Contracted Private Prisons Assessment

ASP-Phoenix West
Marana Community Correctional Treatment Facility
ASP-Florence West
Central Arizona Correctional Facility
Red Rock Correctional Center

Assessment

P = Professionalism: Modeling the idea
R = Responsibility: Owning your actions
I = Integrity: Doing the right thing
C = Courage: Taking action despite fear
E = Efficiency: Making every action count

Arizona Department of Corrections
Contracted Private Prisons Assessment

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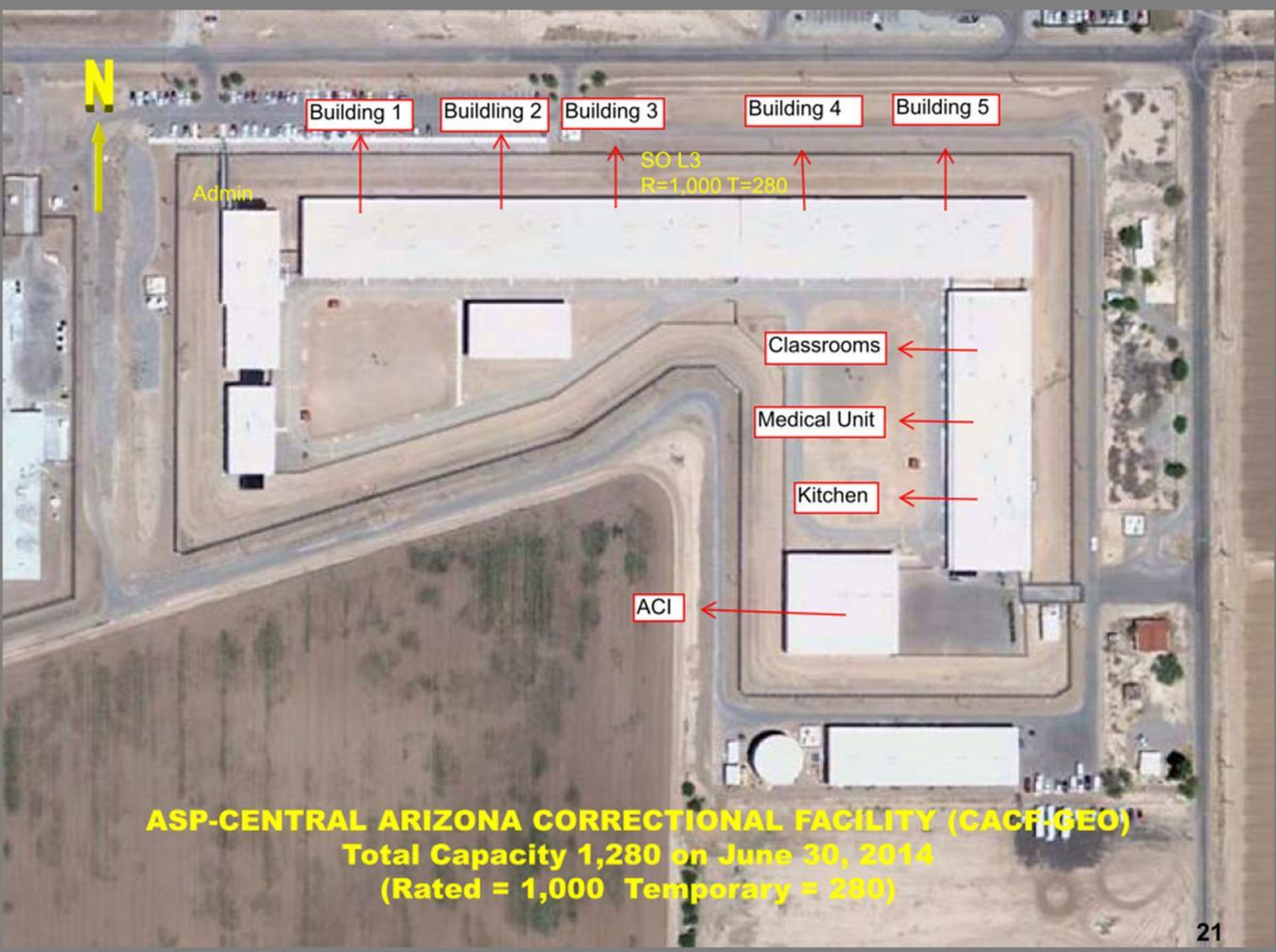
EXECUTIVE SUMMARY

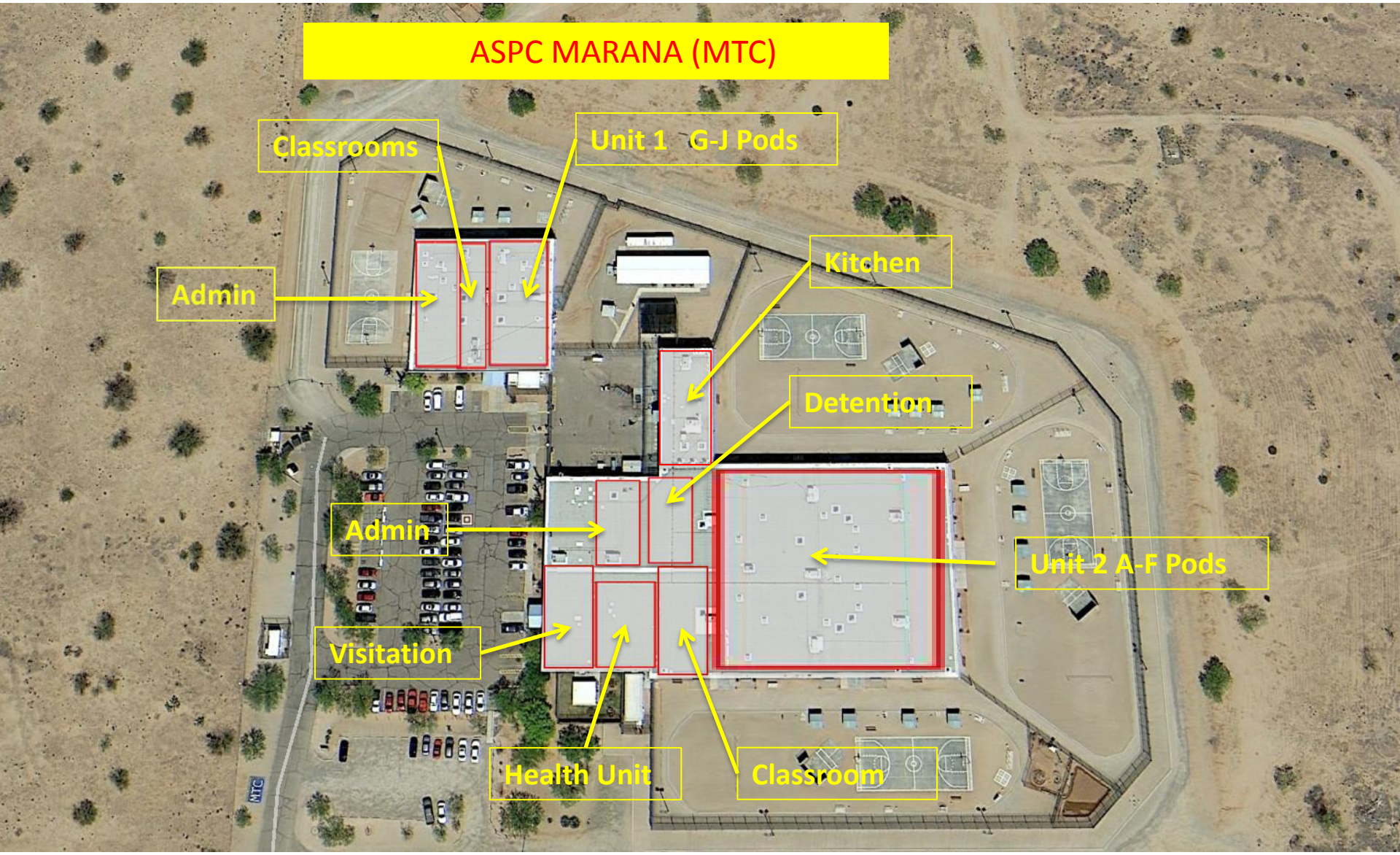
Following the completion of the ASP-Kingman Riot assessment, Director Charles L. Ryan assembled a multi-disciplinary team of subject matter experts to conduct a comprehensive assessment of the five remaining private prisons. This team conducted a comprehensive review, including several hundred staff and inmate interviews, and an extensive document review at each location. The most significant findings of fact include:

- The culture at each of the five contracted prisons is positive with open lines of communication between inmates, line-staff, and unit administrators. Inmates were satisfied with their conditions of confinement and expressed the ability to meet with security supervisors and administrators on a regular basis.
- The majority of the private prison Wardens were not conducting regularly scheduled meetings with line staff. However, all were found to be actively interacting with staff and inmates.
- Staff training at the private facilities did not completely replicate the Arizona Department of Corrections (ADC) training. Staff instructors were not teaching all required classes and in some cases made unauthorized reductions in classroom hours for certain pre-service training courses. Other class time reductions were made which could be attributed to smaller class sizes.
- Overall, the Emergency Response Plans (ERP) at the contracted facilities were lacking in content and uniformity. The three GEO facilities all had identical ERP's which were well written, but not individualized to the specific facilities. The Management and Training Corporation (MTC) ERP was not written in accordance with the National Incident Management System (NIMS)/Federal Emergency Management Agency (FEMA). The Corrections Corporation of America (CCA) ERP was well written, but was missing several key annexes required by contract.
- Designated Armed Response Team (DART) readiness and effectiveness was deficient in all private prison facilities with the exception of Central Arizona Correctional Facility (CACF).
- Overall the inmate programming offered in the private facilities was in compliance with contractual requirements and the private contractors place a high level of focus and resources on inmate programming.
- Overall the private prisons presented well and sanitation was acceptable.
- Three of the five facilities inspected were found to be substandard in enforcement of housing unit regulation compliance. Several facilities were double bunked and afforded very little storage space for inmate property, making enforcement of inmate regulations more difficult. Housing unit regulation compliance was excellent in the remaining prisons.

1. Traffic Control
2. Warehouse
3. Administration
4. Visitation
5. Old Maintenance
6. Laundry
7. Central Control
8. Operations
9. Medical
10. Commissary/ Property
11. Kitchen
12. Dining Hall
13. WBE/ACI
14. Fox Unit
15. Rec. Yard 1
16. Rec. Yard 2
17. Rec. Yard 3
18. Center Yard
19. Sweat Lodge
20. Rec. Yard 4
21. Rec. Yard 5
22. Juliet Unit
23. Echo Unit
23A. Detention
24. Detention Rec.
25. Programs
26. Horticulture Class
27. Hotel Unit
28. Ball Field
29. Golf Unit
30. Receiving and Discharge

N
Admin
Building 5
RTC L2
R=200 T=50
Medical
DWI L2
R=400 T=100
Kitchen
Building 4
Classrooms
Building 3
ASP-FLORENCE WEST (GEO)
Total Capacity 750 on June 30, 2014
(Rated = 600 Temporary = 150)


N
Building 1
Buildling 2
Building 3
Building 4
Building 5
SO L3
R=1,000 T=280
Admin
Classrooms
Medical Unit
Kitchen
ACI
ASP-CENTRAL ARIZONA CORRECTIONAL FACILITY (CACF-GEO)
Total Capacity 1,280 on June 30, 2014
(Rated = 1,000 Temporary = 280)


ASPC MARANA (MTC)
Classrooms
Unit 1 G-J Pods
Admin
Kitchen
Detention
Admin
Unit 2 A-F Pods
Visitation
Health Unit
Classroom
MTC

ASPC - PHOENIX WEST
Kitchen
Visitation
Dorm 1-8
Dormitory
Health Unit
Administration
Education
S-35th-Ave
W-Cocopah-St
S-33rd-Ave

SUBSTANTIVE SUMMARY

On July 1-4, 2015 large scale rioting occurred at the Arizona State Prison-Kingman operated by Management and Training Corporation (MTC). As a result of these riots, ADC Director Charles L. Ryan assembled a multi-disciplinary team of subject matter experts to conduct a comprehensive assessment of the Kingman prison.

Subsequent to that assessment, Director Ryan instructed the team to conduct a comprehensive assessment of the five remaining private prisons that house ADC inmates. The scope of the assessment included a thorough analysis of (1) Leadership and Staff, (2) Inmate Management, Supervision, and Communication, (3) Staff Training, (4) ADC Monitoring teams.

The team conducted a comprehensive review, including several hundred staff and inmate interviews, and an extensive document review at each location.

The Arizona Department of Corrections (ADC) has inmates housed in the following five other privately operated facilities throughout the state:

- ASP- Phoenix West, a 500 bed facility operated by the GEO Group (GEO).
- Marana Community Correctional Treatment Facility, a 500 bed facility operated by Management and Training Corporation (MTC).
- ASP- Florence West, a 750 bed facility operated by GEO.
- Central Arizona Correctional Facility (CACF) a 1280 bed facility operated by GEO.
- Red Rock Correctional Center, a 1568 bed facility operated by Corrections Corporation of America (CCA).

Following is a summary of the findings at each facility:

ASP- Phoenix West:

Warden Phillips and his team are available, accessible, and responsive to staff and inmates. Although Warden Phillips was not holding employee meetings in accordance with Department Order (DO) 112, Department Meetings, he is actively involved in the operation of the facility and meets with staff on a regular basis. He has an open door policy which he fully utilizes.

Overall sanitation of the facility is acceptable. However, DO 704, Inmate Regulations compliance was lacking. Phoenix West is swamp cooled and the facility was hot particularly in dorms 1 and 2. The inmate population was satisfied with the conditions of confinement.

In spite of the low rate of pay for officers and the high turnover rate, employee morale is excellent. Overtime is utilized frequently to maintain required staffing. Overtime is consistently and fairly managed.

The programming and inmate services offered at Phoenix West are compliant with ADC policy and the contract. Overall, the review of these services indicated that they are positively received by the inmates and the contractor places an appropriate level of importance on their delivery.

Phoenix West failed to deliver some in-service supervisory classes by not utilizing the current lesson plan, and in other cases made unauthorized reductions in classroom hours for certain pre-service training courses. ADC Correctional Officer Training Academy (COTA) cadets receive 13 contact hours of crisis intervention training; Phoenix West academy cadets receive 9 hours. This is noncompliant with COTA curriculum. Many of the supervisory staff including Warden Phillips have not attended required National Incident management System (NIMS) courses.

Firearms instructors were reported to use poor communications with class participants. Annual firearms instructor evaluations had not been completed for the firearms instructors. The Senior Firearms Instructor received an Unsatisfactory/Noncompliance Evaluation from the ASPC-Phoenix Senior Firearms Instructor on 08/11/2015.

The assessment team observed a Designated Armed Response Team (DART) drill and the participants were not familiar with how to deploy the munitions. Phoenix West DART equipment does not include helmets for individual team members. Phoenix West supervisors were not trained with the current DART for Supervisors lesson plan. There is no reference to DART in facility Emergency Response Plan (ERP). All of the Arizona GEO Group operated facilities use the same ERP. The ERP is well written, but it is not tailored to the individual facility.

The ADC Monitoring Team assigned to Phoenix West maintains a cooperative working relationship with the Phoenix West administration. The ADC ASP-Phoenix West monitoring team meets timeframes on the majority of the required paperwork. The team completes its (Green/Amber/Red) GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. At the time of the Kingman riots, the team was only monitoring in-service training completion, not pre-service training, nor the quality/curriculum content of the training. Quality of pre-service and in-service training is now being monitored.

Marana Community Correctional Treatment Facility:

Warden Jeremy Casey and his team are available, accessible, and responsive to staff and inmates. Warden Casey is personally involved in the day to day operation of the facility. Warden Casey is actively involved the training of his staff. He teaches Self Defense and Crisis Intervention in the pre-service academy.

Warden Casey is holding all employee meetings in accordance with DO 112, Department Meetings. He meets with staff and inmates regularly. He has an open door policy which he fully utilizes.

Overall sanitation of the facility was above average. DO 704, Inmate Regulations compliance was very good with a few minor deficiencies noted mainly in the double bunked areas. Marana is swamp cooled. However, there were few inmate complaints due to the strategic placement of fans throughout the facility. The inmate population was satisfied with the conditions of confinement. Inmates identified as Security Threat Group suspects or who are involved in prison politics are identified and relocated.

In spite of the low rate of pay for officers and the high turnover rate, employee morale is excellent. Overtime is utilized frequently to maintain required staffing. Overtime is consistently and fairly managed. Overtime is not creating issues for staff.

Marana employs a large number of former ADC employees. These employees are viewed as mentors and teachers. Staff and inmates reported that they have a positive impact on the facility.

The programming and inmate services offered at Marana are compliant with ADC policy and the contract. Overall, the review of these services indicated that they are positively received by the inmates and the contractor places an appropriate level of importance on their delivery.

Some pre-service academy rosters could not be located in order to demonstrate that all required course contact hours had been completed.

The ERP is not written within the guidelines of the Federal Emergency Management Agency (FEMA). The ERP does not contain emergency support functions or annexes. There are no clear directions within the ERP on how to manage an inmate disturbance, an inmate homicide, or an inmate work stoppage/strike. WebEOC/NIMS are the standard methods utilized by ADC for managing large scale incidents. Much of the Marana management is unfamiliar with/does not have access to WebEOC.

The assessment team observed a DART drill and the DART team leader was not familiar with how to deploy munitions. There are not enough restraints on the facility to restrain the entire inmate population in the event of an emergency.

The ADC Monitoring Team assigned to Marana maintains a cooperative working relationship with the Marana Administration. They are working through transition issues with the lead monitor, DW Adam Bradley. He is known by many staff at Marana and his communication style has not been well received. The ADC ASP-Marana monitoring team meets timeframes on the majority of contractually required paperwork. The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. At the time of the Kingman riots the team only monitored in-service training completion, not pre-service training, nor the quality/curriculum content of the training. Quality of pre-service and in-service training is now being monitored.

ASP-Florence West:

Warden Rick Mauldin and his team are available, accessible, and responsive to staff and inmates. Although Warden Mauldin was not holding employee meetings in accordance with DO 112, Department Meetings, he is actively involved in the operation of the facility and meets with staff on a regular basis. He has an open door policy which he fully utilizes.

Overall sanitation at the facility was sub-standard and DO 704, Inmate Regulations compliance was lacking. Florence West is swamp cooled, there were fans in use and the inmates were not complaining. Inmates reported four staff members who are aggressive and/or unprofessional. The majority of inmates reported being satisfied with the conditions of confinement at Florence West.

Staff pay is not an issue at Florence West, and employee morale for the most part is good. Dayshift is not being required to take the mandatory 30 minute lunch break and the other shifts view this as a pay differential. Assistant Warden Duggan made a comment about this in a meeting that upset the swing shift staff. These issues are beginning to have a negative effect on employee morale. Overtime is utilized frequently to maintain required staffing. Overtime is consistently and fairly managed.

The programming and inmate services offered at Florence West are compliant with ADC policy and the contract. No structured recreation activities are offered to the inmate population and the WIPP jobs are primarily porter positions providing minimal work hours. Overall, the review of the programming offered indicated that they are positively received by the inmates. There is a high volume of idle inmates at Florence West.

