

PERFORMANCE AUDIT
OF THE
MID-MICHIGAN CORRECTIONAL FACILITY
DEPARTMENT OF CORRECTIONS

June 1999

EXECUTIVE DIGEST

MID-MICHIGAN CORRECTIONAL FACILITY

INTRODUCTION

This report, issued in June 1999, contains the results of our performance audit* of the Mid-Michigan Correctional Facility (MMCF), Department of Corrections (DOC).

AUDIT PURPOSE

This performance audit was conducted as part of the constitutional responsibility of the Office of the Auditor General. Performance audits are conducted on a priority basis related to the potential for improving effectiveness* and efficiency* .

BACKGROUND

MMCF, located in St. Louis, is under the jurisdiction of DOC, with a warden as the chief administrative officer for the facility. The DOC director appoints the warden, who is classified under the State civil service system.

The mission* of MMCF is to protect society by providing a safe, secure, and humane environment for staff and prisoners. MMCF opened in February 1990 and is a minimum security (level I) male prison with a prisoner capacity of 960.

For fiscal year 1997-98, MMCF operating expenditures were approximately \$16 million. As of September 30, 1998, MMCF had 241 employees.

* See glossary on page 33 for definition

AUDIT OBJECTIVES,
CONCLUSIONS, AND
NOTEWORTHY
ACCOMPLISHMENTS

Audit Objective: To assess the effectiveness of MMCF's safety and security operations.

Conclusion: We concluded that MMCF's safety and security operations were generally effective. However, we noted reportable conditions* related to prisoner shakedowns* and cell searches*, weapons qualifications and squad assignments, tool control, key control, gate manifests*, and visitor records (Findings 1 through 6).

Audit Objective: To assess the effectiveness and efficiency of MMCF's prisoner care and maintenance operations.

Conclusion: We concluded that MMCF's prisoner care and maintenance operations were generally effective and efficient. However, we noted reportable conditions related to preventive maintenance and safety inspections, housekeeping and sanitation inspections, fire evacuation drills, the disaster management manual, inactive balances of prisoner funds, and the community liaison committee (Findings 7 through 12).

Noteworthy Accomplishments: MMCF has been accredited by the Commission on Accreditation for Corrections of the American Correctional Association.

AUDIT SCOPE AND
METHODOLOGY

Our audit scope was to examine the program and other records of the Mid-Michigan Correctional Facility. Our audit was conducted in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States and, accordingly, included such tests of

* See glossary on page 33 for definition.

the records and such other auditing procedures as we considered necessary in the circumstances.

Our methodology included the testing of records, for the most part, for the period October 1, 1996 through September 30, 1998. We conducted a preliminary survey of MMCF operations. This included discussions with facility staff and a review of DOC policy directives, DOC procedures, and MMCF operating procedures to gain an understanding of facility activities and to form a basis for selecting certain operations for audit. We analyzed safety and security, prisoner care, and maintenance operations for compliance with applicable policies and procedures and overall program effectiveness.

Also, we surveyed certain area individuals and businesses requesting input regarding their association with MMCF (see supplemental information).

AGENCY RESPONSES

Our audit report includes 12 findings and 14 corresponding recommendations. MMCF agreed with all of the recommendations and has taken or will take steps to implement the recommendations.

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Mr. Bill Martin, Director
Department of Corrections
Grandview Plaza
Lansing, Michigan

Dear Mr. Martin:

This is our report on the performance audit of the Mid-Michigan Correctional Facility, Department of Corrections.

This report contains our executive digest; description of agency; audit objectives, scope, and methodology and agency responses; comments, findings, recommendations, and agency preliminary responses; description of survey and summary of survey responses, presented as supplemental information; and a glossary of acronyms and terms.

Our comments, findings, and recommendations are organized by audit objective. The agency preliminary responses were taken from the agency's responses subsequent to our audit fieldwork. The *Michigan Compiled Laws* and administrative procedures require that the audited agency develop a formal response within 60 days after release of the audit report.

We appreciate the courtesy and cooperation extended to us during this audit.

AUDITOR GENERAL

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Description of Agency

The Mid-Michigan Correctional Facility (MMCF), located in St. Louis, is under the jurisdiction of the Department of Corrections (DOC), with a warden as the chief administrative officer for the facility. The DOC director appoints the warden, who is classified under the State civil service system.

