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**AUDITOR GENERAL**

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March 1, 2013

The Honorable Chester Crandell, Chair  
Joint Legislative Audit Committee

The Honorable John Allen, Vice Chair  
Joint Legislative Audit Committee

Dear Senator Crandell and Representative Allen:

Our Office has recently completed an 18-month followup of the Department of Corrections—Oversight of Security Operations regarding the implementation status of the 11 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in September 2011 (Auditor General Report No. 11-07). As the attached grid indicates:

- All 11 recommendations have been implemented.

Unless otherwise directed by the Joint Legislative Audit Committee, this concludes our follow-up work on the Department's efforts to implement the recommendations from the September 2011 performance audit report.

Sincerely,

Dale Chapman, Director  
Performance Audit Division

DC:ss  
Attachment

cc: Charles L. Ryan, Director  
Department of Corrections

# Department of Corrections—Oversight of Security Operations

## Auditor General Report No. 11-07

### 18-Month Follow-Up Report

Recommendation	Status/Additional Explanation
<p><b>Finding 1: Department has improved oversight of private prisons, but should take additional actions to strengthen monitoring</b></p>	
<p>1.1 The Department should carry out its plans to revise its written policies and procedures in January 2012 to reflect changes to the annual audit process. In doing so, the Department should ensure the revised policies and procedures describe when follow-up actions should occur, who should perform follow-up activities, and how the results of these follow-up activities should be reported.</p>	<p><b>Implemented at 12 months</b></p>
<p>1.2 The Department should continue developing and implementing formal training for contract monitoring staff as scheduled for September 2011.</p>	<p><b>Implemented at 12 months</b></p>
<p>1.3 The Department should continue its efforts to compare private and state-run prison services every 2 years and submit the comparisons to the Joint Legislative Budget Committee as required by statute.</p>	<p><b>Implemented at 12 months</b></p>
<p><b>Finding 2: Department should take additional actions to improve compliance with security policies and procedures at state-run prisons</b></p>	
<p>2.1 The Department should enhance its monitoring of officer compliance with policies and procedures by:</p>	
<p>a. Implementing its plan to analyze the GAR inspection and annual audit data to identify trends and patterns in noncompliance to identify systemic or repeat compliance issues.</p>	<p><b>Implemented at 12 months</b></p>
<p>b. Further investigating underlying causes of noncompliance trends identified through its analysis and taking appropriate actions to consistently address those causes throughout the prison system.</p>	<p><b>Implemented at 12 months</b></p>
<p>c. Assessing correctional officers' enforcement of inmate regulations through its annual audit as planned for the 2012 audit cycle and periodically thereafter.</p>	<p><b>Implemented at 12 months</b></p>
<p>2.2 The Department should improve its assessment of officer training needs by:</p>	
<p>a. Providing the Staff Development and Training Bureau with the results of its monitoring activities, including the annual audits, to help determine training needs.</p>	<p><b>Implemented at 12 months</b></p>

Recommendation	Status/Additional Explanation
b. Revising its core competency exams to include additional questions for areas of systemic noncompliance identified through department monitoring activities.	<b>Implemented at 18 months</b>
2.3 The Department should develop and implement additional leadership training for supervisors as part of their required annual training.	<b>Implemented at 12 months</b>
2.4 The Department should implement its plans to revise its post orders by removing content included in the new general post order from the existing post orders and standardizing post order content as appropriate for similar posts across the prison system. In doing so, the Department should ensure that the standardized content for each post order addresses the applicable department policy and procedure requirements that correctional officers are expected to enforce.	<b>Implemented at 12 months</b>
2.5 The Department should continue its efforts to ensure that correctional officers and supervisors record entries in correctional service journals as required and that these journals undergo required supervisory review.	<b>Implemented at 12 months</b>