

Office of the Auditor General
Preliminary Survey Summary

Thumb Correctional Facility
Department of Corrections

July 2015

State of Michigan Auditor General
Doug A. Ringler, CPA, CIA

The auditor general shall conduct post audits of financial transactions and accounts of the state and of all branches, departments, offices, boards, commissions, agencies, authorities and institutions of the state established by this constitution or by law, and performance post audits thereof.

Article IV, Section 53 of the Michigan Constitution



OAG

Office of the Auditor General

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Doug A. Ringler, CPA, CIA
Auditor General

July 15, 2015

Ms. Heidi E. Washington, Director
Department of Corrections
Grandview Plaza Building
Lansing, Michigan

Dear Ms. Washington:

I am pleased to provide this preliminary survey summary of the Thumb Correctional Facility, Department of Corrections. Because we did not identify significant concerns that would warrant the additional use of our audit resources, we have decided to terminate this performance audit.

We appreciate the courtesy and cooperation extended to us during our preliminary survey. If you have any questions, please call me or Laura J. Hirst, CPA, Deputy Auditor General.

Sincerely,

A handwritten signature in black ink that reads "Doug Ringler". The signature is written in a cursive, slightly slanted style.

Doug Ringler
Auditor General

PRELIMINARY SURVEY SUMMARY

THUMB CORRECTIONAL FACILITY

RESULTS

Our preliminary survey did not identify significant concerns that would warrant the additional use of our audit resources to complete a performance audit. Therefore, we have terminated the planned performance audit.

FACTORS IMPACTING AUDIT TERMINATION

- A preliminary survey of the Thumb Correctional Facility's (TCF's) compliance with policies and procedures related to 21 safety and security risk areas did not identify significant noncompliance.
- Follow-up of 3 prior audit findings that were within our scope determined that TCF had complied with all 3 recommendations. These findings related to firearm certifications, prisoner shakedowns and cell searches, and fire safety and physical plant inspections.

BACKGROUND

Description: TCF opened in October 1987 and is located in Lapeer County. TCF has the capacity to house 1,216 level II prisoners in 6 housing units: 4 for adult prisoners and 2 for youthful prisoners. As of June 23, 2015, TCF housed 1,177 prisoners. TCF offers academic, vocational, and religious programming; prisoner work programs; treatment programs; recreational activities; a general library; and a law library. Prisoners are provided on-site medical and dental care; serious and emergency care is provided by the Duane L. Waters Health Center in Jackson. The perimeter security includes triple 12-foot fences with razor-ribbon wire, towers, electronic perimeter detection systems, and a perimeter vehicle with armed personnel.

TCF operates under policy directives and operating procedures established by the Department of Corrections (DOC) in addition to operating procedures developed by TCF. These policies and procedures were designed to have a positive impact on the safety and security of TCF as well as to help ensure that prisoners receive proper care and services. Although compliance with these policies and procedures contributes to a safe and secure prison, the nature of the prison population and environment is unpredictable and inherently dangerous. Therefore, compliance will not entirely eliminate the safety and security risks.

Expenditures: TCF expended \$31.8 million and \$30.6 million of General Fund appropriations during fiscal years 2014 and 2013, respectively.

Employees: As of June 22, 2015, TCF had 272 full-time employees.

SCOPE

Our preliminary survey generally covered the period January through June 2015. We reviewed procedures and examined records related to DOC's compliance with policies and procedures related to safety and security at TCF, including:

- Arsenal inventories and operations
- Firearm certifications and weapons permits
- Electronic perimeter and camera checks
- Preventive maintenance
- Gate manifests
- Prisoner counts
- Radio checks
- Key and tool control
- Prisoner and employee shakedowns
- Cell searches and area searches
- Security monitoring exercises
- Housekeeping sanitation
- Metal detector calibration
- Security threat groups
- Medication inventory
- Law Enforcement Information Network (LEIN) checks

PURPOSE

Within a performance audit, we design the preliminary survey to obtain an understanding of the core activities within an entity or a program and to identify potential program improvements and/or deficiencies that could impair management's ability to conduct its operations in an effective and efficient manner or in compliance with laws, regulations, contracts, grants, policies, or procedures. If the results of a preliminary survey do not identify significant concerns, our practice is to terminate the planned performance audit.

Preliminary survey procedures are limited in nature and should not be considered a completed performance audit in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States. In addition, our preliminary survey procedures would not necessarily disclose the presence or absence of any material conditions and/or reportable conditions. Given that the procedures we employed did not constitute a performance audit, we will not issue a performance audit report and we do not express conclusions regarding TCF's effectiveness, efficiency, or compliance.