Pre-service training for Florence West is conducted at the CACF facility. Four Security Supervisors have not completed all required National Incident Management System (NIMS) courses. DART for Supervisors 2015 was not offered in FY2015.

The assessment team observed a DART drill and the participants were not familiar with how to deploy munitions. Florence West supervisors were not trained with the current DART for Supervisors lesson plan. There is no reference to DART in facility Emergency Response Plan (ERP). All of the Arizona GEO Group operated facilities use the same ERP. The ERP is well written, but it is not tailored to the individual facility.

The ADC Monitoring Team assigned to Florence West maintains a cooperative working relationship with the Florence West administration. The ADC ASP-Florence West monitoring team meets timeframes on the majority of the contractually required paperwork. The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. At the time of the Kingman incident, the team was only monitoring in-service training completion, not pre-service training, nor the quality/curriculum content of the training. Quality of pre-service and in-service training is now being monitored

Central Arizona Correctional Facility (CACF):

Warden Bennie Rollins and his team are available, accessible, and responsive to staff and inmates. Although Warden Rollins was not holding employee meetings in accordance with DO 112, Department Meetings, he is actively involved in the operation of the facility and meets with staff on a regular basis. He has an open door policy which he fully utilizes.

Overall sanitation at the facility was excellent. DO 704, Inmate Regulations compliance was very good. CACF West is swamp cooled, there were fans in place and the inmates were not complaining. Inmates reported being satisfied with the conditions of confinement at CACF.

Ingress search procedures for staff are not to standard. Members of the assessment team witnessed violations of policy and this was previously documented in the May, 2015, GAR, CACF, when staff did not conduct proper ingress search procedures on two staff.

Entry level pay is not an issue at CACF, however, many staff complained because they have not had a raise in years. Florence West, also owned by GEO, has received annual raises. Staff reported that senior staff earns the same rate of pay as new officers. In spite of this issue, morale is good for the majority of staff. Overtime is utilized to maintain required staffing. Overtime is not creating issues for CACF with the exception of a miscommunication issue. Staff were confused about the amount of overtime required to reduce their overtime mandate number. Warden Rollins was addressing this.

The programming and inmate services offered at CACF are compliant with ADC policy and the contract. Overall, the review of these services indicated that they are positively received by the inmates and the contractor places an appropriate level of importance on their delivery.

CACF failed to deliver some in-service courses in a classroom setting by providing training that was being conducted in control rooms from printed slide shows. CACF failed to deliver some pre-service courses as required by ADC by making unauthorized reductions in classroom hours in several critical areas; Use of Force, Transportation and Restraints, Non Violent Crisis Intervention. It was confirmed that in June, 2014, at least two employees had been placed into the academy at Week 4 and was provided curriculum from the first 3 weeks to catch up.

The assessment team observed a DART drill at CACF. The team was well trained and the drill was effective. CACF is contractually required to have a thirty person Tactical Support Unit (TSU). They have a Correctional Emergency Response Team (CERT). It does not have the required number of positions filled or the minimum equipment required by contract for a TSU. Tactical Training is not conducted in accordance with the ADC Tactical Training Schedule. There is no reference to DART in the facility Emergency Response Plan (ERP). All of the Arizona GEO Group facilities use the same ERP. The ERP is well written, but it is not tailored to the individual facility.

WebEOC/NIMS are the standard methods utilized by ADC for managing large scale incidents. Much of the CACF management is unfamiliar with/does not have access to WebEOC. The CACF Warden has not completed MAG400. Five security supervisors and two staff have not completed the required NIMS training.

The ADC monitoring team assigned to CACF maintains a cooperative working relationship with the CACF administration. The ADC CACF monitoring team meets timeframes on the majority of the contractually required paperwork. The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. At the time of the Kingman incident, the team was only monitoring in-service training completion, not pre-service training, nor the quality/curriculum content of the training. Quality of pre-service and in-service training is now being monitored.

Red Rock Correctional Center:

Warden Bruno Stolc and his team are available, accessible, and responsive to staff and inmates. Although Warden Stolc was not holding employee meetings in accordance with DO 112, Department Meetings, he was holding the majority of required meetings. He is actively involved in the operation of the facility and meets with staff on a regular basis. He has an open door policy which he fully utilizes.

Overall sanitation at the facility was excellent. DO 704, Inmate Regulations compliance was lacking. Red Rock is air conditioned and the facility was comfortable. Inmates reported being satisfied with the conditions of confinement at Red Rock.

The programming and inmate services offered at CACF are compliant with ADC policy and the contract. Overall, the review of these services indicated that they are positively received by the inmates. Classes are taught in a professional manner and encourage pro-social behavior. The contractor places an appropriate level of importance on their delivery.

The majority of the ASP Red Rock Administration has not completed required NIMS training including MAG 300 or 400. Supervisor Essentials and DART for Supervisors 2015 training was not offered or completed. The Emergency Response Plan (ERP) for Red Rock is well written, however, it is missing several required annexes.

The assessment team observed a DART drill and the participants were not familiar with how to deploy munitions. The DART leader demonstrated poor tactics, splitting his team and losing his ability to direct the team. This decision confused team responders as to their roles and created an unsafe condition (cross fire) for responders**.**

The ADC monitoring team assigned to Red Rock maintains a cooperative working relationship with the Red Rock administration. The ADC Red Rock monitoring team meets timeframes on the majority of the contractually required paperwork. The team completes its GAR Inspections

and tour requirements in accordance with ADC policy and contract requirements. At the time of the Kingman incident, the team was only monitoring in-service training completion, not pre-service training, nor the quality/curriculum content of the training. Quality of pre-service and in-service training is now being monitored.

Assessment Team Bio's

The Contracted Private Prison's assessment team was comprised of the following individuals from the Arizona Department of Corrections (ADC):

Ernest Trujillo, Northern Region Operations Director (NROD) – ADC 28 years; Mr. Trujillo promoted through the ranks and has been a Warden at ASPC-Safford, Lewis and Eyman complexes. He served as the Security Operations Administrator prior to becoming the NROD over five prison complexes.

Gerald Thompson, Deputy Warden of Operations (DWOP) – ADC 25 years; Mr. Thompson has promoted through the ranks and has been the Deputy Warden at SMU-I, Morey, and Rast. He presently serves as the Deputy Warden of Operations for Lewis Complex.

Therese Schroeder, Deputy Warden (DW) – ADC 27 years; Ms. Schroeder promoted through the ranks and has been a Warden at ASPC-Safford, Perryville and Tucson. DW Schroeder also held the position of Security Operations Administrator at Central Office. She currently works for Community Corrections as the Deputy Warden of the Southern Arizona Community Corrections Center (SRCCC).

Wayne Mooney, Deputy Warden (DW) - ADC 19 years; Mr. Mooney has promoted through the ranks and has been an Associate Deputy Warden at Eyman and Deputy Warden of Compliance at ASPC-Winslow. He is presently Unit Deputy Warden at ASPC-Lewis Barchey Unit.

John Weiss, Deputy Warden – ADC 16 years; Mr. Weiss has been a Tactical Support Unit member and Crisis Negotiations member. He promoted through the ranks and currently works as a Unit Deputy Warden at ASPC-Perryville.

Mark Versluis, Training Officer II (TOII) – ADC 32 years; Mr. Versluis promoted through the security ranks and served as the Tactical Support Unit Comander prior to his retirement. Mr. Versluis rehired as an Industry Product Specialist and is currently a Training Officer II.

Luis Matos, Lieutenant – ADC 15 years; Lt. Matos has promoted through the security ranks working in Special Security Unit (SSU), Designated Armed Response Team (DART) Leader, Service Dog Handler/Supervisor, Tactical Support Unit (TSU) Member/Leader, and currently as Special Services Unit (SSU) Coordinator for ASPC-Lewis.

Aurelio Quintero, Lieutenant – ADC 16 years; Lt. Quintero has worked at Eyman and Florence Complexes, promoting through the security ranks. He has been working in the Special Security Unit (SSU) for 13 years. He is currently the SSU Coordinator for ASPC-Florence.

Carlos Reyna, Lieutenant – ADC 27 years; Lt. Reyna has worked all custody levels at ASPC-Eyman and promoted through the security ranks. He has worked for the Special Security Unit (SSU) for 18 years and has assisted all prison SSUs investigatative disturbances, racial tensions to mediations and assisted Security Threat Group (STG) Units. Lt. Reyna is currently the SSU Coordinator for ASPC-Eyman.

John Chavez, Sergeant – ADC 18 years; Sgt. Chavez has worked at ASPC-Eyman and Florence and promoted through the security ranks. He has worked for the Special Security Unit (SSU) for 15 years and has assisted all prison SSUs investigate disturbances, racial tensions to mediations and assisted Security Threat Group Units.

OPERATIONAL ASSESSMENT
ASP–PHOENIX WEST
Operated by
GEO GROUP

OBJECTIVE 1: Assessment of GEO Leadership and Staff

The Assessment Team evaluated the staff and leadership of Arizona State Prison (ASP) Phoenix West (GEO), to include strengths and weaknesses, communications, decision making, and overall effectiveness in operations of the prison.

Members of the ADC assessment team engaged in direct observation of unit management and operational practices for three (3) days. They conducted over fifty (50) interviews with GEO staff and interviewed over eighty (80) inmates. Interviews were conducted with the majority of officers, sergeants, and lieutenants. GEO staff members appeared to be very candid in their responses to the assessors.

From the interviews conducted with staff, very few concerns were shared. Questions were asked concerning the leadership approach of the management team. The only negative opinion voiced is that the current rate of pay is too low. With the exception of complaints about pay, the staff appear to be happy with their work and employer.

Warden Wayne Phillips

Warden Phillips has been assigned to ASP-Phoenix West for approximately eighteen (18) months. He stated during his tenure at Phoenix West there have been two different ADC Lead Monitors.

The purpose of the assessment was discussed with Warden Phillips. He was advised that the process was not meant to be a 'gotcha' and if the assessment revealed any concerns that needed to be addressed he would be advised of them. Warden Phillips said he welcomed the assessment team and would be responsive to any concerns relayed to him.

Warden Phillips was informed that his staff reported he tours frequently and is accessible to them. He discussed his style of management is to be personally involved. Warden Phillips said he meets with all new hires and conducts the actual interviews as much as possible. He spends time with cadets and they discuss the low pay issue. He reported that he asks the new cadets to spend a year with them (GEO/Phoenix West) and it will 'pad your résumé'. He acknowledged that the low pay is creating a high turnover rate. He is aware of the overtime usage and monitors it. GEO policy does not limit how much overtime an employee may work in a week. ***(GEO/Phx. West, Policy and Procedure Manual, Title: Overtime, Exhibit #1)*** He said they occasionally have an officer who works more than 24 hours of overtime in a week, Warden Phillips is advised

of the overtime and they try to avoid it. For the most part, they do their best to only allow staff to work 24 hours of overtime per week.

Warden Phillips was asked about his relationship with the ADC Monitoring Team and if there were any concerns; he reported none. He said there was a period of transition when ADC Lead Monitor Deputy Warden (DW) Bradley was assigned to Phoenix West, but they have worked through it and now communicate very well.

The Green-Amber-Red (GAR) inspection instrument was discussed with Warden Phillips. He reported there are a high number of GAR findings and they are upsetting to his staff. The fact that GAR is a snapshot in time and different monitors have different styles and approaches was discussed; he feels confident that his team is dealing with it. He mentioned that GAR has peaks and valleys. He said that he has to keep staff calm when they receive a GAR finding, but he understands the process.

Warden Phillips reported that he sees Contract Beds Operations Director (CBOD) Tara Diaz and Deputy Bureau Administrator (DBA) Ron Credio and has a good relationship with them; he respects them. Overall, he feels that he and the current monitoring team have a good relationship. He said that they have reached a point of partnership and have a cooperative relationship.

Warden Phillips mentioned that due to the different monitors and from what inmates from other facilities report, he feels that ADC facilities are not run consistently in the same manner. He was advised that ADC expects to run all facilities consistently and that staff and inmates should find the same procedures in place at all prisons. He stated that ADC has more redundancy of paperwork than other agencies he has worked for.

Warden Phillips reported that he personally attends inmate orientation on Thursdays. He tells the inmates up front that he does not allow inmate politics on his unit. He tells them they will be locked up if they try to run things at Phoenix West. On most mornings he walks through the facility first to get a feel for the day; he tours daily. He said he believes in talking and listening to inmates. He stated the issues that resulted in the Kingman riots were identifiable and that someone missed something. On his walks he carries a notebook and writes down inmate and staff issues and he follows up on them. He ensures that all inmates know that 'political' behavior will not be tolerated.

There was discussion about the team witnessing racial integration at the tables in the chow hall and that the inmates were happy with the food. The inmates housed in the 3 GEO facilities receive three hot meals a day, as approved by CBOD Diaz. The GEO facilities utilize the 2008 menu which required three hot meals a day ***(GEO/Phx West January 14, 2015 memo to Contract Beds Operations Director, Tara Diaz, Exhibit #2)*** In an ADC facility, minimum custody inmates receive two hot meals and sack lunch.

Warden Phillips was asked if the Emergency Response Plan (ERP) contained information regarding the Designated Armed Response Team (DART). He responded that he will review it to check. He stated that DART is a [redacted]. [redacted] Warden Phillips was asked about the facility [redacted]. He said that he is reviewing this with DW Bradley now but feels that it might not be a concern in minimum custody. ***Note:*** [redacted]. The [redacted] munitions was discussed. He discussed the strategy for [redacted]. He reported that with a [redacted]. He said that money is a problem and discussed that Phoenix West is not making a profit. He was advised of the concern regarding the DART not having helmets as part of the assigned equipment even though they are specified in the DART for Supervisors lesson plan. He stated that he will be obtaining helmets for the DART.

Warden Phillips has not attended the required National Incident Management System (NIMS) required training- specifically MAG 300/400. He did not think he was required to and will follow up with DW Bradley. (He has since been scheduled to attend the MAG 300 training in September, 2015.)

Warden Phillips acknowledged that he has not been holding meetings with different categories of employees as required in Department Order 112. In review of the FY 2015 Annual Inspection Report (12/18/14), it was noted that Warden Phillips was not meeting quarterly with the Facility Health Administrator ***(GEO/Phx West 2015 Phoenix West Audit, Exhibit #3)*** He said he will now hold all required meetings. He stated that he did not feel they were needed due to the size of the facility and the fact that he sees the staff every day because he tours frequently.

Warden Phillips stated his main frustration as the Warden of Phoenix West is the staffing. Warden Phillips stated that Phoenix West officers' pay is lower than any of the other private prisons in the State. Warden Phillips was advised that one of his officers had told an assessment team member that GEO could not give the officers a raise due to "the company giving ADC 100 beds". Warden Phillips said the officer was referring to the $10 dollars a day for each of the 100 emergency beds. It was discussed that the officer having this information allowed him to have the perception that it is ADC's fault that his pay is low. Warden Phillips said that he does not believe this is so. He stated that the officers received a 2.5% raise last year, but that their pay is still low. This is why he preaches "give me one year." When asked if training an officer who will only stay one year is cost effective, he stated that he did not believe it was and that the company needs to find a way to keep staff. The staff have the option to transfer to other GEO facilities, but most want to stay in the area. He reported that he feels they have a vested interest in the staff, but that this is at a level above him. Warden Phillips had a brief discussion about GEO being a

publicly-traded company. He then commented that due to the high employee turnover rate they hold approximately four academies per year.

The interview was ended with commentary that the staff and inmate morale is high. Warden Phillips said he feels he does not have any problems in this facility. He wishes he could do more for his staff yet he does what he can. They hold monthly recalls of all staff which are held in visitation. This is when the staff is recognized for positive performance, provided a meal and pertinent information is shared.

Assistant Warden Edward Coday

Assistant Warden (AW) Coday has worked at Phoenix West for approximately 3 years. He promoted to the position from Captain in October 2014. When asked to describe his role at Phoenix West, AW Coday replied that he is the second in command and oversees security and the overall operation of the facility. He said security is his main concern and he oversees the yard. He reported that he tours daily, sometimes 2 or 3 times per day. He said he has a lot of paperwork, but he likes to tour.

AW Coday was asked about his relationship with the ADC Monitoring Team. AW Coday stated he has a very good relationship with the ADC monitors and he believes he can talk to the monitors about problems. He said there are no concerns. He stated that each monitor sees things differently and that there has been a lot of turnover within the monitor team. He has worked with three lead monitors (Manriquez/White/Bradley) and several Captains and Correctional Officer IIIs (COIIIs). He said that all of them see things differently which can be frustrating, but they work through issues and make changes as needed. He reported that he has a good relationship with the current team and they converse and get along. He reported that when staff writes disciplinary tickets the inmates tell the staff they will beat the ticket. It seems that the inmates only get extra duty hours and that the Captain keeps the tickets at the lowest level, especially for non-compliance with Department Order (DO) 704. He stated that he has discussed this with Captain Fernandez and advised him that the staff do not feel supported when this happens. AW Coday was advised that this would be reported to DW Bradley for him to monitor more closely. AW Coday stated that he and the ADC monitors have different ideas on how DO 704 should be enforced in the dorms. AW Coday's main concerns were about what items should be allowed on the TV shelf.

AW Coday reported that the facility maintains proper compliance with Security Device Inspection (SDI) reports and the necessary follow up required for any reported deficiencies. Compliance with this requirement was observed and confirmed by the assessment team.

When asked if he felt that there were [redacted]. He

said that his goal is to maintain staff safety. When asked about only having [redacted] he reported that [redacted] are on order. He also reported that he has ordered [redacted]. The Emergency Response Plan (ERP) for Phoenix West was reviewed and there was no mention of a DART response in the plan. AW Coday was asked if he could find any mention of a DART response in the ERP for Disturbances/Riot and he confirmed that DART was not mentioned. Within the ERP, the Disturbance/Riot Annex for Phoenix West also describes [redacted] Correctional Emergency Response Team (CERT) [redacted]. This Annex was plagiarized from another GEO ERP and has not been adapted to the Phoenix West facility. Phoenix West [redacted], nor are they contracted [redacted]. CERT is a term used by Central Arizona Correctional Facility (CACF), also operated by GEO, [redacted]. The ERP is stored in the Command Center and is accessible to staff during an emergency. No other concerns were noted with the ERP. The plan is thorough and has an updated call out list of staff phone numbers which were updated 08/15/2015.

AW Coday monitors staffing and the use of overtime. He said he tries to ensure that no one works more than 24 hours of overtime per week and he knows who to watch because they want to work more. He stated, 'we are a training academy for ADC'. He said he wishes they had more training they could offer staff such as Tactical Support Unit (TSU), K9, and Special Security Unit (SSU). He also said that [redacted]) work SSU, but they do this as an additional duty; [redacted].

AW Coday was advised that his July graveyard tour was only 30 minutes long as he was logged in at 0530 hours. He said that sometimes he monitors crews without coming inside and that he often checks on work crews early in the morning. He stated that he normally does 2 or 3 hour tours.

AW Coday advised that he talks to the inmates and advises them on the expectations at Phoenix West and how it is (no politics).

