



STATE OF MICHIGAN
DEPARTMENT OF CORRECTIONS
LANSING

RICK SNYDER
GOVERNOR

DANIEL H. HEYNS
DIRECTOR

January 3, 2012

Doug Ringler, Director
Office of Internal Audit Services
Office of the State Budget
George W. Romney Building
111 South Capitol, 6th Floor
Lansing, MI 48913

Dear Mr. Ringler:

In accordance with the State of Michigan, Financial Management Guide, Part VII, attached is a summary table identifying our responses and a corrective action plan to address the recommendations contained within the Office of the Auditor General's audit report of the St. Louis Correctional Facility, Department of Corrections.

Questions regarding the summary table or corrective action plans should be directed to Julie Hamp at (517) 335-6886.

Sincerely,

Signature Redacted

Daniel Heyns, Director
Attachment
DH/22/cm

c: Executive Office
Office of the Auditor General
House Fiscal Agency
Senate Fiscal Agency
House Appropriations Sub-Committee on Corrections
Senate Appropriations Sub-Committee on Judiciary and Corrections
House Judiciary Committee
Senate Judiciary Committee
T. Finco
J. Hamp
C. MacKenzie
S. Rivard
J. Sherry

St. Louis Correctional Facility
Agency Responses to Recommendations

1. Audit recommendations the agency agrees and complied with:

1, 2, 3, 4, 5, 6, 7, 8, 9, and 10

2. Audit recommendations the agency agrees with and will comply:

Number	Date agency will comply by
	Not applicable

3. Audit recommendations the agency disagrees with:

None

1. **Arsenal**

The auditors recommended that the Facility maintain proper controls over weapons stored in its arsenal.

Agency Preliminary Response

The Facility agrees and has complied.

Staff members assigned to the perimeter security vehicle are now required to retrieve their personal equipment from the arsenal instead of exchanging equipment on the assignment. The Arsenal Sergeant is ensuring that both the individual's weapons permit and driver license is checked at the time of issue. In addition, the Arsenal Sergeant is ensuring that all weapons instructors complete a weapon and restraint authorization record for all weapons taken to the range for training purposes.

The Arsenal Sergeant sent weapons storage instructions to all of the custody supervisors as a reminder. Each locker in the arsenal now has storage instructions for each of the weapons fastened to the door of the locker for easy reference for staff returning weapons. Additional hardware was added to each locker enabling the Arsenal Sergeant to separately seal each individual locker. This will help ensure weapons are not inadvertently returned to the wrong locker.

The Facility has instructed the Arsenal Sergeant to ensure that all inventory lists in the arsenal contain the same revision dates to ensure that all inventory sheets are updated at the same time.

The Facility assigned the Deputy Warden for Operations to maintain the arsenal master inventory lists. The only individual with access to the electronically stored file is the Deputy Warden for Operations.

2. **Weapons Permits**

The auditors recommended that the Facility rescind DOC weapons permits as required by department policy. The auditors also recommended that the Facility ensure that all officers who are provided handguns possess a current DOC weapons permit.

Agency Preliminary Response

The Facility agrees and has complied. The Facility now understands that it needs to rescind the permit even when the courts have given permission to possess weapons during the course of their official duties. The Facility also understands that it needs to maintain documentation showing that a permit has been rescinded.

The Facility also made changes in how it schedules individuals to work in armed positions. Specifically, all three shifts are required to place the weapons qualification date on the schedule next to the individual's name. The daily reconciliation packet must include a statement showing all qualification dates were verified by the scheduling supervisor and shift commander. The Facility has also changed the format of the master weapons list to make it easier to determine if an individual's qualification has expired or been rescinded.

3. Prisoner and Area Shakedowns

The auditors recommended that the Facility ensure that its officers perform and document all required prisoner shakedowns and area searches.

Agency Preliminary Response

The Facility agrees and has complied. Front line supervisors are monitoring shakedown and search documentation for each officer on a daily basis to ensure that all required shakedowns and searches are performed and documented. The Facility has also changed the format of the reports in which shift command document shakedowns. In addition, the Deputy Warden for Operations will perform random audits of shakedown reports to ensure the numbers reported in the monthly report are accurate.