The mission of MMCF is to protect society by providing a safe, secure, and humane environment for staff and prisoners. MMCF opened in February 1990 and is a minimum security (level I) male prison with a prisoner capacity of 960.

MMCF provides programs to prisoners that include academic/vocational education, counseling and substance abuse programs, psychological counseling, hobbycrafts, recreation, and special activities. Prisoners are also given an opportunity to work at the facility to earn money for personal needs and to develop good work habits.

For fiscal year 1997-98, MMCF operating expenditures were approximately \$16 million. As of September 30, 1998, MMCF had 241 employees.

Audit Objectives, Scope, and Methodology and Agency Responses

Audit Objectives

Our performance audit of the Mid-Michigan Correctional Facility (MMCF), Department of Corrections (DOC), had the following objectives:

1. To assess the effectiveness of MMCF's safety and security operations.
2. To assess the effectiveness and efficiency of MMCF's prisoner care and maintenance operations.

Audit Scope

Our audit scope was to examine the program and other records of the Mid-Michigan Correctional Facility. Our audit was conducted in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States and, accordingly, included such tests of the records and such other auditing procedures as we considered necessary in the circumstances.

Audit Methodology

Our audit procedures were performed between September and December 1998 and included testing of records, for the most part, for the period October 1, 1996 through September 30, 1998. We conducted a preliminary survey of MMCF operations. This included discussions with facility staff regarding their functions and responsibilities; tests of program records; and a review of DOC policy directives, DOC procedures, and MMCF operating procedures to gain an understanding of facility activities and to form a basis for selecting certain operations for audit. In addition, we reviewed the MMCF Community Liaison Committee meeting minutes and analyzed the Commission of Accreditation for Corrections of the American Correctional Association evaluation reports. Also, we surveyed certain area individuals and businesses requesting input regarding their association with MMCF (see supplemental information).

To assess the effectiveness of MMCF's safety and security operations, we analyzed safety and security activities for compliance with applicable policies and procedures and overall program effectiveness. We conducted tests of records related to firearm inventories, firearm qualifications, searches of employees, and prisoner shakedowns

and cell searches. On a test basis, we inventoried critical and dangerous tools. We also reviewed the procedures to account for visitors by examining entries in the visitor sign-in logbook.

To assess the effectiveness and efficiency of MMCF's prisoner care and maintenance operations, we reviewed procedures and conducted tests of records related to fire safety activities, preventive maintenance programs, emergency electrical backup tests, and housekeeping and sanitation inspections. We also tested food service records and procedures related to Statewide menus, production, and quality evaluations. In addition, we analyzed prisoner store financial information and reviewed controls for prisoner funds and prisoner store operations.

Agency Responses

The agency preliminary response which follows each recommendation in our report was taken from the agency's written comments and oral discussion subsequent to our audit fieldwork. Section 18.1462 of the *Michigan Compiled Laws* and Department of Management and Budget Administrative Guide procedure 1280.02 require DOC to develop a formal response to our audit findings and recommendations within 60 days after release of the audit report.

Our audit report includes 12 findings and 14 corresponding recommendations. MMCF agreed with all of the recommendations and has taken or will take steps to implement the recommendations.

COMMENTS, FINDINGS, RECOMMENDATIONS, AND AGENCY PRELIMINARY RESPONSES

SAFETY AND SECURITY OPERATIONS

COMMENT

Background: The Mid-Michigan Correctional Facility (MMCF) operates under the policy directives established by the Department of Corrections (DOC) as well as MMCF operating procedures, which are developed internally. The security perimeter is protected by electronically monitored chain link fences and is patrolled by alert response vehicles. Procedures have been implemented to ensure the security of tools, keys, and firearms. MMCF staff conduct periodic searches of prisoners, their cells, and MMCF employees for contraband*. Visitors entering the facilities must go through a metal detector and are subject to search by MMCF staff.

Audit Objective: To assess the effectiveness of MMCF's safety and security operations.

Conclusion: We concluded that MMCF's safety and security operations were generally effective. However, we noted reportable conditions related to prisoner shakedowns and cell searches, weapons qualifications and squad assignments, tool control, key control, gate manifests, and visitor records.

FINDING

1. Prisoner Shakedowns and Cell Searches

MMCF did not ensure and document that housing units officers* performed the required number of prisoner shakedowns and cell searches.