<u>Assistant Warden (AW) Bruce LeValley</u>

AW LeValley functions as the Business Manager for Phoenix West. The interview with him was brief. The only concern that he shared was that he feels at times there are changes to policy or the technical manual that conflict with the contract or require clarification. AW LeValley was advised to address these concerns with DW Bradley, DBA Credio and CBOD Diaz. He reported that he does communicate well with the monitors. He said he may not always get the answer he wants, but they communicate well.

Assistant Warden (AW) Mary Coonrod

AW Coonrod was asked to provide a description of the duties she performs at ASP-Phoenix West. She advised that her responsibilities included supervising and monitoring the five substance abuse counselors, the five case managers, one teacher, one full time librarian, the offender information unit, Work Incentive Pay Plan (WIPP), programs compliance and a part time clinical director. She has worked for GEO for twenty years in her current capacity. When asked what programs they provide to the inmates she gave me the list of available programs with familiarity and emphasis on the Department's classes Re-entry and Cognitive Restructuring. She was familiar with the responsibility to ensure inmates less than 23 years old with no GED were required to be enrolled in education.

AW Coonrod was asked if GEO offered a CTE class to inmates and replied with "No, it's not in the contract." She was asked how she prepares her staff to teach classes to inmates. They are prepared by attending ADC 'Train the Trainer' courses. The Clinical Director also helps to prepare the staff. AW Coonrod also observes some classes and evaluates the instructors by providing feedback.

When asked if there were clear objectives for the classes she advised there were objectives as well as tests to identify if the inmate had received the message.

AW Coonrod had reached twenty years of employment with GEO the week prior. When asked if she was going to retire she said she would stay for awhile longer as she enjoyed her work and the company she worked for.

During interviews with the programs staff there were two staff members identified that had been with GEO for 19 years and the shortest amount of time was 4 months, but claimed many years of experience in substance abuse counseling in the correctional arena. All staff members interviewed was happy with their employment and saw themselves working there in the future.

Captain Ramon Suarez

Captain Suarez was asked how often a security post is collapsed, he responded 'never'. A review of three months of shift rosters determined this to be true. Captain Suarez was asked what actions were to be taken if they had an emergency inmate escort to the hospital. He stated it rarely happens, but they would call someone in from home to assist.

Captain Suarez was asked if he had at least two weeks of projected staffing rosters. He produced two weeks of the rosters and stated he has to do this several weeks in advance so he can fill in any 'holes' with overtime staff.

Captain Suarez was asked how often security staff conduct bunk searches of the inmate population. He advised that two bunks are searched in each dorm on Day and Swing shifts seven

days a week. Captain Suarez stated the inmate population is also searched every quarter for three days. He produced a search schedule and ICS paperwork for Quarterly Searches. Warden Phillips and Assistant Warden Coday confirmed that WEBEOC is opened every quarter for inmate searches.

Captain Suarez was asked how often DART Drills were conducted and his response was they are done monthly. He said the drills are conducted in the parking lot and the weapons are never loaded. Warden Phillips confirmed that DART drills were conducted monthly in the parking lot and the weapons were not loaded. Captain Suarez stated their DART is not provided with helmets. ***Note: The requirement for having helmets as a part of the DART equipment is contained in the DART for Supervisors lesson plan.*** Several boxes were observed stacked up in the hallway in front of the DART storage room. This created a very small space to maneuver with DART weapons and munitions.

Captain Suarez was asked how often he inspects correctional service logs to ensure security checks are being completed in a timely manner. He said daily, as security is his first priority. Correctional Service Journals were reviewed and they verified that staff are conducting security checks. The assessor visually confirmed that security checks are being conducted at least once every hour.

Captain Suarez was asked how he tracks Security Device deficiencies. He stated staff on post check the security devices daily, Key Control Officer Mickelson checks the security devices weekly, and he (Capt. Suarez) checks the security devices once a month. Captain Suarez produced three months of Security Device Inspection (SDI) reports. The May security device report showed two open items, Light #3 was out and Camera #2 was not working. An observed concern was the failure to carry over the two items (light #3 and camera #2) from one month to another. Captain Suarez stated "it was an oversight because 99 percent of all security device deficiencies are repaired in the month they are discovered." The assessor confirmed that Light #3 was repaired and Camera #2 was working properly.

Captain Suarez and Assistant Warden Coday were asked separately if they ever have any security devices that go unrepaired for long periods of time. Captain Suarez and AW Coday stated that door [redacted] was worked on for approximately two months and it could not be repaired. They both stated the door worked fine, but it would not alarm in main control if the door was opened. They finally installed a new alarm system on the door and it now alarms in main control. Security device deficiencies are repaired quickly and the only delay is when they have to order parts. The assessor confirmed that security devices are inspected and repaired in a timely manner at Phoenix West. Overall, SDI processes are properly addressed.

Deputy Warden, Adam Bradley (ADC Monitor) submitted a memo with an inventory of the Phoenix West restraints. The following is a list of restraints in accordance with the memo: [redacted]

handcuffs, [redacted] handcuffs issued to staff, [redacted] leg irons, [redacted] belly chains, [redacted] flex cuffs on-site, and [redacted] flex cuffs in the offsite work crew checkers vehicle. Phoenix West [redacted] ***(GEO/Phx. West-Phoenix West Restraint Inventory Memo, Exhibit #4)***

Summary of observations and conclusions:

Staff consistently reported that they had completed their required training and that the academy was productive and prepared them for the job. (***GEO/Phx. West Phoenix West In-service training audit DW Bradley and Phoenix West response, Exhibit #5***)

Staff consistently reported that the supervisors (sergeants and lieutenants) are readily available to them and that they tour frequently.

Staff consistently reported that the Administration is well known to them and are approachable. It was observed that Warden Phillips tours daily and the staff and inmates know him well. Assistant Warden Coonrod and Coday, and Captain Suarez are also well known to staff. Line staff and supervisors report they see the unit administrators in the housing areas and dining area frequently each week. All tour frequently and are reported to be accessible and responsive. The overall response from line-staff is that the security supervisors, to include the Chief of Security, are all routinely meeting with staff and inmates.

CO III/Case managers were positive and reported that their workloads are acceptable and that they have time to see inmates daily.

GEO staff consistently reported that they know the ADC monitors, that they see them touring, and that they feel the monitors are approachable.

Hiring information was reviewed and only one concern was noted. An employee ***(GEO/Phx. West Personnel Report, Exhibit #6)*** had been dismissed for drug usage and was listed on a personnel report as 'eligible for rehire.' This is being corrected. The amount of employee discipline was not excessive and staff did not report any concerns related to employee discipline. The turnover rate is high but does not appear to be related to employee management issues. It is reported to be due to the pay rate.

DO 703 reports were reviewed and found to be complete and thorough. Warden Phillip's reports were comprehensive and contained a good narrative of what was inspected. There were no large discrepancies in reports from the GEO team to the ADC monitoring team. Three minor concerns were noted- Lead Monitor DW Bradley omitted the time and date on a May 2015 tour. Warden Phillips marked a swing shift tour with a time of 1200 AM and AW Coday did a 30 minute

graveyard tour in July 2015. All were advised of these errors. ***(GEO/Phx. West, GEO 703 Tour Reports, Exhibit #7)***

An experience level comparison in terms of years in job code was conducted relative to the staff at GEO and like-positions within ADC. Additionally, a comparison of the length of time in a qualifying pay grade/rank was completed with GEO Case Managers and ADC COIIIs, as well as the Sergeants in ADC and GEO. The results of the total comparisons are listed below:

Position	ADC	ASP-Phoenix West
CO	6.40	3.3
COIII	4.96	7.6 (Case Manager)
Sgt	3.75	2.1
Lt	3.81	0.9
Captain	3.14	0.8
COIV	4.11	N/A
ADW	1.26	0.9 (Operations AW)
ADW	1.26	20 (Programs AW)
Warden	2.77	1.2

Full Time Positions:	Allocated	Filled	Vacant
Correctional Officer II	54	43	11
Sergeant	3	3	0
Lieutenant	4	4	0

ASP-Phoenix West has a total of 97 positions to include Administration, Security, Clerical, and Medical staff.

Overtime is used on most, if not all shifts, to reach required staffing. Staff voiced that for the most part, they volunteer for the overtime and are rarely mandated to work overtime. If mandatory overtime is needed, there is a fair and consistent method for making the assignments. Line-staff report that they often work between eight (8) and twenty four (24) hours of overtime per week; predominantly the overtime worked is voluntary. Several staff state there is a maximum of 24 hours of overtime per week allowed; anything over that would require approval from Warden Phillips. The majority of staff interviewed shared that they are happy for the opportunity to work overtime to supplement their pay.
During the pay periods noted, the following staff worked in excess of 48 hours overtime:

Pay Period Ending:	Staff and Hours of OT worked, in excess of 48 hrs:
5/10/15	Tandler 56.5, Gracey 60.5, Baldwin 61.0
5/24/15	Ceron 49.5, Tandler 64.75, Daniels 53.5, Mahana 59.75
6/7/15	Tandler 49.5, Gracey 54.75, Baldwin 66.75
7/19/15	Tandler 49.75

Posts are typically fully staffed without collapsing of posts. Overtime is used to fill vacant posts on the roster. If a post needs to be collapsed in order to provide staffing for an emergency medical transport, staff are called in from home to fill the collapsed post.

Key Findings

- DART equipment does not include helmets for individual team members. [**Violation of DART for Supervisors Lesson Plan, operational concern**]

- GEO Warden and Assistant Warden have not attended all required NIMS courses. [**Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education,]**

- GEO Warden has not been holding all required staff meetings. [**Violation of DO 112, Department Meetings]**

- There is no reference to DART in facility Emergency Response Plan. **[Violation of DO 706, Incident Management, operational concern, sound correctional practices**]

- The facility Emergency Response Plan Annex for Disturbance/Riot refers to [redacted] Correctional Emergency Response Team (CERT) [redacted] This Annex has not been adapted to the Phoenix West facility. [redacted] **[Violation of DO 706, Incident Management, operational concern, sound correctional practices**]

- [redacted]. **[Operational concern and sound correctional practice]**

OBJECTIVE 2: Inmate Management, Supervision and Communication

ASP-Phoenix West presented a clean and well cared for image in the Administration areas. The Administration and hallways had been freshly painted. The staff were welcoming and professional. The ingress procedure was not to standard and team members were not thoroughly searched. This was corrected and improved for the rest of the visit. As noted in the May 2015, GAR, GEO staff did not conduct proper ingress on two DOC staff ***(GEO/Phx. West May 2015, GAR Searches, Exhibit #8)*** The Case Manager's offices as well as officer stations appeared neat and orderly.

The unit was clean and this continued on into the inmate areas as sanitation was generally satisfactory throughout the tour. Inmate compliance with housing regulations was lacking. Towels were tied to bunks to create partitions and block the view. Finished hobby craft items were on display in inmate cubicles and there were some pictures of scantily dressed females visible throughout the dorms. Inmates were sharing cable connections to receive television signals not associated with the inmate TV system. Inmates were witnessed without shirts and wearing beanies. The bunk areas do not have bulletin boards and there was not a clear directive or photograph to show what an acceptable living area should look like. There were a large number of inmates still asleep at the time of the tour, 0900 hours, and it appeared there was an overall appearance of idleness among the inmate population. Warden Phillips stated he did not have enough jobs for every inmate and this was evident. The living areas and hallways were full of inmates not involved in programming, work, or scheduled activities. Interaction with the inmates was good, they responded politely when spoken to and did not present a negative demeanor.

The living areas are cooled with evaporative cooling and it was quite warm in Dorms 1 and 2. Portable evaporative coolers were observed in these areas. There were active measures being taken to cool down the warmer areas.

The inmate population stated they had continuous access to the Phoenix West Administration and they were very pleased with how they were being treated. Inmates were positive about the food and visitation. While observing a meal it was witnessed that inmates were integrated in the chow hall with no issues noted.

Officers were in the Officers Stations when the assessment team arrived, however, they greeted and walked with the team, but were not seen already on the floor engaging inmates. The officers were professional and pleasant to interact with.

Constituent Services:

A review of complaints from constituent services would indicate that ASP-Phoenix West is within ADC standards and comparable to other ADC units of its size and custody level. ***(GEO/Phx West FY 2015 Constituent Services Report, Exhibit #9)***

Disciplinary:

There was a significant increase in the number of inmate disciplinary violation reports compared to the past three years. The current trend projects an increase of 80% for Calendar Year 2015 when compared to Year 2014. Over 61% of the inmate disciplinary violations identified below appear to be inmate behavior that can be potentially mitigated through one-on-one counseling.

Inmate disciplinary violation reports issued in Year 2012, Year 2013 and Year 2014 were respectively 595, 678 and 715. Year over year for 2012 and 2013, there was an increase of 14% in inmate discipline. For 2013 and 2014, there was an increase of 5% in inmate discipline year over year. As of 08/17/2015, there were 804 inmate disciplinary violation reports issued. At the current trend, Year 2015 inmate disciplinary violation reports issued is projected to increase 80% when compared to Year 2014. ***(GEO/Phx. West 2012, 2013, and 2014 Year to Date Discipline AIMS Print Out, Exhibit #10)*** As of 08/17/2015 for Year 2015, 61.55% of inmate disciplinary violation reports issued consisted of:

- 01B - Aggravated Refusal (17.04%)
- 11B - Disrupt Count (22.51%)
- 25B - Disobey Directive (13.06%)
- 04C - Disrespect to Staff (1.49%)
- 05C - Violating Grooming (2.61%)
- 20B - Obstructing Staff (2.24%)
- 36B - Violating Department Instruction (2.24%)

As of 08/17/2015, inmate disciplinary violations were finalized as follows:

- 77 guilty major verdicts
- 405 guilty minor verdicts
- 165 informally resolved inmate disciplines
- 152 Dismissed or Not Guilty verdicts
- 5 pending

Grievances:

The number of formal inmate grievances filed at Phoenix West totaled six so far for calendar year 2015. These numbers are within the average range when compared to similar custody ADC units (ASPC-Winslow, Apache Unit and ASPC-Lewis Eagle Point/Sunrise Unit) on a per capita

basis. Inmate Personal Property was the main grievance issue at Phoenix West, which is common. ***(GEO/Phx. West, ASP-Phoenix West Grievance Logs, ASPC Lewis – Eagle Point Grievance Logs, and ASPC Winslow – Apache Grievance logs, Exhibit #11)***

Classification:

A review of the classification actions with the general population inmates at Phoenix West indicates that all classification actions are within time frames with the exception of one inmate. ***(GEO/Phx. West Phoenix West AIMS Classification Print Out, Exhibit #12)***

Detention:

ASP-Phoenix West detention unit holds up to 19 inmates. Currently there are only three inmates in detention cells. Two inmates are pending reclassification to medium custody (felony detainer holds) and one inmate is pending discipline for staff conflict. Six (6) inmates were improperly classified or had classification actions that were not actively followed up to facilitate movement from detention to a general population facility. The ADC COIII is responsible for the classification actions for inmates assigned to detention. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report. ***(GEO/Phx. West January 2015, GAR Detention, Exhibit #13)*** The inmates housed in detention reported they were very content with how they were being treated. The detention inmates stated they see the Captain, Warden, Shift Commanders, and Program Officers on a regular basis, and they receive recreation and showers on a regular basis. ***(GEO/Phx. West Individual Inmate Detention Records, Exhibit #14)***

Visitation:

Visitation at Phoenix West is higher when compared to a similar ADC Unit. For the month of July, 2015, AIMS indicates there were 980 adult and minor visitors. ASPC-Lewis, Eagle Point/Sunrise visitation for the month of July was 284. With a population difference 262 more inmates at Phoenix West that equals a 40% higher visitation rate. There are many contributing factors to the high visitation numbers. The location of the prison, many first time convictions and it is a low level DUI unit. ***(GEO/Phx. West, Visitation Summary: ASP Phoenix West & ASPC Lewis Eagle Point, Exhibit #15)***

<u>Inmate Programs</u>

Education:

ASP-Phoenix West has two mandatory literacy classes and one GED class for students less than twenty two years of age. There are currently no students less than twenty two years old enrolled in GED.

ASP-Phoenix West also has a work at home GED course that is mandatory for any inmate assigned to an offsite work crew. The teacher is available in the afternoon for tutoring and questions. Current enrollment in Functional Literacy 18 and GED is 51 inmates. ***(GEO/Phx. West, Capacity Report, Exhibit #16)***

Career Technical Education (CTE)

ASP-Phoenix West does not have a CTE program. When asked why not, it was stated that it is not identified in the contract.

Substance Abuse Programs – Case Manager Programs

ASP-Phoenix West provides substance abuse counseling to all inmates assigned to the facility; all inmates at Phoenix West are minimum custody and are serving DUI sentences. Per the contract all inmates must attend a minimum of five hours per week of substance abuse treatment and/or education classes for the duration of their stay.

The program consists of a statutorily mandated 36 hour curriculum (referred to as levels 1 &2) covering DUI treatment (20 hours) and education (16 hours). Each inmate is assigned to the levels classes within 1 – 2 weeks of arrival at the facility.

Once completed with the levels curriculum inmates are then assigned to additional classes covering the following:

- Basic Alcohol and Drug History
- Cognitive Restructuring
- Family Dynamics
- Non-Violent Communications
- Decision Making / Stress Reduction
- Parenting
- Positive Relationships / Support Systems
- Relapse Prevention / Coping

Each class is five weeks in length. When an inmate is 5-6 weeks from release they are placed in a Pre-Release class.

The total amount of substance abuse programming the inmate receives depends on his sentence length. A large number of inmates assigned to Phoenix West are serving four month sentences as a condition of probation; others are serving up to five years. All of the substance abuse programs are taught by a licensed counselor.

Case managers teach Thinking for a Change and re-entry programs. The inmates are assigned based on their order of placement on the priority ranking report.

Case Managers also conduct office hours and are available daily to the inmate population. When walking amongst the inmate population one does not receive a lot of questions regarding case management issues. This is indicative of being able to meet with a case manager regularly.

Reviews of classes show the counselors and case managers are actively teaching and engaging the inmates during class. ***(GEO/Phx. West, Capacity Report, Exhibit #16)***

Religious Services:

ASP-Phoenix West provides a number of religious program services. They provide an Alcoholics Anonymous program that is religious based. The religious services calendar indicates a wide range of programs and services for various religious groups showing a service or meeting everyday with the exception of the 1st and 3rd Friday of the month. ***(GEO/Phx. West, Religious Services Calendar, Exhibit #17)***

Library Operations:

The library is open five days a week for five hours a day. The schedule rotates from the morning to the afternoon to ensure that inmates assigned to offsite work crews have the opportunity to visit the lending library. In addition to the books on the shelf the librarian has also partnered with the Phoenix Public Library to allow inmates to check out books from there as well. ***(GEO/Phx. West, Library Pamphlet, Exhibit #18)***

Work Opportunities:

ASP-Phoenix West has a maximum population of 500 inmates and a current population of 485 inmates. There are three types of jobs available to the inmates at Phoenix West: Arizona Correctional Industries (ACI) employs 10 inmates, Inter Governmental Agreement (IGA) employs 109 inmates, and Work Incentive Pay Plan (WIPP) employs 254 inmates. Of those 254 inmates, 91 are employed as either a building porter or a porter for programs, visitation, clothing or other. Total employed inmates are 373 at the unit which is a 70% rate of employment.

