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AUDITOR GENERAL

**STATE OF ARIZONA**  
**OFFICE OF THE**  
**AUDITOR GENERAL**

WILLIAM THOMSON  
DEPUTY AUDITOR GENERAL

October 20, 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 Department of Corrections—Administrative Services and Information Technology regarding the implementation status of the 9 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in August 2001 (Auditor General Report No. 01-18). As the attached grid indicates:

- 8 of the 9 recommendations have been implemented; and
- 1 of the 9 recommendations is in the process of being 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 August 2001 performance audit.

Sincerely,

Debbie Davenport  
Auditor General

Attachment

cc: Ms. Dora B. Schriro, Director  
Arizona Department of Corrections

**AZ DEPARTMENT OF CORRECTIONS**  
**Administrative Services and Information Technology**  
**24-Month Follow-Up Report To**  
**Auditor General Report No. 01-18**

**FINDING I: The Department Can Improve Facilities Maintenance Management**

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
1. The Department should consider forming a prison facilities study committee to establish a facilities master plan and assist in the Department's long-term facilities planning. The committee could also review the Department's current status as part of the Department of Administration building system and recommend any appropriate changes.	Implementation in Process	
2. The Department should identify potential uses of unspent contingency funds starting at the beginning of each fiscal year, and begin prioritizing and planning projects as early as prudently possible.	Implemented at 18 months	
3. The Department should explore the benefits of computerized maintenance management systems to allow the input and tracking of detailed information regarding preventive and corrective maintenance.	Implemented at 18 months	

**AZ DEPARTMENT OF CORRECTIONS**  
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## FINDING II: Insufficient Oversight and Planning Impede Information Technology Efforts

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
<p>1. The Department should continue its recently increased top-management oversight of IT efforts, specifically by:</p> <ul style="list-style-type: none"> <li>a. Continuing monthly IT status reports and meetings; and</li> <li>b. Reviewing IT Division internal staffing and external consultants to ensure they are appropriately allocated to the Department's IT projects.</li> </ul>	<p><b>Implemented at 6 months</b></p>  <p><b>Implemented at 6 months</b></p>	
<p>2. The Department should track, review, and reduce internal IT costs. In particular, the Department should meet regularly with DOA Data Center officials in an effort to understand and reduce expenditures for DOA mainframe computer use; for example, by using DOA's lower non-prime-time processing rates.</p>	<p><b>Implemented at 6 months</b></p>	

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**FINDING II: Insufficient Oversight and Planning Impede Information Technology Efforts (Concl'd)**

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
<p>3. The Department should improve its IT planning by:</p> <p>a. Revising the Department's 3-year IT plan to incorporate needed IT projects, such as completion of a LAN/WAN; and</p> <p>b. Incorporating the IT plan into the Department's strategic plan.</p>	<p><b>Implemented at 6 months</b></p> <p><b>Implemented at 6 months</b></p>	
<p>4. The Department should ensure that its IT project proposals submitted to the Government Information Technology Agency (GITA) contain complete information and demonstrate adequate planning for project development and implementation.</p>	<p><b>Implemented at 6 months</b></p>	