MMCF operating procedure requires each housing unit officer, with the exception of the third shift, to conduct three randomly selected prisoner shakedowns and three cell searches per shift. The third shift officers are responsible for

* See glossary on page 33 for definition.

shakedowns in common areas (laundry rooms, television rooms, and bathrooms). All shakedowns are recorded on unit shakedown logbooks.

Our review of prisoner shakedown and cell search activity logbooks for two housing units for the period August 1 through September 15, 1998 disclosed:

- a. Housing unit officers did not complete 240 (22%) of the 1,104 required prisoner shakedowns and did not complete the minimum number of prisoner shakedowns for 75 (41%) of the 184 shifts reviewed.
- b. Housing unit officers did not document the completion of 59 (6%) of the 920 required cell searches and did not complete the minimum number of cell searches for 74 (40%) of the 184 shifts reviewed. Third shift officers did not document the completion of 23 (25%) of the 92 required common area searches.

Without the required number of searches of prisoners and their belongings, MMCF management lacks a high level of assurance that all contraband has been detected and confiscated to provide for the safety and security of staff and prisoners.

RECOMMENDATION

We recommend that MMCF ensure and document that housing unit officers perform the required number of prisoner shakedowns and cell searches.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and will comply by revising its operating procedure to more closely reflect the requirements set forth in DOC policy. For item a., DOC policy requires only non-housing unit officers to conduct prisoner shakedowns. The requirement that housing unit officers conduct prisoner shakedowns is contained only in the MMCF operating procedure. For item b., the cell search requirements specified in the MMCF operating procedure exceed the requirements mandated by DOC policy. MMCF will additionally comply by ensuring compliance with its operating procedure.

FINDING

2. Weapons Qualifications and Squad Assignments

MMCF did not ensure that all custody officers* were properly qualified in the use of weapons required for their positions. Also, MMCF did not exclude exempt custody officers from squad assignments.

DOC policy and facility procedures require that custody officers qualify in the use of weapons prior to possessing a firearm. Qualifications are required for custody officers who may be assigned to mobilization squads, perimeter security, or transportation details. Also, assignment to a mobilization squad may require the use of a gas mask. For the mask to be effective, the custody officer must be clean shaven (no beard). The custody officers' union agreements permit a fixed percentage of the custody officers to be exempt from being clean shaven. Exempt custody officers should not be assigned to mobilization squads.

Our review of custody officer training records and assignments for August 1998 disclosed:

- a. Sixteen (30%) of 53 shifts were assigned mobilization squad leaders who were not qualified to use a handgun.

Squad leaders are required to carry handguns if an emergency occurs.

- b. Five (9%) of 53 shifts assigned exempt custody officers to mobilization squads.

Proper weapons qualification and squad assignments are essential to help ensure the safety and security of staff and prisoners.

RECOMMENDATIONS

We recommend that MMCF ensure that all custody officers are properly qualified in the use of weapons required for their positions.

* See glossary on page 33 for definition

We also recommend that MMCF exclude exempt custody officers from squad assignments.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and will comply. In reviewing the squads cited for noncompliance with weapons qualifications, MMCF noted that the squad leaders were in an acting sergeant position or were recently appointed to the supervisor level. The acting sergeants were trained in the use of firearms as required for a corrections officer but were not handgun qualified. A member of each squad was handgun qualified and could have assumed the lead position in an emergency. In addition, corrections officers who are exempt from being clean shaven will not be assigned to mobilization squads. A new computer program is being designed for scheduling and time and attendance matters which will assist supervisors in identifying exempt officers so that they will not be scheduled for squads.

FINDING

3. Tool Control

MMCF was not effective in ensuring that staff complied with procedures related to critical and dangerous tools.

DOC policy and facility procedures require that the tool control officer maintain a master inventory list of tools and establish limits for tools in each work area, receive and mark all tools for identification, complete monthly tool inspections and an annual tool audit, and perform weekly inspections of culinary implements. DOC policy and facility procedures also require work area supervisors to complete and submit weekly tool inventory reports to the tool control officer.

Our review of randomly selected tools for 5 of 21 tool storage areas disclosed:

- a. In 4 areas, individuals responsible for tools were unfamiliar with limits established for specific tools. Established limits for critical and dangerous tools were not clearly defined.