When comparing the racial breakdown of the unit versus that of inmates working there is no more than a 2% difference in any race, indicating that jobs are shared equally by racial composition. ***(GEO/Phx. West, Phoenix West Capacity Report, Exhibit #16)***

Structured Recreation:

An effective management tool for correctional administrators when they are challenged with keeping inmates occupied and engaged if meaningful jobs are lacking is to provide an ample amount of recreational activities in both active and passive formats. Phoenix West has a full time

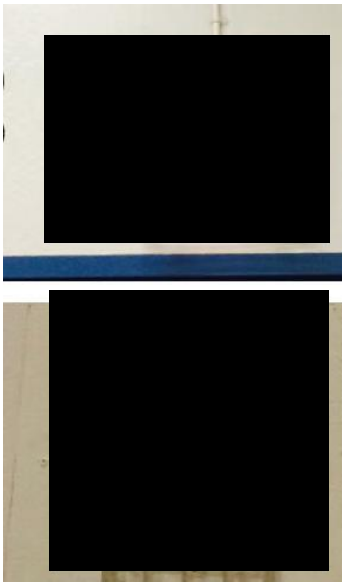
recreation coordinator who is present Monday through Friday 6:00 AM to 2:00 PM. He has scheduled recreation tournaments monthly and supervises the recreation field and multipurpose room during the duty times. ***(GEO/Phx. West Recreation Hours of Operation and Monthly Calendar, Exhibit #19)***

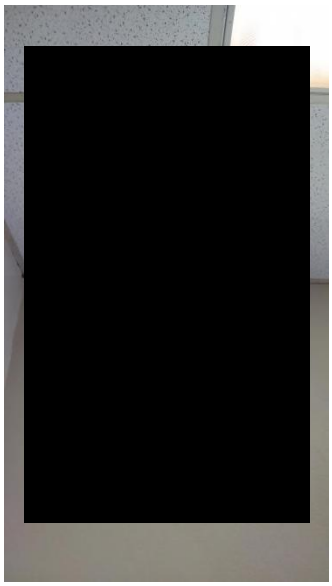
Intelligence Gathering/Sharing:

ADC Special Security Unit (SSU) staff reported to the Phoenix West facility for the purpose of assessing and determining the current culture that exists among the inmate population and GEO staff. An initial tour of the unit was taken with Arizona Department of Corrections monitors facilitating the tour. The tour was in the [redacted]. SSU staff toured the facility to include the inmate living areas, common areas, education classes and the recreation yard.

During the tour several initial observations were made to include the following; a large number of the inmate population did not appear to be engaged in any programming, education or work assignments. Inmates' sanitation within the dorms could use some attention to detail to include inmate grooming.

Security concerns during the initial tour include the [redacted]. These structures [redacted]. ***(See Below Pictures)***





The designated GEO staff members assigned to perform SSU duties were interviewed to determine their understanding of prison dynamics, prison cultures, Security Threat Group (STG) /Criminal Street Gang (CSG) and the Department Order (DO) 806 policy. This group consists of [redacted]. It is apparent that they had a limited understanding of the

STG/806 policy. GEO staff stated that they needed additional training in interviewing techniques and additional resources that would help with intelligence gathering and analysis. The designated GEO staff members are not assigned to full time SSU duties at the GEO facility, and assume dual responsibilities during the course of the day. [redacted]

Approximately eighty (80) inmates from throughout the inmate population, to include all races, were interviewed regarding conditions of confinement. The following information was obtained: inmates strongly stated that the ADC monitoring staff tours the facility daily and is available for inmates' issues and concerns. Inmates stated that any inmate is allowed to participate in town hall meetings (Forums) and they are held frequently. The inmate population expressed that GEO management and ADC monitors take a committed stance in addressing concerns before escalating into major issues.

The inmate population stated that Warden Phillips tours the yard daily and is approachable when they have any issues that require administrative involvement. Inmates also stated that Assistant Warden Coday and Captain Suarez are always available and are seen very frequently among the inmate population. Inmates state that the GEO management staff has an open door policy. They reinforced that they feel most of their issues and concerns are successfully resolved which allows relief for the inmate population.

Programming was a concern of the inmate population, they stated that minimal programming is afforded to the inmate population and that vocational and ACI jobs are very limited. A racial balance within the inmate work programs offered at the facility appears to be appropriate.

The inmate population was observed during recreation, meal turnouts, and dormitory activity. It was witnessed that inmate prison politics are basically non-existent. This practice among the inmate population allows for integration of the races without any negative consequences from the established prison protocols implemented by the inmate population in other state institutions and units. The integration of the inmate population was observed on all levels of interaction. ***(Below is a picture taken of an integrated bible study group that inmates hold daily on their own on the recreation yard.)***

The GEO Administration with the assistance of the ADC monitors and the designated staff, who oversee SSU duties have implemented effective practices to address inmates attempting to become political or inmates attempting to have a negative influence on the facility. Inmates demonstrating these types of behavior are addressed immediately. Those who fail to change their behavior and attempt to push prison politics or try to negatively influence the inmate population are placed in detention and issued disciplinary. This method appears to be positive in maintaining a non-political and integrated prison facility.

During the observation of line staff assigned to the dorms, staff members were witnessed demonstrating sound correctional practices as outlined in post orders. They were observed to be in a state of continuous movement within the dorms providing security and engaging the inmate population.

‘Walk and Talk’ sessions with the inmate population in the dorm setting and the recreation area validated that inmates are complying with directives and instructions when interacting with correctional and programming staff members. Supervisory presence during the course of the day allowed the SSU assessors to witness successful interaction with both line staff and the inmate population.

SSU interviews concluded that GEO line staff, supervisors and Administration are effectively engaging the inmate population that allows for best correctional practices to benefit the ASP-Phoenix West. The culture allows for the inmate population concerns and issues to be elevated and resolved with overall satisfaction. The GEO staff has demonstrated that by implementing sound correctional practices, the public, staff and inmates benefit from the safe, secure operation of an institution.

Key Findings

- Ingress search procedures for ADC employees not up to standards. As noted in the May, 2015, GAR, GEO staff did not conduct proper ingress on two DOC staff (Searches finding #12). **[Violation of DO 708, Searches]**

- Inmate compliance with housing regulations was lacking and required greater attention to detail. **[Violation of DO 704, Inmate Regulations]**

- There were a large number of inmates still asleep at the time of the tour, 0900 hours, and it appeared there was an overall appearance of idleness among the inmate population. The living areas and hallways were full of inmates not involved in programming, work, or scheduled activities.**[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**

- The living areas are cooled with evaporative cooling and it was quite warm in Dorms 1 and 2. Portable evaporative coolers were observed in Dorms 1 and 2.**[Operational Concern]**

- Errors in classification actions and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

- [redacted]. [**Operational concern, sound correctional practices**]

- Assigned private prison staff self-report limited understanding of intelligence-gathering, Security Threat Groups, and related subjects. [**Operational concern, sound correctional practices**]

OBJECTIVE 3: Staff Training

The following is a summary of the Assessment Team's review of staff training to include pre-service, in-service and specialized courses for TSU, DART, and Emergency Management (NIMS). Team members interviewed training staff, examined class rosters, course curricula, and a multitude of training-related documents to better understand the learning process at ASP-Phoenix West. ***(GEO/Phx. West, FY2015 Annual Training Plan, Exhibit #20)***

Training was found to be deficient in some areas. Phoenix West had reduced or failed to conduct some of the classes required by ADC, both pre-service and in-service. Also the senior firearms instructor received an unsatisfactory rating during a recertification evaluation. This brings into question the validity and quality of the senior firearms instructor's provided lessons.

In-Service Training:

A sample of three months of in-service rosters and FY15 spreadsheet of in-service training were reviewed, no findings of noncompliance were found. On July 22, 2015 Deputy Warden Adam Bradley, ADC Monitor conducted an audit and found that 99% of staff had completed the required annual training. One employee did not attend Self-Defense during the training year and 12 staff had not completed required NIMS training. The deficiencies were corrected by GEO. ***(GEO/Phx. West, Phx West In-service training audit DW Bradley and Phx. West response, Exhibit #5)***

A review of rosters indicated that Supervisor Essentials FY 2015 training was completed for all assigned supervisors.

A review of firearms rosters for May 2015, June 2015, and July 2015 was completed with no discrepancies found. ADC Monitor Captain Fernandez reported that he had observed firearms training on at least three occasions and witnessed poor communications among instructors and students. Further inquiries of instructor credentials revealed annual firearms instructor evaluations had not been completed. During the FY 2015 Annual Facility Inspection, 12/18/14, Phoenix West was cited for not having current evaluation for the Senior Firearms Instructor. The last evaluation on file is for 2012. Captain Fernandez scheduled an onsite evaluation by an ADC Senior Firearms Instructor from ASPC-Phoenix. The Senior Firearms Instructor (Owens) received an Unsatisfactory/Noncompliance Evaluation which was conducted on 8/11/2015 ***(GEO/Phx. West, Phx West Firearms Instructor Evaluation for Recertification, Exhibit #21)***

Designated Armed Response Team (DART):

A review of reports for May, June, July reveal DART drills were completed on each shift, once per month.

A DART response drill was conducted for the purpose of assessment team evaluation: The DART responded without protective head gear (helmets), although not specifically required in ADC policy, ADC's DART for Supervisors 2015 lesson plan shows a riot helmet as minimum safety equipment. ASP-Phoenix West is in process of purchasing helmets. DART response time was [redacted]. DART responders were called into a briefing room for approximately two minutes for a briefing on use of force. Individual DART responders were asked what munitions they were carrying and how they would deploy each type of munition. Each DART responder was asked specifically how they would deploy the munitions they were carrying (target areas). Staff answered incorrectly in each instance. The DART leader said he would not [redacted] believing that he could not ensure the safety of staff and weapons. ***(GEO/Phx. West, DART Training Lesson Plan dated 04-19-2005 *Restricted, Exhibit #22), (DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit #23), (Department Order 706, Incident Management *Restricted, Exhibit #24)*** Command and General Staff assignments were made [redacted] the drill. Staff accountability was initiated at approximately [redacted] and completed at approximately [redacted].

Training Officer Beamer was asked if the DART for Supervisors 2015 course was being taught. It was discovered that the old version of DART for Supervisors was taught in FY 2015. ***(GEO/Phx. West, DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit #23)*** Training Officer Beamer stated the new version will be presented as soon as possible.

Pre-Service Training:

A review of the training curriculum for GEO's Correctional Officer Training Academy was compared with the curriculum of ADC's Correctional Officer Training Academy. Three GEO academy class rosters were compared with the ADC pre-service 280-hour academy matrix. The review showed the training for GEO is significantly shorter primarily in the areas of Use of Force, and Transportation and Restraints. Disparities in other critical classes were also discovered. ADC has determined that Crisis Intervention is a critical course and it is to be instructed only by Grade 20 personnel (Captain or COIV) or above. ADC spends 13 contact hours with this course instructing cadets in conflict resolution, non-violent crisis intervention, and professional staff/inmate communications. It is taught through lesson delivery and scenario-based learning. GEO delivers the course in 9 hours, notably shorter than ADC. When Training Officer Beamer was questioned about the discrepancies in required training, he stated that some disparities are due to class size of often ten or fewer cadets as compared to ADC's thirty plus cadet sized classes. (***GEO/Phx. West, ADC/GEO Pre-Service Training Hours Comparison, Exhibit #25***) Due to the noted disparities in pre-service training, GEO failed to meet their contractual obligation by not teaching the approved COTA curriculum.

Three pre-service classes were observed unannounced. In each instance, an ADC lesson plan and slide show was observed being used and content was well presented.

As part of ADC Pre-Service training, a Field Training Officer Program (FTO) is in place to afford cadets and newly graduated officers an opportunity to be mentored by a specially selected, experienced officer. The assessment confirmed that GEO does conduct a Field Training Officer Program (FTO) as part of pre-service training ***(GEO/Phx. West, GEO FTO Rosters, Exhibit #26)***

Tactical Support Unit:

The Phoenix West facility [redacted] ***(GEO/Phx. West, Phoenix West/ADC Tactical Support Agreement, Exhibit #27)***

National Incident Management System (NIMS) Training:

Three security supervisors have not completed NIMS 200, two administrators have not completed MAG 300 and three administrators have not completed MAG 400. ***(GEO/Phx. West, Phoenix West NIMS completion, Exhibit #28)*** Warden Phillips, Assistant Warden Coday, Assistant Warden LeValley, and Captain Suarez were asked if they have completed ICS 300 training. AW Coday and Captain Suarez stated they have both completed ICS 300 and 400. Warden Phillips and AW LeValley stated they have not completed ICS 300 or 400 training. Captains, Assistant Wardens, and Wardens should have completed at least ICS 300. This course is only offered in a classroom setting. Warden Phillips and AW LeValley stated they have plans to complete ICS 300 and 400 courses the next time they are afforded the opportunity.

Munitions Comparison:

A comparison of less than lethal munitions at Phoenix West was compared to ASPC-Winslow, Apache Unit due to like custody level and population size. In each category except CS grenades, Phoenix West had fewer munitions on hand than Apache Unit. There are currently no minimum standards established for munitions inventories within ADC. ***(GEO/Phx. West, ADC Private Prisons, Munitions Comparisons, Exhibit #29)***

Overall, the training programs at ASP-Phoenix West appear to require greater management oversight.

<u>Key Findings</u>

- GEO failed to deliver some in-service supervisory classes by not utilizing the current lesson plan, and in other cases made unauthorized reductions in classroom hours for certain pre-service training courses.**[Violations of Contract #010039DC, Sections 3.10, Governing Law/Department Written Instructions; 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education, operational concern, sound correctional practices]**

- COTA cadets receive 13 contact hours of crisis intervention training; GEO academy cadets receive 9 hours. This is noncompliant with COTA curriculum. **[Violation of Contract #010039DC Section 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**

- GEO Supervisors were not trained with the current DART for Supervisors lesson plan. **Violation of Contract #010039DC Section 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**

- DART equipment does not include helmets for individual team members. [**Violation of DART for Supervisors Lesson Plan, identified in Objective #1, operational concern**]

- DART members could not correctly identify how to deploy assigned munitions. **[Violation of DART Training Lesson Plan, operational concern]**

- Five (5) supervisory staff including GEO Warden and Assistant Warden have not attended all required NIMS courses. [**Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education, identified in Objective #1]**

- Firearms instructors were reported to use poor communications with class participants. Annual firearms instructor evaluations had not been completed for the firearms instructors. During the FY 2015 Annual Facility Inspection, 12/18/14, Phoenix West was cited for not having current evaluation for the Senior Firearms Instructor. The last evaluation on file is for 2012.The Phoenix West Senior Firearms Instructor received an Unsatisfactory/Noncompliance Evaluation from the ASPC-Phoenix Senior Firearms Instructor on 08/11/2015. **[Violation of DO 510, Firearms Qualification/Firearms Instructor Certification, operational concern, sound correctional practices]**

Objective 4 – ADC Monitoring Team

This segment encompasses a review of duties and functions of the on-site ADC staff assigned to monitor the operations of ASP-Phoenix West staff and bridge the relationship between the Department and ASP-Phoenix West.

The Arizona Department of Corrections employs a cadre of full-time staff to monitor contract compliance of contracted prison facilities. The ADC Monitoring Team is comprised of:

Tara Diaz, Contract Beds Operations Director (oversees monitoring of all contract bed facilities)

Ron Credio, Contract Beds Deputy Bureau Administrator (oversees monitoring of all contract bed facilities)

ASP-Phoenix West Monitoring Team

Adam Bradley, Deputy Warden – Lead Monitor

Barry Fernandez, Captain, Disciplinary Coordinator, Monitor

Adam Kraatz, Captain, Disciplinary Hearing Officer (Assigned to Central Office- visits Phoenix West)

Kairu Washington, CO III, Programs Monitor

The ADC Assessment Team reviewed the contract for GEO and the scope of work within Department Order #106, Contract Beds, and Department Order #703, Security/Facility Inspections for the bureau and assigned monitors.

The ADC monitors were interviewed and their performance was reviewed. The assessment also included a review of the current contract, discussions with GEO staff, operational observations, and document checks. After reviewing DO 703 GAR (Green-Amber-Red) inspection reports, audit results, monthly reports, inmate disciplinary findings and classification decisions, the assessment team determined the following:

The ADC Monitoring Team is meeting their statutory and contractual requirements based on the policy. They are conducting their required monthly tours based on a review of submitted DO 703 reports ***(GEO/Phx. West ADC 703 Reports, Exhibit #30)*** The ADC Monitoring Team completes their GAR and DO 703 monthly inspections appropriately. This is evident through GAR inspection results, tour inspections reports and observations. GAR inspections and prison tours are conducted to monitor the specific security operations and security devices at a prison unit and ensure that they remain in good working condition, and that supervisory and other management personnel conduct regular inspections and tours. The monitor team is known to the staff and the

inmate population. They tour frequently and conduct regular GAR inspections. There are a significant number of GAR findings most months.

These tools (GAR, tours/inspections) do not 'monitor' the culture of a prison unit, to include the interactions between inmates and staff, and the attitudes of each group. GAR inspections do not ask questions about the quality or quantity of staff training, or how often officers see their supervisors on the yard. To properly assess the culture of a prison unit, one needs to speak with staff and inmates at length and observe their interactions. In depth town hall meetings (Forums) with inmates should be observed routinely and the attitudes of both staff and inmates noted. Given the small size of this facility, ADC monitors have been able to be involved more in-depth with these listed activities.

The ADC Monitoring Team has established a process of addressing issues on the spot and working with the GEO Administrators to correct them. DW Bradley monitors GAR corrective action plans (CAPs) and at this time there are none pending. The assessment team noted no delays in CAPs follow-up.

The team meets timeframes for the majority of their mandatory oversight and decision making on the high volume of inmate actions (classification, disciplinary, visitation, releases, correspondence, etc.) and contractor clearances. Six (6) inmates were improperly classified or had classification actions that were not actively followed up to facilitate movement from detention to a general population facility. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report.

ADC monitors report that generally there is open communication between the GEO staff and ADC Monitoring Team. When asked if he felt that staff has been advised not to talk to the monitors, Captain Fernandez replied, "Sometimes, when we GAR a lot, it happens. It goes back and forth. A couple of staff here told us 'we can't talk to you' but again, this was during the high GAR month." He said it has gotten better. GEO employees did not share any information with the assessment team that would indicate that they were told it was frowned upon to speak to ADC staff.

ADC Lead Monitor DW Bradley reported he has been monitoring in-service training. He advised that he monitors percentage of completion of required courses and advised GEO management of their training percentages in June. He said they improved them by the end of the training year. He reports that Phoenix West completed the training year at 99% with one officer who did not complete self-defense training. DW Bradley stated that Captain Fernandez teaches Inmate Discipline at Phoenix West. Monitoring the quality of instruction, the compliance with curriculum requirements, and the overall GEO approach to training is not included in written instructions to the monitoring team and is not currently within the scope of their responsibility.

