

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- e. A summary of any findings of noncompliance and any corrective actions taken.

**B. Self-Audit Review**

1. Court Service Units and Juvenile Correctional Centers

- a. Within 10 days of completing the self-audit, the summary report shall be submitted to the Regional Program Manager for review.
- b. The Regional Program Manager shall immediately report any health, welfare, or safety violations to the Certification Manager, and the Deputy Director of Operations.

2. Secure Juvenile Detention Centers and Juvenile Group Homes

- a. Within 10 days of completing the self-audit the summary report shall be submitted to the program or facility administrator for review.
- b. The program or facility administrator shall immediately report any health, welfare, or safety violations to the Certification Manager, Community Programs Manager, and the Deputy Director of Operations.

3. Variance Requests

If the self audit identifies a need for a variance, then the program or facility administrator may submit a request for a variance in compliance with 6VAC35-20-92 and shall include the following:

- a. The noncritical regulatory requirement for which a variance is requested;
- b. The justification for the request;
- c. Any actions taken to come into compliance;
- d. The person responsible for such action; and
- e. The specific time period requested for this variance.

4. Waivers

The Director, may in accordance with 6VAC35-20-93, grant a waiver temporarily excusing a program or facility from meeting the requirements of the regulations. A waiver shall only be granted when the program or facility is presented with emergency conditions or circumstances which make compliance with the regulatory requirement either impossible or impractical.

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5. Certification Audit

- a. The self-audit report shall be made available to the Certification Team at the next certification audit.
- b. During a certification audit, when there is a finding of noncompliance, the facility or program may submit the results of any subsequent corrective action that corrected the noncompliance.
- c. The certification team shall document this information in the certification audit report.

**V. RESPONSIBILITY**


Program and facility administrators of juvenile residential facilities, secure juvenile detention centers, JCCs, and CSUs are responsible for implementing this administrative procedure. The Certification Unit, in coordination with the Deputy Director of Operations, shall be responsible for updating this administrative procedure as needed.

**VI. INTERPRETATION**

The Director of Policy and Planning is responsible for interpreting this administrative procedure.

**VII. CONFIDENTIALITY**

All procedures are DJJ property and shall only be used for legitimate business purposes. Any redistribution of the documents or information contained in the DJJ's procedures or bulletins shall be in accordance with applicable state and federal statutes and regulations and all other DJJ procedures. Any unauthorized use or distribution may result in disciplinary and/or criminal action, as appropriate and applicable.

<b>Approved by:</b> 	<b>Date:</b> 6/5/14
<b>Effective Date:</b>	<b>Office of Primary Responsibility:</b> Certification Unit
<b>Supersedes:</b> N/A	<b>Forms:</b> Self-Audit Compliance Checklist