- b. In 2 areas, tools that were not listed on the master tool inventory were located on shadow boards*.
- c. In 1 area, tools and their location on the shadow board were not color coded as indicated on the master tool inventory.
- d. In 2 areas, the master tool inventory listed the same identification number for different tools.
- e. In 1 area, tools were misclassified. DOC policy provides a guideline to classify tools as critical or dangerous. These guidelines were not followed for pliers with cutting surfaces, which should have been classified as critical.

In addition, our review disclosed that the tool control officer was not being contacted when tools were received at the facility. As a result, tools were distributed prior to the tool control officer visually inspecting and authorizing the proper etching and color coding of the received items.

Also, the tool control officer did not inventory all items during an area's annual tool audit. Inspections of tool storage areas were completed on an annual basis; however, they did not include inventorying all items on hand to ensure that quantities present, identification etched, or color coding agreed with the master tool inventory.

Because of the tool control weaknesses, MMCF did not have assurance that critical and dangerous tools were properly controlled. Without this assurance, the safety and security of staff and prisoners may be jeopardized.

RECOMMENDATION

We recommend that MMCF effectively ensure that staff comply with procedures related to critical and dangerous tools.

* See glossary on page 33 for definition.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has taken steps to comply. MMCF is in the process of reconstructing the tool cribs by limiting the number and types of tools in each crib. MMCF has corrected the clerical errors regarding the master list. In addition, the tool control officer will approve all tools received at the facility.

FINDING

4. Key Control

MMCF did not effectively designate areas within the prison as high security. Also, MMCF did not have effective inventory controls to ensure accountability for its security keys, key blanks, and padlocks.

DOC policy directives require MMCF staff to designate areas within the prison that are considered high security. High security areas include parts of the prison that contain sensitive information, provide direct escape routes, or house critical tools and supplies. Control of high security keys require special handling and the keys can be issued to only the individual specified as having authorized access.

Also, DOC policy and facility procedures require MMCF to maintain a cross-referencing system to allow the location of each key and padlock to be known at all times. This system includes personal keys or a key chit* provided in exchange for the individual's assigned keys and up-to-date inventories of key chits, cuff keys, backup keys, key blanks, and padlocks. The key control officer is to be informed immediately of changes in key chit, key, and padlock assignments and also of changes in inventory levels maintained of key blanks and padlocks.

Our review disclosed:

- a. MMCF did not designate the sallyport* and warehouse as high security areas. The sallyport provides direct access to areas outside of the perimeter fence, and the warehouse stores a portion of the facility's supplies. Both are within the DOC policy directive definition of high security areas.

* See glossary on page 33 for definition.

- b. MMCF did not require the employees who are assigned facility keys to exchange personal keys or key chits for assigned keys. We analyzed the distribution process in the bubble* on November 5, 1998 and noted that 34 (44%) of 78 secured key rings distributed were not exchanged for personal keys or key chits.

- c. MMCF key control officers did not maintain up-to-date inventories for key chits, cuff keys, backup keys, key blanks, or padlocks. Our inventories noted:
 - (1) Three (7%) of 46 key chit assignments reviewed varied from assignments listed on the master key inventory listing.
 - (2) Five (17%) of 30 emergency response team cuff keys were not assigned as posted on the master key inventory listing.
 - (3) Four (80%) of 5 backup key rings inventoried contained keys that were not listed on the master key inventory listing.
 - (4) Balances for 16 (67%) of 24 blank key types inventoried did not agree with count totals on the master key inventory listing. Balances for 5 (83%) of 6 cut key types inventoried did not agree with count totals on the master key inventory listing.
 - (5) For 11 (17%) of 66 padlocks inventoried, the use of the padlock did not agree with the use indicated on the master key inventory listing. Unused padlock inventories were not being maintained.

Proper identification of all high security areas, complete identification of key assignments by the use of personal keys or key chits, and maintenance of up-to-date inventory records would increase security standards and ensure that key chits, cuff keys, backup keys, key blanks, and padlocks are accounted for at all times.

* See glossary on page 33 for definition.

RECOMMENDATIONS

We recommend that MMCF effectively designate areas within the prison as high security.

We also recommend that MMCF establish effective inventory controls to ensure accountability for its security keys, key blanks, and padlocks.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has designated the sallyport and warehouse as high security. MMCF is also in the process of installing an electronic key exchange system that will correct the problems arising in the exchange of personal keys or key chits. The master key inventory is being updated. In addition, MMCF is installing a new locking system with a computerized inventory system that will help to ensure that all locks, pins, keys and key blanks, and padlocks are properly inventoried.