Additionally, the ADC Annual Inspection report, compiled by the Inspections Unit, only reports on findings of completed training.

The Contract Beds Monitoring Team members were interviewed separately.

Deputy Warden Adam Bradley

DW Adam Bradley was interviewed on August 18, 2015. He has been assigned as the ADC Lead Monitor over the GEO operated Phoenix West and MTC operated Marana facilities for over six months. He has 18 years experience with the Department. He stated that he has a copy of the contract and refers to it as needed. The contract for GEO is a separate contract from that of MTC. He attended monitor training and was explained the expectations of the position upon assignment.

DW Bradley was asked to detail his duties as a monitor and to describe his role. He stated that he supervises the monitor team and is a member. He is a mediator between the team and private prison management. He tours, monitors, conducts GAR inspections, reviews for policy and contract compliance. He oversees most areas of the facility.

DW Bradley was asked if he observed training and monitored training percentages. He stated he does. When asked if he was monitoring these prior to the Kingman riots, he stated that he was. He advised GEO management of their completed training percentages in June and they improved them by the end of the training year. He reports that ASP-Phoenix West completed the training year at 99% with one officer who did not complete self-defense. Bradley stated that Captain Fernandez also teaches Inmate Discipline at Phoenix West.

DW Bradley reports that his relationship with the management team is professional. He interacts well with the Warden and AWs. GAR was discussed and the fact that the monitor team enters a high number of GAR findings. He acknowledged that they do but that they report what they find. He said that at first this was causing an issue with the GEO management team. It was a bit of an 'us versus them' situation when the team entered 54 GAR findings in the month of April, 2015. There is an ebb and flow to the GAR findings and it has been worked out. There were only 13 GAR findings in July but this was the month when DW Bradley was in Kingman and on annual leave. He reported there is no quota for GAR findings and that the team gives warnings and uses findings as teachable moments. He said that at times his COIII can get excited about GAR findings and he is working with him to always be professional. When advised that Captain Fernandez had stated that GEO retaliated with issuing inmate tickets when the GAR findings were high, Bradley acknowledged this and said that this has been resolved. When the possible need for a clerical position was discussed, DW Bradley said the workloads were not excessive and were very manageable. DW Bradley reported that Phoenix West is current on GAR corrective action plans.

DW Bradley reports that when he finds issues or when there are concerns he reports them to DBA Ron Credio and/or CBOD Tara Diaz. He said that Ron Credio is who he goes to for clarification on issues. He also said that he communicates and reviews issues with Warden Phillips. He reports low level issues directly to the Warden. For example he has worked with him for issues with the performance of Captain Suarez and the Captain has improved his performance significantly.

DW Bradley splits his time between Marana and Phoenix West. He determines his schedule by need and it is not a set schedule. He attends the morning briefing of the facility he is at. He attends the Phoenix West detention meeting when he can and does not typically attend the weekly Intel meeting but the Captain does.

DW Bradley splits his graveyard tours between the two facilities but does occasionally do more than one per month at each. He monitors ingress/egress, crew turnouts, kitchens, and overall unit operation on these tours. He is required to tour all offsite work crews one time per quarter and the Captain is required to tour them monthly. DW Bradley stated that he had not been ensuring that the Wardens complete their required meetings but he is now doing so. Due to the size of the facilities he feels that he and his team have the ability to know the staff and inmates, and pick up on inmate and staff morale issues and the culture of the units.

When advised that only one of the two team members goes to the morning meeting at Phoenix West, DW Bradley stated that he knew this and that he agreed with that procedure. He said that when he is at Phoenix West, only he goes to the meeting. By only one team member attending he feels that it alleviates the possibility of the management team feeling 'ganged up on' or for an 'us versus them' impression. He also said that by not having both attend the meeting, one of his team can be working while the other attends the daily briefing. Bradley stated that his goal is that there are always two of the three team members on site. He is building a cooperative relationship with the management team. When advised that the captain and COIII do not reconcile the daily incident reports in order to know that they have reviewed all of them, DW Bradley stated that he will implement this.

DW Bradley stated that he is notified of all significant issues, all SIRs, and anything urgent. He stated that he typically gets a call from his COIII or Captain first and then GEO management contacts him.

Captain Barry Fernandez

Captain Barry Fernandez was a Captain for one year before his assignment to Phoenix West as a monitor. He has been at this assignment for one year and four months. He has a copy of the contract and has attended monitor training. He understands the expectations of a monitor.

Captain Fernandez described his duties and his role by saying that he is the Disciplinary Coordinator and that he monitors for contract compliance. He conducts GAR inspections and also notifies the management team of issues by email correspondence. He tours off-site work crews one time per month, or more. He assists at Kingman as needed and he covers for Captain Kraatz as needed. He said that he acts as a mentor for the GEO staff and that he teaches them how ADC does things. He acts as a mediator between inmates and GEO staff when inmates bring issues to him. He discussed how he handled two recent issues with an inmate's property and the lack of boots. He advises that he addresses issues verbally, by email, through GAR and in the morning meetings. He also reports issues to DW Bradley.

Captain Fernandez reported that typically DW Bradley is on site two days per week. When there are issues he reports them right away to Bradley and to Warden Phillips. He follows his chain of command and is comfortable taking issues to Warden Phillips. There was a time when the AWs were upset about the number of GAR findings. There were about 35 in one month, he thinks it was April. They were touring more to get DW Bradley acquainted with the facility and they did GAR findings for issues they found. For the most part, DW Bradley follows up on the GAR corrective action plans. He said that when he enters a GAR finding, he goes back the next month and checks the area again to verify that it was corrected. If it has not been he does another GAR finding and will enter a Red GAR finding if the deficiency has not been corrected. He stated that Red GAR findings are effective.

Captain Fernandez stated that most of the other monitoring teams have secretaries who enter the disciplinary tickets. We discussed this as Phoenix West is a small facility and the workload is reasonable. Fernandez said it is, but when the monitoring team enters a lot of GAR findings the facility retaliates with a lot of tickets issued to inmates. He said he gets stacks of tickets and the mood changes. He said it gets less friendly and not as professional. When asked to give an example, he said that it does not get unprofessional, it is just different. He said that it is better now. The management team has gotten to know DW Bradley and it has improved. When asked if he had reported this to DW Bradley he said he had and that Bradley said "you knew that was going to happen" and it will get better. Captain Kraatz came and assisted with the tickets and things are better now.

Captain Fernandez typically takes the DO 703 tour form with him on formal tours. He talks to officers and checks on them and their uniform compliance. He typically comes in at 0400 or a little earlier for a graveyard tour. He monitors ingress/egress, count, kitchen, work crew turnouts, pat downs, boots, escape flyers, talks to staff and more. On his informal tours he walks around and checks on staff and checks on different areas. When he has a GAR finding he discusses it with the Warden and advises DW Bradley.

When asked if he felt that staff has been advised not to talk to the monitors, he replied, "Sometimes. When we GAR a lot, it happens. It goes back and forth. A couple of staff here have

told us ‘we can’t talk to you’ but again this was during the high GAR month. It has gotten better.” Fernandez said, “DW White resolved issues more informally. DW Bradley is more formal, more GAR, but now it is better.” The officers talk to him (Fernandez); he gets calls and they bring him issues. He refers them to their Human Resources staff etc. Staff also talk to him about working for ADC. When asked if he feels he can assess staff morale, he stated he can. It is good but they do talk to him about pay. When advised of the officer who said that GEO cannot give raises because of giving ADC 100 beds, Fernandez said he has never heard an officer talk about that but Warden Phillips does.

Captain Fernandez said that he has witnessed programs meetings with the case managers but he had not been monitoring to see if the Management team was compliant with ADC policy on staff meetings.

Captain Fernandez stated there were some issues with how Captain Suarez talked to inmates. He addressed the issue and later some inmates thanked him. He said that Suarez is doing much better. He reported that Phoenix West averages about 100 tickets per month and the majority are for failing to show up for work and/or being out of place.

Captain Fernandez stated that he does not work weekend duty but that on occasion he does come in. COIII Washington just came in for the last food visit. When advised that a couple of inmates had mentioned that the visitation area is small and frequently runs out of tables, Fernandez said this has not been documented by incident reports and he was not aware of any issues. ***Note: DW Bradley investigated this issue and the visitation area runs out of tables infrequently and visitation policy is followed when this occurs.***

Captain Adam Kraatz

Captain Adam Kraatz is the Contract Beds Disciplinary Hearing Officer (DHO). He works out of Central Office and covers all facilities as the relief captain. He has been with Contract Beds for 1.5 years and promoted into the position. He does not have copies of the contracts as he would need all and he has access to all of them at Central Office. When Kingman had a captain vacancy he used to cover as their DHO. His duties are: DHO for Marana, Phoenix West, Florence West, CACF, and Red Rock. He travels to Kingman one time per month to assist. Captain Kraatz sets the schedule for the contract beds pre-audits. He views his role as: Contract beds is all one team, we work for the success of all. Inmate Disciplinary is his primary role, although he assesses everywhere while he tours and as he walks to and from disciplinary offices. He pays attention to what is going on. If he finds any issues, he debriefs with the private prison Warden and the ADC Deputy Warden. He talks to staff and said that sometimes supervisors will hide issues or cover things up but not the officers, they talk to him. They will tell him if something is broken or if they need a key to somewhere.

Captain Kraatz starts his day at Central Office where he checks his email and mail and then heads out to whichever facility needs his coverage that day. He does not typically attend facility meetings, but if he is covering for a Captain he does attend. He addresses issues on the spot when warranted and raises them up to DBA Ron Credio and CBOD Tara Diaz as needed.

CO III Kairu Washington

COIII Kairu Washington was interviewed concerning his role as a monitor at ASP-Phoenix West. COIII Washington has been a monitor at ASP-Phoenix West for approximately four (4) months. He attended monitor training facilitated by CBOD Tara Diaz and DBA Ron Credio. He keeps a copy of the contract in his office and refers to it when necessary. COIII Washington was asked about his role as an ADC monitor. He stated that he is responsible for ensuring the contractor is aware of policy requirements, a program manager for inmate programs and reclassification, and he works with Captain Fernandez to complete the monthly GAR inspection report. He tours the unit several times per week, monitoring the GEO line staff, reporting infractions to their supervisors when necessary, or speaks one-on-one with the staff member to correct minor findings. COIII Washington or Captain Fernandez attends the daily Warden's meeting ensuring ADC is represented. He also attends the weekly detention meeting with Captains Fernandez and Suarez (GEO), Warden Phillips, and the Assistant Wardens. COIII Washington was asked how he reports concerns to his supervisor and to the GEO Administrators. He stated he will complete the GAR inspection report, send emails, or speak with staff directly. When asked about his working relationship with GEO staff he stated they have a good working relationship and things continue to improve. He noted a high level of GEO supervisor and administrator engagement with the ADC Monitors and with their line staff. COIII Washington was asked about how he reports concerns with GEO Administrators. He stated he will bring his concerns to the attention of Deputy Warden Bradley to address. COIII Washington said overall there is a good working relationship between the GEO Group and the ADC Monitor team at ASP-Phoenix West, with open lines of communication between the two.

Summary

The ADC Monitoring Team is meeting their statutory and contractual requirements based on what is required in DO #106. They are conducting their required monthly tours and they complete their GAR inspections appropriately. ADC Monitors conduct detailed GAR inspections, complete required paperwork, tours and inspections, and are determining if GEO meets their contractual obligations and requirements. They are not monitoring pre-service training nor GEO employee discipline. The workload for the ADC Monitoring Team at Phoenix West is significantly less than the workload of the ADC Monitoring Team assigned to ASP-Kingman. This allows them to tour more frequently and to interact in a manner that affords them the opportunity to assess staff and inmate morale and the facility culture. The ADC Monitoring Team is well known to GEO management and officers.

GEO management reports that the transition to each new monitor can be difficult and requires an adjustment period. However, the GEO management team and the ADC Monitoring Team have been able to communicate and develop a professional working relationship.

Key Findings

- The ADC ASP-Phoenix West monitoring team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). [**Operational concerns, sound correctional practices**]

- The team had some lapses in timeframes on detention unit-related disciplinary and classification. Six (6) inmates were improperly classified or had classification actions that were not actively followed up to facilitate movement from detention to a general population facility. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report. **[Violations of DO 803, Inmate Disciplinary Procedure, and DO 801, Inmate Classification]**

- The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. [**Operational concerns, sound correctional practices**]
- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. [**Operational concerns, sound correctional practices**]

Key Findings, listed by Objective

The following comprises a recap of all key findings associated with narratives contained in the four (4) Objectives described in this report, as sorted by Objective. Per Contract 010039DC, GEO shall follow all applicable Department Orders and Director's Instructions, and only findings associated with ADC policies that are applicable to GEO have been listed herein. Thus, any violation of applicable ADC policy also constitutes a violation of Contract 010039DC. Moreover, per the contract, GEO will ensure the compliance and performance of ADC policies and directives, and correct any deficiencies.

FINDINGS

Key Findings, OBJECTIVE 1: Assessment of GEO Leadership and Staff (page 9-10)

- DART equipment does not include helmets for individual team members. [**Violation of DART for Supervisors Lesson Plan, operational concern**]

- GEO Warden and Assistant Warden have not attended all required NIMS courses. [**Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education,]**
- GEO Warden has not been holding all required staff meetings. [**Violation of DO 112, Department Meetings]**

- There is no reference to DART in facility Emergency Response Plan. **[Violation of DO 706, Incident Management, Operational concern, sound correctional practices**]

- The facility Emergency Response Plan Annex for Disturbance/Riot refers to [redacted] Correctional Emergency Response Team (CERT) [redacted]. This Annex has not been adapted to the Phoenix West facility. [redacted] **[Violation of DO 706, Incident Management, operational concern, sound correctional practices**]

<u>Key Findings, OBJECTIVE 2: Inmate Management, Supervision and Communication (page 18-19)</u>

- Ingress search procedures for ADC employees not up to standards. As noted in the May, 2015, GAR, GEO staff did not conduct proper ingress on two DOC staff (Searches finding #12). **[Violation of DO 708, Searches]**

- Inmate compliance with housing regulations was lacking and required greater attention to detail. **[Violation of DO 704, Inmate Regulations]**

- There were a large number of inmates still asleep at the time of the tour, 0900 hours, and it appeared there was an overall appearance of idleness among the inmate population. The living areas and hallways were full of inmates not involved in programming, work, or scheduled activities. **[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**

- The living areas are cooled with evaporative cooling and it was quite warm in Dorms 1 and 2. Portable evaporative coolers were observed in Dorms 1 and 2. **[Operational Concern]**

- Errors in classification actions and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

- [redacted]. [**Operational concern, sound correctional practices**]

- Assigned private prison staff self-report limited understanding of intelligence-gathering, Security Threat Groups, and related subjects. [**Operational concern, sound correctional practices**]

Key Findings, OBJECTIVE 3: Staff Training (page 22-23)

- GEO failed to deliver some in-service supervisory classes by not utilizing the current lesson plan, and in other cases made unauthorized reductions in classroom hours for certain pre-service training courses. **[Violations of Contract #010039DC, Sections 3.10, Governing Law/Department Written Instructions; 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education, operational concern, sound correctional practices]**

- COTA cadets receive 13 contact hours of crisis intervention training; GEO academy cadets receive 9 hours. This is noncompliant with COTA curriculum. **[Violation of Contract #010039DC Section 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**

- GEO Supervisors were not trained with the current DART for Supervisors lesson plan. **Violation of Contract #010039DC Section 4.6.2. Recruitment/Hiring/Staff Training; 4.29, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**

- DART equipment does not include helmets for individual team members. [**Violation of DART for Supervisors Lesson Plan, identified in Objective #1, operational concern**]

- DART members could not correctly identify how to deploy assigned munitions. **[Violation of DART Training Lesson Plan, operational concern]**

- Five (5) supervisory staff including GEO Warden and Assistant Warden have not attended all required NIMS courses. [**Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education, identified in Objective #1]**

- Firearms instructors were reported to use poor communications with class participants. Annual firearms instructor evaluations had not been completed for the firearms instructors. The Senior Firearms Instructor received an Unsatisfactory/Noncompliance Evaluation from the ASPC-Phoenix Senior Firearms Instructor on 08/11/2015. **[Violation**

of DO 510, Firearms Qualification/Firearms Instructor Certification, operational concern, sound correctional practices]

Key Findings, OBJECTIVE 4: ADC Monitoring Team (page 30-31)

- The ADC ASP-Phoenix West monitoring team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). **[Operational concerns, sound correctional practices]**

- The team had some lapses in timeframes on detention unit-related disciplinary and classification. Six (6) inmates were improperly classified or had classification actions that were not actively followed up to facilitate movement from detention to a general population facility. Noted in January 2015 GAR 'Detention' finding #5 shows five inmates not properly logged in the detention report. **[Violations of DO 803, Inmate Disciplinary Procedure, and DO 801, Inmate Classification, identified in Objective #2]**

- The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. **[Operational concerns, sound correctional practices]**
- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. **[Operational concerns, sound correctional practices]**

CONCLUSION

Based upon observations, reviews of available materials, inmate interviews, and staff contacts and interviews, the Assessment Team concluded that the inmate population at ASP-Phoenix West was satisfied with their conditions of confinement. The overall conditions within the facility were favorable. Staff members appeared to be content with their employer (GEO). Overall unit sanitation was acceptable. Compliance with housing regulations requires closer attention to detail. However, due to all living spaces being doubled bunked with very little storage space, inmate living areas will appear cluttered.

The DART response was lacking in knowledge by both team members and supervisory staff. The DART could use additional drills to strengthen their knowledge of DART protocols. GEO management is also apprehensive about [redacted] Pre-service and in-service training requires follow-up attention to bring the training programs into contract and policy compliance

Overall, ASP-Phoenix West presents a well groomed image. The relationship amongst the ADC Monitor Team, GEO management, line staff members, and inmates is positive.

OPERATIONAL ASSESSMENT
MARANA COMMUNITY CORRECTIONAL TREATMENT FACILITY
Operated by
MANAGEMENT TRAINING CORPORATION (MTC)

OBJECTIVE 1: Assessment of MTC Leadership and Staff

The Assessment Team evaluated the staff and leadership of ASP-Marana (MTC), to include strengths and weaknesses, communications, decision making, and overall effectiveness in operations of the prison.

Members of the ADC assessment team engaged in direct observation of unit management and operational practices for three (3) days. They conducted over fifty-four (54) interviews with MTC staff and interviewed over ninety (90) inmates. Interviews were conducted with the majority of officers, sergeants, lieutenants, inmate banking staff, and human resources staff. MTC staff members were candid in their responses to the assessors.

From the interviews conducted with staff, very few concerns were shared. Questions were asked concerning the leadership approach of the management team. The only negative opinion voiced is that the current rate of pay is too low. With the exception of complaints about pay, the staff appears to be happy with their work and employer.

Warden Jeremy Casey

Warden Casey has been assigned to ASP-Marana since 01/23/2008. He has been the Warden since 09/22/2013, having promoted through the ranks. He is known by the inmates and the staff and tours frequently.

