



STATE OF MICHIGAN
DEPARTMENT OF CORRECTIONS
LANSING

JENNIFER M. GRANHOLM
GOVERNOR

PATRICIA L. CARUSO
DIRECTOR

DATE: May 13, 2008

TO: Executive Office
Office of the Auditor General
House Fiscal Agency
Senate Fiscal Agency
House Judiciary Committee
Senate Judiciary Committee
House Appropriations Sub-Committee on Corrections
Senate Appropriations Sub-Committee on Judiciary and Corrections

FROM: ^{lmm} Connie MacKenzie, SBO Internal Audit Contact for the Department of Corrections

SUBJECT: Auditor General's Performance Audit of the Huron Valley Complex

In accordance with the State of Michigan Financial Management Guide Part VII, Chapter 4, Section 100, I am forwarding a copy of the response to the Auditor General's performance audit of the Huron Valley Complex. The attached response has been accepted by the State Budget Office (SBO).

If you have any questions, please contact me at (517) 241-7342.

Attachment

c: SBO, Office of Internal Audit Services, Operations Division
S. Pike, SBO Analyst
B. Curtis
S. Davis
D. Straub
H. Washington



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March 20, 2008

Mr. Bryan Weiler
Support Services Division
Office of State Budget
George W. Romney Building
111 South Capitol, 5th Floor
Lansing, MI 48913

Dear Mr. Weiler:

In accordance with the State of Michigan, Financial Management Guide, Part VII, attached please find a preliminary summary table and corrective action plans to address the recommendations that were directed at the Department of Corrections within the Office of the Auditor General's audit report of the:

Huron Valley Complex

Questions regarding the preliminary summary table or corrective action plans should be directed to Connie MacKenzie, internal audit liaison, at 517 241-7342.

Sincerely,

DEPARTMENT OF CORRECTIONS

Signature Redacted

Patricia L. Caruso, Director
Attachment
PC/22/cm

c: B. Bock
S. Davis
C. MacKenzie
D. Straub

**Huron Valley Complex
Department of Corrections
Preliminary Summary of Agency Responses to Recommendations
October 2004 through July 2007**

1. Findings/Recommendations DOC complied with:

1, 3, 4, 5, 6, 7, 8, 9, 10

2. Findings/Recommendations DOC will comply with by:

2	07/01/2008
11	05/01/2009

3. Findings/Recommendations DOC disagreed with:

None

**Huron Valley Complex
Department of Corrections
Preliminary Corrective Action Plan
October 2004 through July 2007**

1. Tool Controls

The auditors recommended that HVC maintain proper control over critical and dangerous tools.

Agency Preliminary Response:

HVC agrees with the recommendation and has complied. The tools that could not be located at the time of the audit were located after the test results were reported to facility officials. HVC updated the master tool inventory list and corrected all inaccuracies on the master list during its recent annual tool audit. No tools will be added to any inventory except through the Inspector. All broken tools will be turned into the Inspector along with a tool turn in receipt; the replacement tools will go through the Inspector who will then issue it to the respective area.

HVC created a form which will assist tool supervisors in providing assurance that all daily tool inspections were performed and that all weekly reports were submitted.

The Tool Control Officer is responsible to ensure that all work area supervisors submit monthly tool inspection reports and assurances regarding the daily inspections for their area. The Tool Control Officer will report instances of noncompliance to the appropriate Assistant Deputy Warden for appropriate action.

During its recent annual tool audit, HVC took steps to ensure that all tool inventory lists were properly posted and signed.

2. Prisoner and Cell Searches

The auditors recommend that HVC document all required prisoner searches and cell searches.

The auditors also recommend that DOC develop a formal policy regarding cell searches of inpatient units.

Agency Preliminary Response:

HVC agrees and has taken steps to comply. Regarding prisoner searches, HVC has created spreadsheets to assist supervisors in monitoring compliance. Shift commanders are responsible to review the spreadsheets monthly.

Regarding cell searches, assistant resident unit supervisors and managers are responsible to ensure that all required cell searches are performed and are required to document their review in the logbook. DOC will also clarify its cell search policy to address cell searches of prisoners in inpatient status.

3. Gate Manifests

The auditors recommended that HVC effectively monitor and reconcile gate manifests.

Agency Preliminary Response:

HVC agrees and has complied. WHV properly logs all manifests. Officers on the midnight shift reconcile the manifests, and turn the manifests and logs over to the Inspector for retention and follow up of outstanding items.

HVC provided training to staff who approve manifests to ensure manifests are properly completed prior to approval. The Inspector monitors gate manifests for compliance.