FINDING

5. **Gate Manifests**

MMCF did not effectively monitor gate manifests to properly control the movement of items into and out of the facility.

MMCF operating procedures require gate manifests to include a complete description of the items transported, an authorized approval, and documentation of the times when items entered and exited the facility. Also, MMCF procedures require completed gate manifests to be forwarded to the staff responsible for maintaining them at the end of each shift.

Our review of 142 gate manifests issued from September 1 through October 25, 1998 disclosed:

- a. Ten manifests (7%) could not be accounted for. The manifests were issued but were not forwarded to the staff responsible for maintaining completed manifests. MMCF could not verify that all items entered or exited the facility.

- b. Fifty-two (39%) of the 132 manifests that were accounted for were not complete. This included 25 manifests that did not contain the time recorded when items entered the facility, 9 manifests without the gate officer's signature, and 6 manifests without the inventory lists when the item description referred to an attached list. MMCF did not have complete documentation for inspections made by gate officers.
- c. Nine (7%) of the 132 manifests that were accounted for were located at the facility's two gates. These locations were not the central monitoring site for gate manifests. Therefore, the manifests were not forwarded to the appropriate staff at the end of each shift. As a result, manifest monitoring and corrective action activities were delayed.

Failure to effectively monitor gate manifests could result in critical or dangerous items being left inside the facility.

RECOMMENDATION

We recommend that MMCF effectively monitor gate manifests to properly control the movement of items into and out of the facility.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied. All gate manifests are logged in and out by the gate officers. The manifests issued or received are reconciled by the 10:00 p.m. - 6:00 a.m. shift and discrepancies are reported immediately to the inspector. The inspector also monitors gate manifests biweekly for completeness. The inspector has also prepared a sample gate manifest that gate officers can use to help ensure that manifests are properly completed.

FINDING

6. Visitor Records

MMCF did not ensure that the required information was entered in the facility visitor records.

In addition to maintaining a computerized visitor tracking data base, MMCF operating procedures require visitors to sign a visitor day book register when they

arrive at the facility. MMCF procedures also require staff to record the time that the visitor entered and exited the prison on the register and to record the pass number provided to the visitor.

MMCF procedures further require staff to maintain a visiting room report that would list the entrance and exit times of visitors.

Our review of the visitor day book register, visitor passes, and the visiting room reports for September 1998 disclosed:

- a. MMCF did not record visitor pass information on the visitor day book register. The arrival time was not recorded for 83 (9%) of 885 visitors, and the pass number was not recorded for 114 (13%) visitors.
- b. MMCF did not record some of the arrival and departure times on the visiting room reports. These times were not recorded for 38 (6%) of 690 visits.

Proper documentation of visitor movement could assist in the determination of the number of visitors on site and their location in emergency situations and provide evidence as to the time that a visitor entered and exited the facility.

RECOMMENDATION

We recommend that MMCF ensure that the required information is entered in the facility visitor records.

AGENCY PRELIMINARY RESPONSE

MMCF agrees that visitor information was not always recorded as required by MMCF operating procedures. However, MMCF will comply by reevaluating which records should be maintained to document visitor information. In addition, the Correctional Facilities Administration will evaluate the need for a logbook to document visitors.

PRISONER CARE AND MAINTENANCE OPERATIONS

COMMENT

Background: MMCF has developed procedures for prisoner care and maintenance operations. These operations include prisoner store and benefit fund operations, preventive maintenance activities, periodic housekeeping and sanitation inspections, warehouse operations, food service activities, prisoner accounting, routine fire safety procedures, and the community liaison committee.

Audit Objective: To assess the effectiveness and efficiency of MMCF's prisoner care and maintenance operations.

Conclusion: We concluded that MMCF's prisoner care and maintenance operations were generally effective and efficient. However, we noted reportable conditions related to preventive maintenance and safety inspections, housekeeping and sanitation inspections, fire evacuation drills, the disaster management manual, inactive balances of prisoner funds, and the community liaison committee.

Noteworthy Accomplishments: MMCF has been accredited by the Commission on Accreditation for Corrections of the American Correctional Association.

FINDING

7. Preventive Maintenance and Safety Inspections

MMCF did not complete preventive maintenance and safety inspections on a timely basis.