The purpose of the assessment was discussed with Warden Casey. He was advised that the purpose was not meant to be a 'gotcha' and that if the assessment revealed any issues that needed to be addressed he would be advised of them. Warden Casey advised that he welcomed the assessment and that he would be responsive to any issues relayed to him. Warden Casey said that he is always happy to have extra eyes on his operation. During the assessment process, Warden Casey was very welcoming to the team.

Warden Casey shared that MTC conducts 360 degree employee engagement surveys each year. He takes these surveys seriously and reviewed his past two sets of results with the assessment team. He showed how Marana's feedback was overall positive. He discussed that ASP-Marana's annual ADC Inspection had taken place the week before. He feels that the score will be a bit lower than the previous year, but that the findings are mostly clerical and paperwork issues. He expressed disappointment at the findings that were shared with him and stated that his team is already working on corrective action plans to correct the deficiencies.

He was asked to describe how he views his role at ASP-Marana. Warden Casey replied that he is responsible for the entire operation and his direct reports. He is the first line supervisor of the Executive Staff Assistant, the Chief of Security (Major), the Finance Manager, the Human Resources Manager, and the Programs Manager (PM). He reported that the PM used to be the Major and that she promoted through the security ranks. When asked what she did to prepare for her role as programs manager, Casey stated that she had attended the COIII Academy and did on the job training (OJT) with the former PM. He reported that Captain Botelho is at Kingman this week and the Captain's position is not on the official staffing roster and is an extra position that he requested and was approved by the corporate office to fill.

Warden Casey reported that he has completed required National Incident Management System (NIMS) training to include MAG 300 and 400, and has completed his required annual in-service training. He stated that the Major is new to his position and will attend the NIMS classes soon. Captain Botelho has completed MAG 300 and will complete MAG 400 in the near future. Warden Casey was asked if the facility conducts live fire Designated Armed Response Team (DART) drills. Casey reported that the facility only does live fire DART drills when they have ammunition that is due to expire. They conduct practice DART drills in the parking lot. Each shift does one drill per month and Warden Casey conducts one drill per month personally. Warden Casey reported that Marana uses WebEOC for quarterly searches and that it was used for a recent power outage. They use it for all pre-planned events as well. Currently only he and the PM have access to it, but he is working to get the Captain and Major the necessary access.

Warden Casey reported that [redacted]. They currently [redacted]. He said the last time that they needed [redacted]. [redacted] does conduct tours of Marana for familiarization, but the [redacted]. Warden Casey was advised that the ASP-Marana Emergency Response Plan (ERP) is not in the format that is common within ADC prison complexes and is difficult to review. The Emergency Response Plan (ERP) for ASP-Marana is not written within the guidelines of the Federal Emergency Management Agency (FEMA). The ERP does not contain emergency support functions or annexes. The ERP for ASP-Marana contains copies of Department and Institutional Orders. The only documentation within the section for Disturbances/Riots is Marana's Institutional Order for Department Order (DO) 706, Incident Management, ***(MTC/Marana, Institutional Order 706 *Restricted, Exhibit #1)*** There are no [redacted].

The Arizona Department of Corrections contract with the MTC requires directives within the ERP that address [redacted]. ***(MTC/Marana, ADC Contract #ADC 130052DC pages 29 & 30, Exhibit #2)*** There are no sections listed in the ERP that address [redacted]. Warden Casey reported that the current ERP was done in conjunction with the ADC Emergency Preparedness Administrator and past ADC Monitors. The former Emergency Preparedness Administrator, Julie Augeri was

contacted and she stated that she never approved the ASP-Marana ERP. Warden Casey advised that he is very amenable to making changes to the current ERP.

Warden Casey was asked if he believed that ASP-Marana is lacking in any areas with regards to training. He replied that he does not believe so. He stated that he observes DART and Incident Command System (ICS) drills and holds his own DART drill each month. Warden Casey monitors the training academy classes and teaches the Self Defense course. He said that he conducts searches with staff during the quarterly searches of the facility. He reported that Training Officer Huff does a very thorough job instructing classes and academies. Warden Casey was asked if he believed that the amount of munitions on inventory at Marana was adequate to support the facility until ASPC-Tucson TSU arrived. Casey said that he believed the inventory was adequate. Warden Casey was asked if he would [redacted]. He said that he would, with permission from the ADC monitors. He stated that he would [redacted] He was asked if he believed DART [redacted]. He stated, 'No', he would [redacted]. [redacted] This information was relayed to Warden Casey.

Warden Casey was asked if he felt the [redacted] MK9 OC foggers (pepper spray) [redacted]. Marana has [redacted] foggers on site. Casey replied they [redacted]. He stated that Marana has not had a use of force incident in over five years. He was asked what Marana is doing to reduce/eliminate incidents that require force to be used. He said they train not to chase inmates who are in possession of contraband. He said it is not formal training, just talking and reviewing of incidents from other prisons. He reviews the ADC Morning Report with his staff and they discuss incidents in which uses of force could have been avoided. He stated that most of their drugs/contraband is found in common areas.

The use of overtime at Marana was discussed. Warden Casey recently issued a memorandum restricting the amount of overtime a staff member can work each week. He said this was suggested by CBOD Diaz and he felt it was a good idea. He stated that Marana does not have to mandate overtime very often. He said that the restrictions do not affect many staff, but they did have one officer who recently worked 94 hours of overtime in one pay period. He said that MTC policy does not define how overtime is worked. Warden Casey was advised that the assessment team interviews were not revealing that the overtime restrictions were a problem for his staff. Warden Casey issued a memorandum on August 25, 2015 to the Marana staff concerning overtime ***(MTC/Marana, Overtime Memo, Exhibit #3)*** Warden Casey advised the staff they

could only work 24 hours overtime in a week and they must have at least one day off during the week.

Warden Casey was advised that his Chief of Security is not submitting the required Department Order (DO) 704 Weekly Inspection reports. He advised that the procedure they have been using was previously approved, but he will make this change immediately. Warden Casey was asked if ASP-Marana has any issues with Security Device Inspection (SDI) repair and he replied that their issues are corrected quickly.

Warden Casey was asked about the inmate employment and programming at Marana. He reported that approximately 20% of the population goes off site for work each day. He said that inmates work and/or program to keep themselves productively occupied. He reported that there are inmates who have completed all programming offered and he wishes they could be rotated out in order to facilitate receiving inmates who need the programming. He said that approximately 380 of the 500 inmates are employed and that he and his team actively seek more employment opportunities. Warden Casey advised that the facility conducts Community Betterment work projects each month in addition to the work and programming. They clean the local park and work at the local food bank.

Warden Casey was advised that in the assessment team's review of DO 703 reports, it was noted that he did a graveyard shift tour that only lasted one hour and his other two tours were 1.5 hours. It was discussed that the facility is small and he tours often. Casey was advised to monitor his team's reports as Captain Botelho had failed to document the time on one of his reports. Warden Casey committed to reviewing these issues. It was discussed that until recently, Warden Casey had not been holding monthly inmate town hall meetings (***MTC/Marana, Deficiency Letter to Warden Casey, August 14, 2015, Exhibit #4)*** He agreed that he had not, and stated that because he tours so frequently, he is available to the inmate population. He said he is now holding these meetings monthly and will continue to do so. It was discussed that policy does not mandate monthly meetings with inmates.

Warden Casey was asked if the ADC monitors attend his daily briefings. He stated that approximately 9 out of 10 meetings ADC is there, usually Lieutenant (Lt.) Murphy. He stated that Lead Monitor Deputy Warden (DW) Bradley attends when he is at Marana. (COIII Cione works 0900-1700 and is not on-site for the morning meeting). He said he includes ADC in his meetings. Warden Casey was asked about his relationship with the ADC Monitoring Team. He stated that they have a good relationship. He said he knows DW Bradley and feels comfortable addressing issues with him. He stated that he is familiar with DW Bradley's style and has no issues with him; however, his staff members feel DW Bradley is aggressive and has a 'gotcha' mentality. He said staff gets excited when they receive a Green-Amber-Red inspection (GAR) finding. Casey advised that he feels they (MTC and ADC monitors) are all one team. His staff members feel that there is no redirection/training/assistance, but the monitors are quick to make GAR findings. Warden Casey said this is not a change, that under the previous lead monitor, it

was the same. The monitors go right to documenting a GAR finding. He said that it is getting better and the working relationship with DW Bradley is good, but Bradley's style is the same as it always was.

Warden Casey was asked to discuss Marana's training program. He said that as the Deputy Warden at Marana, training fell under his supervision. He no longer has a Deputy Warden assigned and he has remained active in monitoring training. He is involved in the academies and the facility in-service training. He completed 100% of all of his required in-service training. He said that Marana holds approximately 3 academies each year, and shared that Training Officer Huff does a great job. He was advised that his staff all said the same about Huff. Warden Casey advised that he teaches Crisis Intervention and Self Defense at the academies and he visits them weekly. He personally does the introduction and leads the initial tours for the cadets.

Warden Casey was asked about his approach to operating the facility. He said that 'we' (MTC facilities) all get the same direction. He said, this facility has been here for 22 years, Marana has an easy population and a lot of experienced staff. Casey said that he believes in a team approach and a family atmosphere.

Programs Manager Stormy Genzman

Programs Manager Genzman (PM) was asked to provide an overview of her duties with MTC.

She advised that she oversees the programs department, education, substance abuse, vocational ed, and the chaplain. Her focus is for her team to engage the inmate population in pro-social behaviors; to teach them classes that will prepare them for entry back into society.

Genzman has been employed by MTC since 2003 with a brief break in service. She began her career as a Correctional Officer and rose to the rank of Lieutenant (Lt.) at Marana. While at Marana she was the American Correctional Association (ACA) preparedness Lt. for a number of years. The ACA Lt. is responsible for maintaining documentation for the facility to be ACA certified. She then promoted to Shift Captain with MTC and was assigned at a prison in east Texas for three and a half years. Her next promotion was back to Marana as the Major. She said this detail lasted for the prior two years. Approximately three months ago she promoted to Programs Manager.

PM Genzman was asked if she had support from her Warden and who she goes to for mentoring. She advised that Warden Casey is very helpful to her and supportive. He is there to guide and mentor her. Outside of Warden Casey she relies on other Programs Mangers within her organization for technical support.

Genzman was asked about her interaction with the ADC monitors. She explained that she had a hard time communicating with DW Bradley at first, but once she figured out "it is just his personality", she is able to deal with him. When asked if he is helpful, she explained that if she

requires communications with him, she utilizes her chain of command for that communication. Her communications with COIII Cione and Lt. Murphy are good and she considers them to be helpful.

Major Peter Porter

Major Peter Porter retired from ASPC-Tucson as a Lieutenant. Major Porter stated each shift conducts monthly DART and evacuation/fire drills. Major Porter said he has not completed MAG 300 and he is scheduled to attend MAG 300 in October. Major Porter stated he is able to access WebEOC through PM Stormy Genzman's access. Major Porter stated that he has been trying to obtain access to WebEOC for Captain Botelho and himself. This information was given to the ADC Lead Monitor, DW Adam Bradley. Major Porter stated they use WebEOC for escape drills and quarterly searches. Major Porter produced a WebEOC documented drill with the majority of the required ICS paperwork properly completed.

Major Porter was asked if he thought [redacted] Major Porter said [redacted]. Major Porter stated Warden Jeremy Casey has [redacted]

Major Porter stated he has worked as an Officer, Lieutenant, Captain, and Major for ASP-Marana. Major Porter stated he lives five minutes away from the facility and staff members call him if they need assistance. Major Porter stated he will come in to assume a post if there is a medical escort or a staff member has an emergency.

Major Porter stated he believes ASP-Marana benefits from having many retired or former Arizona Department of Corrections employees. Major Porter stated the Marana staff members are able to interact well with inmates and there has not been a use of force in five years.

Major Porter was asked what tactics he would use in deployment of a DART. He stated he would [redacted] Major Porter stated DART drills are conducted monthly on each shift. He said DART stages and practices outside of the facility by the armory, and the weapons are never loaded unless the DART drill is being conducted at the range. Major Porter stated he would [redacted].

Major Porter said he does not complete a weekly report for inspections of inmate housing areas (DO 704) and he does not include the results of these inspections in his monthly DO 703 report. DO 704, Inmate Housing Regulations states the Chief of Security or designee shall conduct

weekly inspections of all inmate living areas. These inspections shall be documented, by exception, in the Chief of Security's Monthly Report in accordance with Department Order #703, Security/Facility Inspections. Major Porter stated he would start completing these reports, and the Lead Monitor DW Bradley was working on providing Major Porter some examples of the report.

The May 2015 Security Device Inspection Report (SDI) for ASP-Marana displayed that work order 15-230 (Security light in C- Pod) was pending since 4-22-2015 and none of the consecutive monthly security device reports account for the security device ever being repaired. Major Porter stated this was an inadvertent mistake and work order 15-230 was actually repaired on 04-24-2015. Major Porter said he did not receive the paperwork for a month and he corrected his copies of the Security Device Report. Major Porter produced documentation which demonstrated that work order 15-230 was repaired on 04-24-2015. Major Porter stated Marana security devices are repaired in a timely manner and the only delays are when they have to order a part. The SDI reports for May, June and July verified that security devices are being repaired in a timely manner. The assessor confirmed that security devices are inspected and repaired in a timely manner at ASP-Marana. Overall, SDI processes are properly addressed.

DW Bradley produced a restraints inventory memo which listed [redacted] handcuffs, [redacted] leg irons, [redacted] belly chains, [redacted] flex cuffs, and [redacted] handcuffs issued to staff ***(MTC/Marana, Marana Restraint Memo, Exhibit #5)*** [redacted]. Major Porter reported that Marana [redacted].

Summary of observations and conclusions:

The majority of staff reported seeing their immediate supervisors out on the yard and in the housing units several times each day. They reported the Captain, Major, PM, and Warden are also on the yards daily and all are approachable and interact with staff and inmates in a professional manner.

Overall, MTC staff members are familiar with the ADC monitors and know them by name. Staff members said they are out on the yards and tour the housing units regularly. Monitors were observed interacting with staff and inmates. Communication is generally of a professional nature and the relationship between ADC monitors and MTC is getting better, following what some describe as a “rocky start” with new Lead Monitor DW Adam Bradley. Several staff members mentioned they felt the monitors hold MTC to higher standards than state-run facilities (MTC has several former ADC staff currently working at ASP-Marana).

Overall the MTC staff was very positive about their work, the administration, and MTC.

Although several staff mentioned that the pay is lower than ADC, morale was high and the officers appeared happy with their work and employer.

There are a number of former and/or retired Arizona Department of Corrections (ADC) employees employed at Marana. These employees appeared to have a positive impact on the facility operations. New officers reported that the former ADC employees teach and mentor them. Of the five MTC lieutenants, four are former ADC employees. The Major, Captain, and Warden are all former ADC supervisors, as are two of the correctional program officers (CPOs), and several other employees. These former ADC employees all spoke positively of the facility and the administration.

Staff consistently reported they had completed their required annual in-service training and the academy was productive and properly prepared them for the job. The training officer (Huff) is highly respected and all staff interviewed spoke favorably of him.

Staff consistently reported the supervisors (Sgts. and Lts.) are readily available to them and they tour frequently. Many spoke of them as mentors and teachers. Graveyard shift reported they are an exceptionally close team and cited the supervisors as the reason for this.

Staff consistently reported the Administration is well known to them and they are approachable. Major Porter is reported to come to work before graveyard shift leaves for the day several times per week. Staff also stated that he tours often and more than one time per day. The Program Manager (PM), Stormy Genzman, is the former Major. She tours daily and most staff spoke favorably of her.

Correctional Programs Officers (CPOs) were positive and reported their workloads are acceptable and that they have time to see inmates daily.

Marana staff consistently reported they know the ADC Monitors and they see them touring. The majority of staff reported that they feel comfortable talking to the monitors and they are approachable. However, many staff reported their relationship with Lead Monitor DW Bradley is not mutually cooperative. Multiple staff reported he is not approachable and they dislike the manner in which he addresses issues and staff. Several staff reported he is typically on his phone while he tours and he is too busy to talk to them. Several staff cited an incident in which the SSU officer attempted to introduce himself to DW Bradley to discuss Bradley's expectations of him. They reported that Bradley was not willing to meet with the officer and without looking up from his computer advised the officer to follow his post order and from that he would know Bradley's expectations of him. When questioned, the majority of these staff reported that while they disliked DW Bradley's manner, he is not unprofessional. Three staff members mentioned an incident where DW Bradley told a Marana Sergeant that he was one tattoo or one ear gauge away from being an inmate. They reported this was said in front of other staff and embarrassed the Sergeant. This incident, and the fact that many Marana staff know DW Bradley from prior work experience, appears to have tainted their opinion of him. Several staff reported that Lt. Murphy has changed under the supervision of DW Bradley and she is less approachable and less

likely to give a warning rather than a GAR finding. Overall, Lt. Murphy is reported to be friendly and approachable. Many staff reported that the team is now taking a 'gotcha' approach with regard to GAR.

DO 703 Security/Facility Inspections Monthly Reports were reviewed. The reports are complete and thorough. Two minor issues were noted- Warden Casey conducted a graveyard tour in June 2015 that was only one hour in duration and Captain Botelho failed to put a time on his July 22, 2015 tour report. ***(MTC/Marana, July, 2015, DO 703 Reports, Exhibit #6)*** Reviews of the monthly DO 703 reports indicate that tours are being conducted by all command staff and the ADC monitors as policy requires. There were no significant discrepancies between reports from the MTC team to the ADC monitors.

Hiring information was reviewed and no issues were noted. Marana does lose staff to other agencies with higher pay and therefore they do have a significant rate of turnover. Disciplinary was not excessive and no staff reported any concerns with it. ***(MTC/Marana, Dismissal and Disciplinary Report, Exhibit #7)***

Exit questionnaires were reviewed and revealed no concerns. ***(MTC/Marana, Exit Questionnaires, Exhibit #8)***

An experience level comparison in terms of years in job code was conducted relative to the staff at MTC and like-positions within ADC. Additionally, a comparison of the length of time in a qualifying pay grade/rank was completed with MTC CPO's and ADC COIIIs, as well as the Sergeants in ADC and MTC. The results of the total comparisons are listed below:

Position	ADC	ASP-Marana
CO	6.4	2.25
COIII	4.96	1.39 (Correctional Program Officer)
Sgt	3.75	1.96
Lt	3.81	1.34
Captain	3.14	0.25
Major		0.25
COIV	4.11	0.25 (Program Manager)
Warden	2.77	1.94

Full Time Positions	Allocated	Filled	Vacancy
Correctional Officer II	47	47	0
Sergeant	6	5	1
Lieutenant	5	5	0

ASP-Marana has a total of 83.57 MTC staff to include Administration, Security, Clerical, 8.42 subcontracted Medical, and 7.00 subcontracted Food Service positions equaling 98 positions.

Overtime is used on most, if not all shifts to reach required staffing. Warden Casey recently implemented overtime use regulations requiring staff to have at least one regular day off (RDO)

per week and setting a cap on the maximum number of hours that can be worked per week at 24 hours. Staff voiced that they are accepting of the new regulations and these restrictions would only affect a very small number of staff. All staff interviewed reported the majority of overtime is voluntary. On the occasions when overtime is mandated they reported the procedures in place are fair and consistent. It was also reported that officers are able to pre-schedule overtime in order to avoid being mandated to work unscheduled overtime, and it is possible to maintain a schedule that does not interfere with their lives outside of work. Staff also reported the sergeants will work overtime in order to avoid mandatory overtime for their officers.