4. Firearm Clearances, Certifications, and Permits

The auditors recommended that HVC ensure that all officers whose assignment requires the use of a firearm are annually cleared through LEIN, annually recertified, and in possession of a valid concealed weapons permit while in possession of a handgun.

Agency Preliminary Response:

HVC agrees and has complied. HVC has implemented a block scheduling process for firearm recertifications and LEIN checks which has greatly simplified the recertification process. Shift commanders have been instructed to ensure that only officers with current qualifications are assigned to assignments that require the use of firearms.

Regarding item c., HVC discontinued use of the CCW permit log. Instead, issuance of the permits is recorded on the weapons authorization form (CAJ-210). This form is also reconciled when the items are returned. It should also be noted that additional CCW logs were located after the audit.

5. Self-Contained Breathing Apparatus (SCBA)

The auditors recommended that HVC ensure that all officers assigned to the SCBA squad are properly qualified in the use of SCBA equipment.

Agency Preliminary Response:

HVC agrees and has complied. HVC has implemented a biannual block scheduling process to medically clear staff. All medically cleared staff were recently recertified. Shift commanders are responsible to ensure that staff assigned to the SCBA squad are properly qualified in the use of SCBA equipment as reflected on the current training reports.

6. Security Monitoring Exercises

The auditors recommended that HVC complete all required SMEs.

Agency Preliminary Response:

HVC agrees and has complied. At HVM, new exercises have been written and submitted for approval. HVC Inspectors are responsible to ensure that SMEs are conducted in accordance with the approved schedule.

7. Key and Padlock Controls

The auditors recommended that HVC improve its controls over keys and padlocks.

Agency Preliminary Response:

HVC agrees and has complied. HVC had performed various key and padlock inventory activities during 2005 and 2006 but was unable to document that complete annual inventories were completed. HVC recently completed its annual audit of the keys and padlocks and corrected all deficiencies including issues related to the inventory list, stamping, and emergency keys. In addition, a regional team recently conducted their annual key audits of the facilities. Both facilities were found to be in compliance. HVM has also resolved the issue related to the daily inventory of key watcher boxes.

8. Radio Checks

The auditors recommended that HVC ensure that base station officers conduct all required radio checks.

Agency Preliminary Response:

HVC agrees and has complied. Shift commanders are responsible to ensure that all required radio checks are conducted and documented on each shift.

9. Sanitation Inspections and Meal Evaluations

The auditors recommended that HVC perform daily sanitation inspections and meal evaluations.

The auditors also recommended that HVC properly label and discard leftovers.

Agency Preliminary Response:

HVC agrees and has complied. HVC has revised its operating procedure to require the Assistant Food Service Director (AFSD) to review the sanitation inspection forms daily for discrepancies and to ensure compliance by each shift. The pre-service quality checks are being

made at least 30 minutes before each meal and are recorded. The AFSD is reviewing meal evaluation forms daily for quality of product and to ensure compliance. The Food Service Director also reviews all sanitation inspection forms and meal evaluation forms. Proper labeling of leftover products is being completed. The AFSD is conducting daily documented rounds to inspect the food service areas including the cooler and freezer to ensure all products are properly labeled.

10. Inventory Records

The auditors recommended that HVC maintain accurate inventory records over the prisoner store inventory.

The auditors also recommended that HVC maintain prisoner store inventory in a secure location.

Agency Preliminary Response:

HVC agrees and has complied. Store receivers are now processed by the Accounting Assistant who also reconciles the physical inventory taken by other accounting staff to the commissary inventory report and the State's financial records. Differences are reviewed and investigated by the Accounting Supervisor. Prisoner store merchandise that is not kept in the prisoner store area is now stored in a secure area. Prisoners are only allowed into the area with staff escort.

11. Mail Processing and Cash Receipts

The auditors recommended that HVC process prisoner mail in a timely manner.

The auditors also recommended that HVC improve internal control over mail opening and processing of cash receipts.

Agency Preliminary Response:

HVC agrees and has taken steps to comply. The mailroom is endeavoring to process mail within one day of receipt, however, the present staffing is inadequate to handle the mail for all three facilities. Eligible facility staff are being offered overtime as needed to address recurring backlogs. It is anticipated that the staffing shortage will be corrected by May 2009.

Mailroom staff now sit across from each other in one room while opening mail. Together, the cashier and an accounting assistant collect, open, log, and run a tape of the drop box receipts daily. Rubber stamps are now used to restrictively endorse all checks immediately upon receipt.