DOC policy and facility procedures require regular inspections to minimize equipment failures, breakdowns, or potential problem conditions with the facility's water, electrical, mechanical, and security systems and to identify and correct potential safety hazards. MMCF established the intervals in which preventive maintenance inspections were to be completed within the preventive maintenance plan. MMCF operating procedures require weekly and monthly safety inspections of maintenance, warehouse, and vocational trades areas.

We reviewed completed requests for 16 preventive maintenance inspections for the five-month period ended October 31, 1998. We also reviewed safety

inspection reports for the six-month period ended November 30, 1998. Our review disclosed:

- a. Nine (56%) of 16 items analyzed did not have at least one completed preventive maintenance inspection.
- b. Nine (23%) of 40 monthly preventive maintenance inspections were not completed or were completed with the next month's inspection.
- c. Twenty-nine (44%) of 66 weekly preventive maintenance inspections were not completed or were completed with subsequent inspections.
- d. Fourteen (15%) of 93 weekly safety inspections were not documented as completed.
- e. None of 6 monthly safety inspections were completed.

Timely completion of all scheduled preventive maintenance and safety inspections is necessary to minimize the possibility that preventable equipment or system failures go undetected. In addition, these inspections may help MMCF identify potential safety and security hazards to staff, visitors, and prisoners.

RECOMMENDATION

We recommend that MMCF complete preventive maintenance and safety inspections on a timely basis.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and will comply by implementing a computerized preventive maintenance system in the near future to facilitate the identification of needed inspections. MMCF informed us that it has implemented a system for safety inspections in which the fire safety inspector tracks weekly safety inspection reports and informs the warden of inspections not completed in a timely manner.

FINDING

8. Housekeeping and Sanitation Inspections

MMCF did not complete and properly document all required housekeeping and sanitation inspections.

DOC policy and facility procedures require that qualified staff perform formal weekly housekeeping and sanitation inspections for all facility areas and submit the reports to the fire safety officer.

Our review disclosed that staff had not submitted 31 (7%) of 454 required weekly inspection reports for 11 of 21 activity areas during the period May through September 1998.

Without the timely completion and documentation of required inspections, MMCF cannot be assured that the facility maintains effective housekeeping and sanitation practices.

RECOMMENDATION

We recommend that MMCF complete and properly document all required housekeeping and sanitation inspections.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied by having the fire safety inspector track housekeeping and sanitation inspections. The fire safety inspector informs the warden of inspections not completed in a timely manner.

FINDING

9. Fire Evacuation Drills

MMCF did not complete and properly document all required fire evacuation drills.

MMCF operating procedures require that fire evacuation drills be conducted each quarter and on each shift in all occupied areas. Areas which are not occupied during all shifts are required to conduct an evacuation drill each quarter during the shift that the area is occupied.

Our review of the nine-month period ended September 30, 1998 disclosed that 9 (43%) of 21 areas failed to conduct evacuation drills in a quarter and 1 of these failed to conduct drills for two quarters. We also noted that 4 areas did not conduct quarterly evacuation drills on each shift in occupied areas. In total, 18 (16%) of the 111 required evacuation drills were not completed during our review period.

Noncompliance with fire evacuation drills may result in staff and prisoners being unfamiliar with evacuation procedures and equipment not operating properly when an emergency arises, which could result in the loss of lives and personal property.

RECOMMENDATION

We recommend that MMCF complete and properly document all required fire evacuation drills.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied. The fire safety inspector now notifies appropriate staff of the scheduled dates for fire evacuation drills. If a drill is not performed as scheduled, the fire safety inspector attempts to reschedule within the month. If the drill is still not performed, the fire safety inspector informs the warden for follow-up action.

FINDING

10. Disaster Management Manual

MMCF did not compile an integrated disaster management manual as required.

DOC policy requires the facility to maintain a disaster management manual. The manual is a compilation of operating procedures and other documentation that describes the immediate response and mitigation measures to be taken in the event of a disaster. DOC policy also requires that the manual contain facility and building maps of items such as utility lines, fire hydrants, fuel dispensing locations, emergency exits, fire alarms, and fire extinguishers.

Our review of MMCF's disaster management manual disclosed that it did not contain operating procedures to be used by facility personnel during an enemy attack. MMCF's manual did not contain facility and building maps that designated

electric lines, fuel dispensing locations, spill control equipment, telephones, first-aid stations, eyewash stations, and the water main shut-off.