4. Employee Shakedowns

The auditors recommended that the Facility ensure that it performs and documents all required employee shakedowns.

Agency Preliminary Response

The Facility agrees and has complied. The Facility discussed employee shakedown requirements with all the supervisors on third shift. Shift commanders will closely monitor employee shakedowns to ensure compliance on all three shifts.

The Facility wishes to clarify that it did require all employees to successfully pass through the walkthrough metal detector when entering the Facility. Anyone who fails to successfully pass through the walkthrough metal detector is pat searched. These requirements are in addition to the periodic employee shakedowns discussed in this finding.

5. Maintenance

The auditors recommended that the Facility document its completion of all scheduled preventive maintenance tasks on a timely basis. The auditors also recommended that DOC ensure Micro Main operates as intended to support an effective and efficient maintenance program.

Agency Preliminary Response

The Facility agrees and has complied. The Micro Main program is currently working properly and maintenance staff are using it to document completion of all scheduled preventive maintenance tasks.

6. Radio Checks

The auditors recommended that the Facility ensure that it conducts and documents all required radio checks.

Agency Preliminary Response

The Facility agrees and complied. The Facility implemented additional measures to ensure that radio checks are recorded in the appropriate log book. The Facility created a check list and the radio checks are now only conducted by the monitoring room officer in the control center. In addition, shift command reviews and retains the appropriate radio check sheets for each shift. The Deputy Warden for Operations will randomly review the sheets for compliance.

7. Self Contained Breathing Apparatus (SCBA)

The auditors recommended that the Facility ensure that all officers assigned to a SCBA squad are properly trained and qualified in the use of SCBA equipment. The auditors also recommended that the Facility always assign the minimum number of SCBA certified officers to SCBA squads. In addition, the auditors recommended that the Facility properly complete and document all required SCBA inspections.

Agency Preliminary Response

The Facility agrees and has complied. The Facility provided training to appropriate custody staff, including proficiency testing. Shift command on all three shifts are ensuring only qualified staff are assigned to SCBA squads. The shifts are also ensuring each SCBA squad has the required minimum number of qualified staff on each SCBA team. The Facility had the SCBA equipment flow tested on August 5, 2011. The Facility also assigned qualified staff to complete and document all required SCBA inspections.

The Facility is also taking steps to evaluate whether SCBA is needed within the Facility given the Facility's physical plant design.

8. Reliability of Training Qualification and Certification Information

The auditors recommended that the Facility ensure that all training qualification and certification information used or available for making assignment decisions is accurate.

Agency Preliminary Response

The Facility agrees and has complied. The Human Resource Developer is now typing the word "expired" or "rescinded" in the qualification date box on the master weapons list.

The Facility is now properly entering weapons permit information into TADS.

9. Fire Safety

The auditors recommended that the Facility propose corrective action plans and identify completion dates for all instances of noncompliance identified by its weekly and monthly inspections. The auditors also recommended that DOC's regional operation document that it completed all required fire safety inspections.

Agency Preliminary Response

The Facility and the regional operation in Kincheloe agree and have complied.

The Facility has assigned the warden's administrative assistant to ensure that corrective action plans are documented for any noncompliance issues identified in fire safety reports and that timely corrective action is taken and documented.

The regional office confirmed that the missing monthly inspection was completed but not documented due to the inspector's career ending medical ailment. The regional office will remind the regional fire inspectors to ensure during monthly inspections that facility staff have conducted required SCBA inspections. The Facility tested the SCBA equipment on August 5, 2011 and is now in compliance. In addition, the Facility assigned qualified staff to complete and document all required SCBA inspections.

10. Security Monitoring Exercises (SMEs)

The auditors recommended that the Facility complete all required SMEs.

Agency Preliminary Response

The Facility agrees and has complied. The Facility immediately brought third shift into compliance with the frequency rates on all SMEs. The Facility also developed and implemented a spreadsheet which identifies the various SME requirements and their completion. The spreadsheet has been added to the documents submitted with the monthly report.