



DEBRA K. DAVENPORT, CPA
AUDITOR GENERAL

STATE OF ARIZONA
OFFICE OF THE
AUDITOR GENERAL

WILLIAM THOMSON
DEPUTY AUDITOR GENERAL

March 27, 2003

The Honorable Robert Blendu, Chair
Joint Legislative Audit Committee

The Honorable John Huppenthal, Vice Chair
Joint Legislative Audit Committee

Dear Senator Blendu and Representative Huppenthal:

Our Office has recently completed a 24-month followup of the Arizona Department of Corrections—Security Operations regarding the implementation status of the 17 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in December 2000 (Auditor General Report No. 00-20). As the attached grid indicates:

- 9 of the 17 recommendations have been implemented;
- 6 of the 17 recommendations are in the process of being implemented; and
- 2 recommendations have not been implemented.

Unless otherwise directed by the Joint Legislative Audit Committee, this report concludes our follow-up work on the Department's efforts to implement the recommendations resulting from the December 2000 performance audit.

Sincerely,

Debbie Davenport
Auditor General

Attachment

cc: Mr. Charles Ryan, Acting Director
Arizona Department of Corrections

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING I: Some Prison Facilities' Designs Continue to Pose Security and Safety Problems

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
<p>The Department Should:</p> <p>1. Open the remaining units at APC-Lewis as soon as staff is available to do so.</p>	<p>Implementation in Process</p>	
<p>2. Cease using tents at all complexes as soon as the inmate population can be transferred to other housing units. Because some of the tents have been designated as part of the Department's permanent bed inventory, the Department should develop a plan (which would require legislative approval) to eliminate them.</p>	<p>Implementation in Process</p>	
<p>3. Develop plans for closing the Alhambra/Flamenco and Aspen Units at ASPC-Phoenix, and replace those units.</p>	<p style="text-align: center;">Not Implemented</p>	<p>The Department has not developed any plans for closing the Alhambra/Flamenco and Aspen units. The Department requested funding from the Legislature for a new reception center and mental health facility which would allow them to close the Alhambra/Flamenco and Aspen units. The Department planned to replace these facilities depending on the availability of funding for the proposed Tucson II complex. However, the funding for construction of Tucson II was not included in the Department's 2003 appropriation. The Department is unaware of when this funding will be appropriated.</p>

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING I: Some Prison Facilities' Designs Continue to Pose Security and Safety Problems (Cont'd)

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
4. Take immediate steps to lower the partitions in Florence's South Unit dormitories to enhance visibility.	Implemented at 6 months	
5. Add one correctional officer to each ASPC-Florence South Unit dormitory building. Absent the ability to provide additional staffing, these dormitories should be replaced.	Implementation in Process	
6. Develop a plan for the future replacement of Quonset huts and modular housing units.	Not Implemented	Although the Department agrees with this recommendation, it does not anticipate funding to replace the units. The Department has indicated that it will develop a plan and incorporate it into its capital replacement budget and bed plan.
7. Relocate the ASPC-Tucson warehouse outside the vehicle entrance and allow only one vehicle at a time to enter the sally port, and correct the sally port design problem at ASPC-Safford's Fort Grant unit that currently requires both gates to be open simultaneously for trucks to enter or exit the unit.	Implemented at 24 months	

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING I: Some Prison Facilities' Designs Continue to Pose Security and Safety Problems (Concl'd)

8. Explore options to modify sight lines at control rooms at ASPC-Tucson and ASPC-Perryville to enhance inmate surveillance.	Implemented at 6 months	
--	--------------------------------	--

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING II: The Department Should Continue to Improve Inmate Management

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Department should develop and implement policies for a controlled movement and activity pass system.	Implemented at 12 months	
2. The Department should continue to ensure that staff at all prisons consistently follow inmate management practices.	Implementation in Process	
3. The Department should analyze and determine the appropriate number of staff needed to adequately monitor inmate movement and activity.	Implementation in Process	
4. Once this analysis is complete, the Department should assign staff appropriately to critical posts and, if necessary, request authorization to increase its complement of FTEs.	Implementation in Process	

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING III: Most Other Security Practices Are Sound, but Some Can Be Improved

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Department should adopt a policy requiring every unit and complex to conduct simulated emergency key runs involving all staff to enable management to ascertain if keys will function for each of them and if they can achieve timely access to all areas of the facility.	Implemented at 12 months	
2. The Department should adopt a policy requiring every unit and complex to conduct security challenges, such as having someone use another employee's identification card to gain entrance to a facility.	Implemented at 6 months	
3. The Department should develop and implement uniform policies requiring medical staff to use a liquid form of narcotics and psychotropic drugs whenever possible, as well as dispense unit doses and apply a "watch/swallow" regimen in connection with all such medications.	Implemented at 6 months	

ARIZONA DEPARTMENT OF CORRECTIONS
Security Operations
24-Month Follow-Up Report to
Auditor General Report No. 00-20

FINDING III: Most Other Security Practices Are Sound, but Some Can Be Improved (Concl'd)

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
<p>4. The Department should cease the practice of permitting inmates to enter any tool room except to perform housekeeping duties under direct staff supervision. Furthermore, inmates should never be allowed to help conduct tool inventories. The Department should monitor this through its internal audits.</p>	<p style="text-align: center;">Implemented at 6 months</p>	
<p>5. The Department should continue its pilot program of body alarms at ASPC-Eyman and, if successfully implemented there and determined to be cost-effective, adopt their use for all appropriate security staff.</p>	<p style="text-align: center;">Implemented at 12 months</p>	