Compliance with DOC policy requirements helps ensure the timely and effective handling of disaster situations. Incomplete maps and undeveloped procedures cause delays and may result in improper treatment under various situations.

RECOMMENDATION

We recommend that MMCF compile an integrated disaster management manual as required.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied by updating the disaster management manual.

FINDING

11. Inactive Balances of Prisoner Funds

MMCF did not dispose of inactive negative balances of prisoner funds held by the State that were accounted for on the Resident Accounting Credit Card System (RACCS) and did not refer these balances to the Department of Treasury for collection.

DOC policy provides that, after two years, inactive negative balances, including balances of "holders for debts," may be written off, and if the amounts exceed \$100, they must be referred to the Department of Treasury for collection. "Holders for debts" are prisoners who incur institutional debt, such as damage assessments, parolee loans, photocopy fees, postage charges, or indigent prisoner store loans, which create a negative account balance.

The RACCS inactive account listing for July 31, 1998 identified former MMCF inmates with negative balances. The listing included 100 accounts that had a negative balance of \$100 or more.

Our review identified 36 accounts of \$100 or more totaling \$7,400 that were inactive for more than two years and had not been referred to the Department of

Treasury for collection. MMCF collection efforts were not made on the 36 accounts. The remaining 64 accounts were inactive for less than two years or the inmate was at another facility or camp within DOC.

As a result of our review, MMCF disposed of approximately \$5,100 of inactive negative balances in November 1998 and referred these accounts to the Department of Treasury.

RECOMMENDATION

We recommend that MMCF dispose of inactive negative balances of prisoner funds held by the State that are accounted for on RACCS and refer these balances to the Department of Treasury for collection.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied by writing off the 36 accounts and referring them to the Department of Treasury. MMCF currently has no other accounts requiring action and will comply in the future.

FINDING

12. Community Liaison Committee

The MMCF Community Liaison Committee membership was not sufficient to ensure that a broad base of local interests was addressed.

DOC policy states that the community liaison committee shall include as broad a representation of local residents and key community leaders as possible. The committee is to provide a system of communication between correctional facilities and the local community for relaying DOC goals and policies, receiving and responding to community concerns and ideas, and disseminating and gathering useful information.

During the period January 1, 1997 through August 31, 1998, the MMCF Community Liaison Committee consisted of 8 community members. Attendance at the MMCF Community Liaison Committee meetings has been sparse with 4 or fewer members attending 6 of the last 8 meetings during this period. A test review

of five community liaison committees of other correctional facilities within DOC disclosed that membership ranged from 12 to 21 community members.

In addition, in response to our MMCF survey, some local residents expressed concerns involving communication between the facility and the community that the MMCF Community Liaison Committee may need to address at its meetings.

Without sufficient local interest representation on the community liaison committee, facility programs can be adversely affected by the lack of public understanding and support. In November 1998, the MMCF Community Liaison Committee was expanded to 14 members.

RECOMMENDATION

We recommend that MMCF increase the membership on the MMCF Community Liaison Committee to help ensure that a broad base of local interests is addressed.

AGENCY PRELIMINARY RESPONSE

MMCF agrees and informed us that it has complied. MMCF took corrective action to increase the membership of the MMCF Community Liaison Committee prior to the start of the audit. After the August 27, 1998 quarterly MMCF Community Liaison Committee meeting, MMCF determined that the Committee members' backgrounds were too narrow. MMCF immediately began recruiting new members with the objective of expanding the background from county and other local government and police agencies. By September 1, 1998, MMCF had added 2 new members. MMCF's recruiting effort continued until the Committee was expanded to 14 members for the November 1998 meeting. As of February 1999, MMCF had 16 members and attendance at the February 1999 meeting was 100%.

SUPPLEMENTAL INFORMATION

Description of Survey

We developed a survey requesting input from certain area individuals and businesses regarding their association with the Mid-Michigan Correctional Facility.

We mailed this survey to 50 individuals and businesses and received 20 responses. A review of the responses indicated that most respondents were either highly satisfied or somewhat satisfied with the facility administration. However, there were some concerns identified involving communications between the facility and the community. Some responses indicated a need to notify the community of any problems or emergency situations related to the facility. We provided a summary of this information to the warden.