During the pay periods noted, the following staff worked in excess of 48 hours overtime:

Pay Period Ending:	Staff and Hours Overtime Worked in Excess of 48 Hours:
06/21/2015	Jamie Ramos 58.3 hours, Rudy Acosta 61.7 hours
07/19/2015	Jamie Ramos 69.2 hours, Rudy Acosta 49.9 hours
08/02/2015	Jamie Ramos 49.2 hours, Rudy Acosta 67.5 hours
08/16/2015	Jamie Ramos 94.8 hours, Jacob Urbina 49.1 hours

Posts are typically fully staffed without collapsing of posts. Overtime is used to fill vacant posts on the roster. If a post needs to be collapsed in order to provide staffing for an emergency medical transport, staff is called in from home to fill the collapsed post.

Key Findings

- The Emergency Response Plan (ERP) is not written within the guidelines of the Federal Emergency Management Agency (FEMA). The ERP does not contain emergency support functions or annexes. There are [redacted]. **[Violation of Contract #130052DC, Section 1.8.8, Critical Incident Response Plan; and DO 706, Incident Management, operational concern, sound correctional practices**]
- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 703, Security/Facility Inspections and DO 704, Inmate Housing Regulations]**
- [redacted]. **[Operational concern and sound correctional practice]**

OBJECTIVE 2: Inmate Management, Supervision and Communication

The roadway leading into ASP-Marana presented exceptionally well. It was very clean and manicured. No weeds were noted and there is Southwestern rock art work on the sides of the road.

The assessment team was thoroughly and professionally processed though the main point of entry. IDs were checked, property was thoroughly searched, phones were checked, and all staff was logged in. ***Note: Ingress/egress processing was professional and compliant for the entire assessment period.***

Warden Casey met the team and introduced himself. He personally provided a summary of the MTC operation. Following the initial briefing, he conducted the initial tour for the Assessment Team. The administration area and the programming areas were very clean and orderly. The visitation presented well. It was noted that ASP-Marana holds inmate visitation on three days (F/S/S) in order to accommodate the needs of the population. The housing units, recreation fields, and dining areas appeared clean and free of trash and debris.

Inmate compliance with housing regulations for the most part was good. There were some areas that were not exceptional, but the overall appearance was very good. The inmate restrooms and housing areas were clean and sanitary. There was a picture which gave the inmates two options on how to make their bed. The bed could be made with a blanket or the bed could be made with a sheet and the blanket folded at the foot of the bed. Several inmates chose a different alternative and made their bed with just a sheet. There was no uniformity as to how the inmates' beds were prepared.

The dormitories were quite warm and are cooled by evaporative cooling. However, large fans are mounted in several locations on the walls and in the hallways. These fans kept the air moving and made the atmosphere much more acceptable. Inmates were not complaining about the temperatures.

In the morning hours, over fifty percent of the inmate population was observed lying on their assigned bunks. Over twenty percent were observed lying on their bunks during the afternoon hours. This gave an overall appearance of idleness among the inmate population. However, all classrooms were continuously occupied and the facility sends just over 100 inmates (out of 500) off site to work each day.

Inmates were observed on the recreation fields, actively engaged in activities (basketball, handball, jogging), all were in grooming and dress compliance. During the three day assessment, inmate attitudes were good as they were observed freely and positively engaging in discussion with assessment team members. Random pat searches were observed and based on the reaction of the inmates, it was evident that this is a common practice at ASP-Marana. Inmate work crews were observed exiting the facility. The sally port officer conducted thorough pat searches prior to

their departure and proper identification procedures were followed (face-to-ID, and escape fliers verified).

The staff was welcoming and professional. The officers' uniforms looked professional and grooming compliance was above average. The staff received new uniform shirts while the team was on site.

Constituent Services:

A review of complaints from constituent services would indicate that ASP Marana is within ADC standards and comparable to other ADC units of its size and custody level. ***(MTC/Marana, FY 2015 Constituent Services Report, Exhibit #9)***

Disciplinary:

There was an increase in the number of inmate disciplinary violation reports when compared to Year 2014. The current trend projects an increase of 67% for Calendar Year 2015 when compared to Year 2014. Over 78% of the inmate disciplinary violations identified below appear to be inmate behavior that can potentially be mitigated through one-on-one counseling.

Inmate disciplinary violation reports issued in Year 2012, Year 2013 and Year 2014 were respectively 610, 468, and 471. For Year over year for 2012 and 2013, there was 23% decrease in inmate discipline. For 2013 and 2014, inmate discipline year over year remains approximately the same. As of 07/31/2015, there were approximately 460 inmate disciplinary violation reports issued. At the current trend, Year 2015 inmate disciplinary violation reports issued is projected to increase 67% compared to Year 2014. ***(MTC/Marana, 2013, 2014, and 2015 Marana Discipline Report, Exhibit #10)***

As of 07/31/2015 for Year 2015, 78.91% of inmate disciplinary violation reports issued consisted of:

- 11B-Disrupt Count (38.91%)
- 25B-Disobey Verbal (17.83%)
- 05C-Violating Grooming (9.78%)
- 20B-Obstructing Staff (9.13%)
- 01B-Aggravated Refusal (1.52%)
- 13B-False Reporting (1.09%)
- 04C-Disrespect to Staff (0.43%)
- 36B-Violating Department Instruction (0.22%)

As of 07/31/2015, the 460 inmate disciplinary violations were finalized as follows:

- 50 guilty- major verdicts.
- 259 guilty- minor verdicts.
- 131 informally resolved inmate disciplinary violations.
- 20 Dismissed or Not Guilty verdicts.

Grievances:

The number of formal inmate grievances filed at ASP-Marana totaled three for calendar year 2015. These numbers are within the average range when compared to similar custody ADC units (ASPC-Winslow, Apache Unit and ASPC-Lewis, Eagle Point Unit) on a per capita basis. Inmate Personal Property was the main grievance issue at Marana, which is common. ***(MTC/Marana, 2015 Grievance Logs ASP Marana, ASPC Winslow Apache, and ASPC Lewis Eagle Point, Exhibit #11)***

Classification:

A review of the classification actions at ASP-Marana indicates that most actions were completed within policy time frames. No information entered on the DI99 comments field for custody override of one inmate on 08/06/2015. The ADC COIII is responsible for classification actions. ***(MTC/Marana, AIMS DI 95 Screen, Exhibit #12)***

Detention:

ASP-Marana detention unit holds up to 7 inmates with one cell dedicated to a watch order bed. At the time of the tour there were only 2 inmates housed in detention cells. The data entry into the Detention Report was incomplete: There were 4 inmates under the 805 review process. For 3 of the inmates, no information was entered in the "DO 805 STATUS" section of the Detention Report documenting each step of the DO 805 review process for tracking. The ADC COIII is responsible for classification actions. The 2 inmates housed in detention reported they were very content with how they were being treated. The detention inmates stated they see the Captain, Warden, Shift Commanders, and Program Officers on a regular basis, and they receive recreation and showers on regular basis.

Visitation:

Visitation at ASP-Marana has average visitation when compared to a similar ADC Unit. For the month of July, visitation summaries indicate there were 238 adult and minor visitors. ASPC Lewis-Eagle Point visitation for the month of July was 284. The visitation room was well maintained and had games for adults and children. ***(MTC/Marana, Visitation Summary ASP Marana and ASPC Lewis Eagle Point, Exhibit #13)***

<u>Inmate Programs</u>

Education:

ASP Marana has one mandatory literacy classes and two GED classes. There are currently no students less than twenty two years old enrolled in GED. ***(MTC/Marana, Capacity Report, Exhibit #14)***

Career Technical Education (CTE):

ASP-Marana offers a course referred to as NCCER, it is a partnership with The National Center for Construction Education and Research. Some of the courses taught are Carpentry, Welding and Plumbing. ***(MTC/Marana, Capacity Report, Exhibit #14)***

Substance Abuse Programs – Correctional Programs Officer

ASP-Marana provides substance abuse treatment for all inmates assigned to the facility who have demonstrated a need for substance or alcohol abuse treatment.

Inmates are assigned to substance abuse programs and treatment based on their order of placement on the priority ranking report. There are life skills classes also available to the population at ASP-Marana.

Life Skills Classes are taught by one of the five Correctional Programs Officers. The classes are as follows:

- Cultural Diversity
- Cognitive Restructuring
- Pre Release
- Cage your Rage
- Inside Out Dad
- Dave Ramsey's Financial Peace University
- Victims Impact Class

Substance abuse classes are taught by a licensed counselor. The classes are as follows:

- Alcoholics Anonymous
- Crystal Meth Anonymous
- Narcotics Anonymous
- Helping Men Recover
- Moderate Substance Abuse Treatment
- Relapse Prevention

Correctional Programs Officers (CPOs) also conduct office hours and are available daily to the inmate population. When walking amongst the inmate population one does not receive a lot of questions regarding case management issues. This is indicative of being able to meet with a case manager regularly. The open office hour times were posted throughout the inmate living areas. The assessor visually verified the CPO's were holding office hours as stated.

Reviews of classes show the counselors and CPO's are actively teaching and engaging the inmates during class. ***(MTC/Marana, Programs Listing Report, Exhibit #15)***

Religious Services:

ASP-Marana provides a number of religious program services. They provide a SMART Recovery and Celebrate Recovery program. The religious services calendar indicates a wide range of programs and services for various religious groups showing a service or meeting every day of the month. ***(MTC/Marana, Religious Services Calendar, Exhibit #16)***

Library Operations:

The library is open six days a week for four hours a day. The schedule rotates from the morning to the afternoon to ensure that inmates assigned to offsite work crews have the opportunity to visit the lending library. ***(MTC/Marana, Library Schedule, Exhibit #17)***

Work Opportunities:

ASP-Marana has a maximum population of 500 inmates and current population of 483 inmates. There are two types of jobs available to the inmates at Marana: Inter Governmental Agreement (IGA) employs 80 inmates, and Work Incentive Pay Plan (WIPP) employs 191 inmates; of the 191 WIPP jobs 49 of those inmates are employed as a porter. Total employed inmates are 271. When comparing the racial breakdown of the unit versus that of inmates working there is no more than a 3% difference in any race, indicating that jobs are shared equally by racial composition. ***(MTC/Marana, Capacity Report, #14)***

Structured Recreation:

An effective management tool for correctional administrators when they are challenged with keeping inmates occupied and engaged if meaningful jobs are lacking is to provide an ample amount of recreational activities in both active and passive formats. ASP-Marana holds tournaments monthly and events daily. The recreation field is accessible during all yard open times. ***(MTC/Marana, Recreation Calendar, Exhibit #18)***

Intelligence Gathering/Sharing:

ADC Special Security Unit (SSU) staff reported to the Marana facility for the purpose of assessing and determining the current culture that exists among the inmate and MTC staff. An initial tour of the unit was taken with Arizona Department of Corrections monitors facilitating the tour. The tour was in the presence of MTC staff. SSU staff toured the facility to include the inmate living areas, common areas, education classes and the recreation yard. The sanitation of the unit was excellent. This demonstrated both staff and inmates are paying attention to cleanliness and sanitation. The presentation and the cleanliness of the unit reflect pride and good morale from both staff and inmates.

The designated MTC staff assigned to perform SSU duties were interviewed for the purpose of determining their understanding of prison dynamics, prison cultures, Security Threat Group

(STG) /Criminal Street Gang (CSG) and the Department Order (DO) 806 policy. This group consists of [redacted]. The [redacted] has been assigned to fulfill this role, and had a good understanding of the STG/806 policy. The [redacted] is new to this role and was limited in the understanding of the STG/DO 806 policy. [redacted] complimented MTC for [redacted], who is highly experienced in working with the STG/DO 806 policy. The members in the group all have additional areas of responsibilities and are unable to dedicate a full day to addressing inmate issues and concerns. [redacted].

With the exception of [redacted], MTC SSU staff has a limited understanding of the STG/CSG inmate population and are not provided with any additional training that would benefit them in their duties. The MTC Officers assigned to the SSU roles do not attend the Administrative daily meetings very often due to their other support and shift assignments. ADC SSU staff members are required to attend these meetings at the ADC prisons in order to ensure that direct communication occurs between the staff gathering intelligence, and the administrative staff members that have a "Need to Know." This communication is essential to both areas. The staff members filling the roles of SSU can keep the administrative staff updated/aware of any changing trends, issues, and behaviors with the inmate population which may later become major concerns. This interaction between SSU and the management team also ensures that the MTC SSU staff members can gain a closer working relationship which will allow the Warden and Chief of Security to be aware of all concerns and areas needing attention. MTC Officers overseeing SSU roles stated that they are often called on to fill post assignments on shift. The MTC Officers stated that the demand for them to fulfill other unit assignments does not allow them to conduct a proper monitoring of the inmate population. As a result, [redacted].

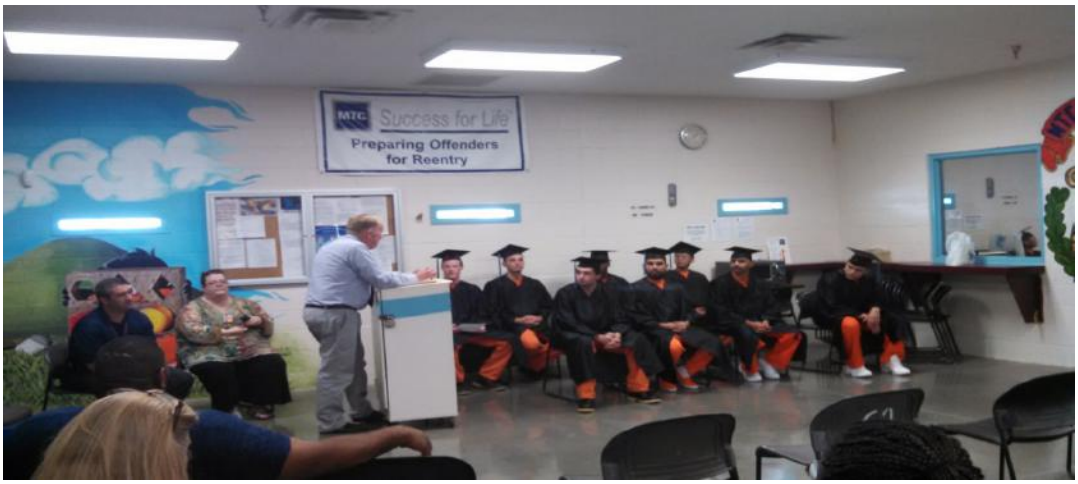
An emerging theme among the inmate population is that the meat product that is being served to the inmate population is not well received due to its perceived poor quality. Food service is managed by Trinity Services Group at the facility just as it is at ADC facilities. ADC SSU staff members are aware that this meat product is disliked by inmates at other ADC facilities.

Approximately 90 inmates from throughout the inmate population, to include all races, were interviewed regarding conditions of confinement. Interviews included inmates of all races and those inmates identified as suspected Criminal Street Gang (CSG) members. Inmates at the Marana facility, who are identified as suspected Security Threat Group (STG) members, are immediately referred to Classification and transferred from the facility to a more structured prison facility. Inmates stated that the Marana facility is not influenced by the prison politics that exist within the Arizona Department of Corrections.

The inmate population appeared to have an understanding of the chain of command at the MTC facility and stated the Warden, supervisors and line staff members are approachable. Inmates stated the town hall meetings (Forums) are successful in addressing concerns and issues.

MTC staff and inmates benefit from former/retired experienced Arizona Department of Corrections staff members that are currently employed at the MTC facility. The MTC facility also benefits from the utilization of part time employment of current ADC staff members who wish to work shift assignments. Their experience, shared with the junior MTC staff, develops a mentorship amongst colleagues and ensures that best practices are being used at this facility.

ADC SSU Staff interacted with inmates in different inmate programs that take place at ASP-Marana. This programming included WIPP, Education, Substance Abuse, etc. Inmates appeared to be highly engaged and respectful during these different programs. ADC SSU staff conducted a small Town Hall meeting with newly graduating GED student inmates to include inmate Education Aides and the Education Teacher, Ms. Cherie Roberts. The inmates were very cooperative during this interaction and the overall consensus was positive feedback regarding the prison facility and MTC employees. During observation of Ms. Roberts, she appeared to be highly engaged and to be a positive influence on inmates assigned to GED programming. ADC SSU staff attended the GED graduation ceremony held in the Marana visitation room. MTC Administrative, Support and Education staff members attended the ceremony along with Warden Jeremy Casey and guest speaker Ed Honea, the Mayor of the Town of Marana. ***(Below is a picture taken of the GED graduation ceremony with Mayor Honea pictured at the podium.)***



The Mayor expressed the very close relationship between the prison facility and the Town of Marana (approximately 22 years). He stressed his appreciation and gratitude to the MTC staff and the inmates for all of the support they provide to Marana. He stated that this relationship has saved the Town of Marana thousands of dollars for all of the city services provided by the inmates and the staff members.

ADC SSU staff monitored the meal service in the dining hall. The inmates did segregate by race while eating, but there did not appear to be signs of any racial tension or problematic behaviors. Inmates were observed socializing with the different races around the dining hall, but did not sit with other races at the tables. MTC staff and multiple inmates expressed to SSU that during meal turnouts is typically the only occasion where segregation at the tables takes place. ADC SSU staff did observe proper socializing between all races (i.e. shaking hands, joking, sharing cigarettes, etc).

ADC SSU staff observed MTC staff conducting proper random pat-down searches during turnouts. It was apparent that these searches are being conducted consistently on a day-to-day basis due to the inmate's willingness to comply when randomly selected. Inmates, without question would automatically submit to the search and begin removing their possessions from their pockets before the MTC Officers had to direct them to do so. Inmates were also removing their ball caps for the search before being directed to do so.

Key Findings

- There was a picture posted which gave the inmates two options on how to make their bed. Several inmates chose a different alternative and made their bed with just a sheet. There was no uniformity as to how the inmates' beds were prepared. **[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**
- The living areas are cooled with evaporative cooling and it was quite warm in the dormitories. However fans had been placed in multiple areas and the inmates were not complaining. **[Operational Concern]**
- In the morning hours, over fifty percent of the inmate population was observed lying on their assigned bunks. Over twenty percent were observed lying on the bunks during the afternoon hours. This gave an overall appearance of idleness among the inmate population. **[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**
- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Four inmates were not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**

OBJECTIVE 3: Staff Training

The following is a summary of the Assessment Team's review of staff training to include pre-service, in-service and specialized courses for TSU, DART, and Emergency Management (NIMS). Team members interviewed training staff, examined class rosters, course curricula, and a multitude of training-related documents to better understand the learning process at ASP-Marana. ***(MTC/Marana, FY2015 Annual Training Plan, Exhibit #19)***

Pre-service training was found to be deficient in some areas. MTC had reduced or failed to conduct some of the classes for pre-service training as required by ADC.