MID-MICHIGAN CORRECTIONAL FACILITY

Department of Corrections
Summary of Survey Responses

Copies of Survey Distributed 50
Number of Responses 20
Response Rate 40%

1. How would you rate your satisfaction with the frequency of contacts between you or your organization and the Mid-Michigan Correctional Facility?

Highly <u>Satisfied</u>	Somewhat <u>Satisfied</u>	Somewhat <u>Dissatisfied</u>	Highly <u>Dissatisfied</u>	No <u>Opinion</u>
4	8	2	2	4

2. How satisfied are you with how management of the Mid-Michigan Correctional Facility has addressed your individual concerns?

Highly <u>Satisfied</u>	Somewhat <u>Satisfied</u>	Somewhat <u>Dissatisfied</u>	Highly <u>Dissatisfied</u>	No <u>Opinion</u>
5	7	2	1	5

3. How satisfied are you with the timeliness in which your individual concerns are addressed by the Mid-Michigan Correctional Facility?

Highly <u>Satisfied</u>	Somewhat <u>Satisfied</u>	Somewhat <u>Dissatisfied</u>	Highly <u>Dissatisfied</u>	No <u>Opinion</u>
6	6	1	1	6

4. How satisfied are you with the Mid-Michigan Correctional Facility's process to notify the community of any problems or emergency situations related to the facility?

Highly <u>Satisfied</u>	Somewhat <u>Satisfied</u>	Somewhat <u>Dissatisfied</u>	Highly <u>Dissatisfied</u>	No <u>Opinion</u>
3	3	6	3	5

5. Do you have any specific safety or security concerns that have not been addressed by Mid-Michigan Correctional Facility personnel?

<u>Yes</u>	<u>No</u>
5	15

6. If you visited the Mid-Michigan Correctional Facility, were you satisfied with the security provided to you while at the facility?

<u>Highly Satisfied</u>	<u>Somewhat Satisfied</u>	<u>Somewhat Dissatisfied</u>	<u>Highly Dissatisfied</u>	<u>No Opinion</u>
11	3	0	0	6

7. Overall, how satisfied are you with the extent of communication between the Mid-Michigan Correctional Facility and the community?

<u>Highly Satisfied</u>	<u>Somewhat Satisfied</u>	<u>Somewhat Dissatisfied</u>	<u>Highly Dissatisfied</u>	<u>No Opinion</u>
5	5	1	5	4

Glossary of Acronyms and Terms

bubble	Central point of entry into and exit from the facility.
cell search	The act of going through a prisoner's cell and belongings looking for contraband.
contraband	Property which is not allowed on facility grounds or in visiting rooms by State law, rule, or DOC policy. For prisoners, this includes any property which they are not specifically authorized to possess, authorized property in excessive amounts, or authorized property which has been altered without permission.
control center	Central area of communication for the facility. The control center has contact with all officers by radio and loudspeaker.
custody officer	Corrections officers who do not work in the housing units. These officers work in the prison yard, bubble, control center, information desk, or visiting room.
DOC	Department of Corrections.
effectiveness	Program success in achieving mission and goals.
efficiency	Achieving the most outputs and outcomes practical for the amount of resources applied or minimizing the amount of resources required to attain a certain level of outputs or outcomes.
gate manifest	A record used to control materials and supplies entering and leaving the facility through the front gates and sallyport.
housing unit officers	Corrections officers who work in the housing units.

key chit	A coin-sized item used by employees to exchange for an assigned security key at the bubble for use at the facility.
mission	The agency's main purpose or the reason the agency was established.
MMCF	Mid-Michigan Correctional Facility.
performance audit	An economy and efficiency audit or a program audit that is designed to provide an independent assessment of the performance of a governmental entity, program, activity, or function to improve public accountability and to facilitate decision making by parties responsible for overseeing or initiating corrective action.
RACCS	Resident Accounting Credit Card System.
reportable condition	A matter coming to the auditor's attention that, in his/her judgment, should be communicated because it represents either an opportunity for improvement or a significant deficiency in management's ability to operate a program in an effective and efficient manner.
sallyport	Outside area that allows entry into the prison through a gate that is monitored by a security officer.
shadow board	A board that displays tools and has the outline of the tools painted on it to identify critical (red) or dangerous (blue) tools.
shakedown	The act of searching a prisoner, an employee, or a visitor to ensure that he/she does not have any contraband in his/her possession.