In-Service Training:

MTC Marana Training Officer Huff was interviewed on Friday August 21, 2015 because of his assignment to assist MTC Kingman with training needs August 24, thru 28, 2015.

A sample of three months of in-service rosters and a spreadsheet of in-service training for FY15 were reviewed. No findings of noncompliance were discovered. An audit completed by ADC Monitor Deputy Warden Adam Bradley on July 22, 2015 ***(MTC/Marana, Deficiency Letter to Warden Casey, Exhibit #20)*** found three security staff had not completed Van Driver training and two medical staff had not completed self-defense training. This deficiency was corrected by MTC on July 29, 2015 ***(MTC/Marana, Marana Monitor findings and MTC response, Exhibit #21)***

A review of rosters indicated that Supervisor Essentials FY 2015 training was completed for all assigned supervisors.

A review of twelve months of firearms rosters was completed with no discrepancies found. MTC Marana Senior Firearms Instructor is Training Officer (TO) Huff. Huff received a positive annual firearms recertification from the Senior Firearms Instructor at ASPC-Tucson ***(MTC/Marana, Annual Senior Firearms Recertification, Exhibit #22)***

Designated Armed Response Team (DART):

A review of reports for May, June, July reveal DART drills were completed on each shift, once per month.

A DART response drill was conducted for the purposes of assessment team evaluation: Individual team responders were asked what munitions they were carrying and how they would deploy each type of munitions. Officers responded correctly regarding what munitions they were carrying and the proper deployment areas, but did not answer correctly on [redacted]. All officers knew that [redacted] were the desired impact area for impact munitions. The DART Leader answered incorrectly for the [redacted] and when asked said he would [redacted]

[redacted]. When asked if he had been trained to [redacted] he responded, 'yes.' ***(MTC/Marana, DART Training Lesson Plan dated 04-19-2005 *Restricted, Exhibit #23), (DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit #24), (Department Order 706, Incident Management *Restricted, Exhibit #25)*** Warden Casey said he would [redacted] if he believed he could do so safely.

Training Officer Huff was asked if the DART for Supervisors 2015 course was being taught. He confirmed that it was and produced the relevant training records for this course.

Pre-Service Training:

A review of the training curriculum for MTC's Correctional Officer Training Academy was compared with the curriculum of ADC's Correctional Officer Training Academy. Two MTC pre-service academy schedules and three pre-service academy class rosters were reviewed and compared with an ADC pre-service 280 academy matrix (***MTC/Marana, 280 hour academy comparisons, Exhibit #26)*** Disparities of training hours in some classes were found. Training Officer Huff was asked about some disparities in COTA class training hours, he said he believed that the disparities were due to class size of often eight or fewer cadets compared to ADC's thirty plus cadet sized classes. For example: ADC provides 8 hours of training on inmate supervision. MTC rosters showed this course being completed in 2 hours. TO Huff then provided updated CDs with COTA curriculum from ADC Training Officer II R. Smith provided in early 2015. Additionally some pre-service rosters could not be located. Warden Casey directed that the staff whose rosters could not be located were to be retrained on September 1 & 2. (***MTC/Marana, Warden Casey email, Exhibit #27)*** Classes were completed September 2nd.

A review of the MTC academy schedule was completed by Lead Monitor Deputy Warden Bradley prior to the Assessment Teams review. Corrections for future academy classes were made to ensure the correct hours are dedicated to each class. (***MTC/Marana, Marana Pre-Service Academy Schedule, Exhibit #28)***

As part of ADC Pre-Service training, a Field Training Officer Program (FTO) is in place to afford cadets and newly graduated officers an opportunity to be mentored by a specially selected, experienced officer. The assessment confirmed that MTC does conduct a Field Training Officer Program (FTO) at ASP-Marana as part of pre-service training. (***MTC/Marana, FTO Rosters, Exhibit #29)***

Tactical Support Unit:

The Marana facility [redacted]. [redacted]. MTC Marana's [redacted] (***MTC/Marana, ADC Tactical Support Agreement, Exhibit #30)***

National Incident Management System (NIMS) Training:

Three security staff have not completed required NIMS training those employees are currently on Military Leave or FMLA. The Chief of Security has been scheduled for MAG 300 on 10/27/2015 The Chief of Security and Captain have been scheduled for MAG 400 TBD ***(MTC/Marana, Marana NIMS tracker report, Exhibit #31)***

Munitions Comparison:

A comparison of less than lethal munitions at MTC Marana was compared to ASPC-Winslow, Apache Unit due to like custody level and population size. In each category, MTC Marana had substantially fewer munitions on hand than Apache Unit. There are currently no minimum standards established for munitions inventories within ADC ***(MTC/Marana, Marana munitions, Exhibit #32)***

Overall, the in-service and supervisor training programs at ASP-Marana appear to be well managed. Pre-service training requires greater management attention.

<u>Key Findings</u>

- COTA cadets receive 8 hours of inmate supervision training; MTC academy cadets receive 2 hours. **[Violation of Contract #130052DC Section 1.10.7, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- Some pre-service academy rosters could not be located in order to demonstrate that all required course contact hours had been completed. **[Violation DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- DART leader could not correctly identify [redacted] and is not fully compliant with DART tactics. **[Violation of DART Training Lesson Plan, operational concern]**

OBJECTIVE 4 – ADC Monitoring Team

This segment encompasses a review of duties and functions of the on-site ADC staff assigned to monitor the operations of ASP-Marana staff and bridge the relationship between the Department and ASP-Marana.

The Arizona Department of Corrections employs a cadre of full-time staff to monitor contract compliance of contracted prison facilities. The ADC Monitoring Team is comprised of:

Tara Diaz, Contract Beds Operations Director (oversees monitoring of all contract bed facilities)

Ron Credio, Contract Beds Deputy Bureau Administrator (oversees monitoring of all contract bed facilities)

ASP-Marana Monitoring Team

Adam Bradley, Deputy Warden – Lead Monitor

Katina Murphy, Lieutenant, Disciplinary Hearing Officer

Gabriella Cione, CO III, Programs Monitor

The ADC Assessment team reviewed the contract for MTC and the scope of work within Department Order #106, Contract Beds, and Department Order #703, Security/Facility Inspections for the bureau and assigned monitors.

The ADC monitors were interviewed and their performance was reviewed. The assessment also included a review of the current contract, discussions with MTC staff, operational observations, and document checks. After reviewing DO 703 GAR (Green-Amber-Red) inspection reports, audit results, monthly reports, inmate disciplinary findings and classification decisions, the assessment team determined the following:

The ADC Monitoring Team is meeting their statutory and contractual requirements based on the policy. They are conducting their required monthly tours based on a review of; ***(MTC/Marana, ADC 703 Reports, Exhibit #33)*** The ADC Monitoring Team completes their GAR and DO 703 monthly inspections appropriately. This is evident through GAR inspection results, tour inspections reports and observations. GAR inspections and prison tours are conducted to monitor the specific security operations and security devices at a prison unit and ensure that they remain in good working condition, and that supervisory and other management personnel conduct regular inspections and tours. The monitor team is known to the staff and the inmate population. They tour frequently and conduct regular GAR inspections. There are a significant number of GAR findings most months.

These tools (GAR, tours/inspections) do not 'monitor' the culture of a prison unit, to include the interactions between inmates and staff, and the attitudes of each group. GAR inspections do not

ask questions about the quality or quantity of staff training, or how often officers see their supervisors on the yard. To properly assess the culture of a prison unit, one needs to speak with staff and inmates at length and observe their interactions. In depth town hall meetings (Forums) with inmates should be observed routinely and the attitudes of both staff and inmates noted; given the small size of this facility, ADC monitors are able to be involved more in-depth with these listed activities.

The ADC Monitoring Team has established a process of addressing issues on the spot and working with the MTC Administrators to correct them. DW Bradley monitors GAR corrective action plans (CAPs) and at this time there are none pending. The assessment team noted no delays in CAPs follow-up.

The team meets timeframes for the majority of their mandatory oversight and decision making on their assigned inmate actions (classification, disciplinary, visitation, releases, correspondence, etc.) and contractor clearances.

ADC monitors report that generally there is open communication between the MTC staff and ADC Monitoring Team. MTC employees did not share any information with the assessment team that would lead them to believe that they were told it was frowned upon to speak to ADC staff.

The ADC Lead Monitor DW Bradley reported he has been monitoring in-service training. He advised that he monitors percentage of completion of required courses and advised MTC management of their training percentages in June. He said they improved them by the end of the training year. Monitoring the quality of instruction, the compliance with curriculum requirements, and the overall MTC approach to training is not included in written instructions to the monitoring team and is not currently within the scope of their responsibility. Additionally, the ADC Annual Inspection report, compiled by the Inspections Unit, only reports on findings of completed training.

The Contract Beds Monitoring Team was each interviewed separately.

Deputy Warden Adam Bradley

DW Adam Bradley was interviewed on August 18, 2015. He has been assigned as the ADC Lead Monitor over the GEO operated Phoenix West and MTC operated Marana facilities for over six months. He has eighteen (18) years experience with the Department. He stated that he has a copy of the contract and refers to it as needed. The contract for MTC is a separate contract from that of GEO. He attended monitor training and was explained the expectations of the position upon assignment.

DW Bradley was asked to detail his duties as a monitor and to describe his role. He stated that he supervises the monitor team and is a member. He is a mediator between the team and private

prison management. He tours, monitors, conducts GAR inspections, reviews for policy and contract compliance. He oversees most areas of the facility.

DW Bradley was asked if he observed training and monitored training percentages. He stated he does. When asked if he was monitoring these prior to the Kingman riots, he said he was. He has observed training classes at ASP-Marana and monitors training percentages. He advised MTC of their completed training percentages in June and they improved them by the end of the training year. He reported that ASP-Marana finished the year at 99% completion for in-service training with 2 staff who did not complete self defense and 3 who still need Correctional Analysis and Response to Emergencies (CARE; basic first aid with CPR).

DW Bradley reported that his relationship with the management team is professional. He interacts well with the Warden and Unit Administrators. GAR was discussed and the fact that the monitor team does enter a high number of GAR findings. He acknowledged that they do, but they report what they find. There is an ebb and flow to the GAR findings and it has been worked out. He reported there is no quota for GAR findings and the team does give warnings and use findings as teachable moments.

DW Bradley reported that when he finds issues or when there are concerns he reports them to DBA Credio and/or CBOD Diaz. He said that DBA Credio is who he goes to for clarification on issues. He said he communicates well with and reviews issues with Warden Casey. He reports low level issues directly to the Warden.

DW Bradley splits his time between Marana and Phoenix West. He determines his schedule by need and it is not a set schedule. He attends the morning briefing of the facility he is at. He attends the Phoenix West detention meeting when he can, but Marana does not have one as they rarely have inmates in detention.

DW Bradley splits his graveyard tours between the two facilities, but does occasionally do more than one per month at each. He monitors ingress/egress, crew turnouts, kitchens, and overall unit operation on these tours. He is required to tour all offsite work crews one time per quarter and the Captain is required to tour them monthly. DW Bradley stated that he had not been ensuring that the Wardens complete their required meetings, but that he is now doing so. Due to the size of the facilities he feels that he and his team have the ability to know and pick up on inmate and staff morale issues and the culture of the units.

DW Bradley said he is notified of all significant issues, all SIRs, and anything urgent. He stated that he typically gets a call from the COIII or Lieutenant first and then MTC management contacts him.

Lieutenant Katina Murphy

Lt. Katina Murphy was on annual leave for the time of the Marana assessment. She was interviewed on August 24, 2015 at approximately 1530 hours.

Lt. Murphy has been assigned to ASP-Marana as the ADC Monitor since October 2013. She promoted from Sergeant into the Lieutenant position at Marana. She has a copy of the Marana contract and refers to it as needed. She attended monitor training. She uses written guides- ADC policy, contract, post orders, GAR to perform her duties. She stated that she learns by hands-on training. The expectations of her position have been explained to her.

She described her duties as: monitoring/ensuring that MTC follows policy and contract, Inmate Disciplinary, and Capital Equipment. Lt. Murphy reports that she sees her role as beneficial to Marana staff. She said that they come to her and the team for questions and advise. She said that her team is reported by Marana staff as being easy to talk to. She stated that 'we consider ourselves to be a team, their failure is our failure.'

Lt. Murphy described her touring by saying that she typically tours in the mornings. She walks the horseshoe and sees Building 2. Daily, she checks inmate compliance and observes staff. Murphy said many of her tours seem informal, but she is always observing and documenting. She said each day she handles the inmate disciplinary as the Disciplinary Coordinator, and then she does spot checks of different areas of the facility. She stated that her office is located in Building 1 and when she goes to her office she conducts spot checks of the areas in Building 1 each day. She often monitors maintenance, disciplinary, and feeding. Lt. Murphy reported that she does two graveyard shift tours per month. She usually completes these tours from 0400 to 0600. On these tours she checks on count, feeding, monitors food temperatures and kitchen operations, watches pat searches and more. She is required to tour the offsite work crews one time per month. Marana has approximately 10 to 12 crews that she checks. She reported that the main issue she has had to address on these tours is civilian workers calling inmates by their first names.

Lt. Murphy stated that because of the size of Marana she feels that she has adequate time in her day and on her tours to assess the facility culture and staff and inmate morale. She feels her personality makes this more possible because she is friendly and MTC staff members feel comfortable talking to her and asking questions. She said the staff does come to her a lot. She has never had an issue with MTC employees not talking to her. She gets along fine with the administration. She said on occasion they dispute findings (GAR, etc.), but she shows them policy and if there is still a question they go to her supervisor. She reported there is no animosity.

Lt. Murphy said under the previous ADC Lead Monitor DW Ed White they typically found 15 to 25 GAR findings per month. Under DW Bradley this has increased to 40 to 50. This was reviewed with CBOD Diaz and she advised them to send emails to MTC staff and review the issue with them before making the concern a GAR finding. Now they give warnings for small,

less serious issues, but serious concerns are still an immediate GAR finding. Because of this, GAR findings have evened out. Lt. Murphy was asked what the MTC administration response to the high number of GAR findings was. She said Warden Casey was frustrated and pointed out the differences in each Lead Monitor's evaluation methodology. She said Warden Casey was never disrespectful and she took his frustration as a normal reaction to change. She said she has never had any issues or problems talking to MTC management.

Lt. Murphy reported there are not a lot of inmate disciplinary violations issued at ASP-Marana. She said there were 595 total tickets last year. The majority of tickets are for prison made alcohol, some positive urinalysis tests, inmates who are late to class, or for inmates who are out of place. She has not had any complaints from inmates about the inmate disciplinary process, and has only processed one inmate disciplinary appeal in her time at Marana. She reported that her methodology with discipline is firm and fair.

When asked if she was aware of any inmate concerns, Lt. Murphy said that all inmates want consistency and there has been a bit of inconsistency from shift to shift at Marana. Each shift handles inmate issues a little differently which can upset the inmates. She said the concerns are over shaving waivers, inmates out of place, and inmates wearing shirts in the housing units. She has addressed these issues with MTC management and feels that they have been resolved. She said Marana inmates have good attitudes.

When asked if or how she monitors training, Lt. Murphy said in the past she had not done so. She said DW Bradley has her monitoring training now and she reviewed to see if the staff instructors are certified.

Lt. Murphy attends the daily briefings at Marana and feels communication is good.

COIII Gabriella Cione

On August 26, 2015, COIII Cione was interviewed concerning her scope of assigned duties at the Department of Corrections (DOC) Monitor at ASP-Marana. COIII Cione has been the programs monitor at ASP-Marana for approximately two (2) years. She keeps a copy of the contract on hand and references it often. She attended the monitor training facilitated by the Contract Beds Operations Director.

COIII Cione is responsible for monitoring inmate work programs, levels of supervision, reclassification, inmate work crews, policy reviews, information report reviews, and completing the monthly Green-Amber-Red (GAR) inspection report.

She completes the monthly GAR inspection report in conjunction with Lt. Murphy, noting deficiencies as necessary. COIII Cione completes tour memos, speaks directly with staff and inmates, and will complete information reports as necessary. When needed, she will notify the unit administrators of any concerns she has.

COIII Cione does not attend the morning meeting, as her assigned work schedule is from 0900-1700; morning meeting starts at 0830. She attends monitor team meetings facilitated by Lead Monitor DW Bradley, and quarterly meetings with CBOD Diaz. She reported the unit does not conduct a weekly detention meeting as most times there are no inmates in detention.

COIII Cione reported she monitors inmate recreation, feeding, and visitation. She completes visitation file reviews, monitoring policy compliance, and completes GAR inspection findings when applicable.

COIII Cione reported she interacts frequently with staff and inmates and the relationship with MTC is good and getting better. MTC staff members are familiar with COIII Cione and stated they can come to her for answers/assistance when needed.

She reported that Training Officer Huff is instrumental in training new staff and instills pride with line staff. She has attended refresher training with officer Huff and he treats everyone with respect. This sentiment was shared by several staff members during interviews.

Summary

The ADC Monitoring Team is meeting their statutory and contractual requirements based on what is required in DO #106. They are conducting their required monthly tours and they complete their GAR inspections appropriately. ADC monitors conduct detailed GAR inspections, complete required paperwork, tours and inspections, and are determining if MTC meets their contractual obligations and requirements. They are not monitoring pre-service training or MTC employee discipline. The workload for the ADC Monitoring Team at ASP-Marana is significantly less than the workload of the ADC Monitoring Team assigned to ASP-Kingman. This allows them to tour more frequently and to interact in a manner that affords them the opportunity to assess staff, inmate morale, and the facility culture. The ADC Monitoring Team is well known to MTC management, officers, and the inmate population.

Key Findings

- The ADC ASP-Marana Monitoring Team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). [**Operational concerns, sound correctional practices**]
- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Four inmates not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**
- The team completes its GAR inspections and tour requirements in accordance with ADC policy and contract requirements. [**Operational concerns, sound correctional practices**]

- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. [**Operational concerns, sound correctional practices**]

FINDINGS

Key Findings, listed by Objective

The following comprises a recap of all key findings associated with narratives contained in the four (4) Objectives described in this report, as sorted by Objective. Per Contract 130052DC, MTC shall follow all applicable Department Orders and Director's Instructions, and only findings associated with ADC policies that are applicable to MTC have been listed herein. Thus, any violation of applicable ADC policy also constitutes a violation of Contract 130052DC. Moreover, per the contract, MTC will ensure the compliance and performance of ADC policies and directives, and correct any deficiencies.

Key Findings, OBJECTIVE 1: Assessment of MTC Leadership and Staff (page 10)

- The Emergency Response Plan (ERP) is not written within the guidelines of the Federal Emergency Management Agency (FEMA). The ERP does not contain emergency support functions or annexes. There are [redacted]. [**Violation of Contract #130052DC, Section 1.8.8, Critical Incident Response Plan; and DO 706, Incident Management, operational concern, sound correctional practices**]
- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 703, Security/Facility Inspections and DO 704, Inmate Housing Regulations]**
- [redacted]. **[Operational concern and sound correctional practice]**

Key Findings, OBJECTIVE 2: Inmate Management, Supervision and Communication (page 18)

- There was a picture posted which gave the inmates two options on how to make their bed. Several inmates chose a different alternative and made their bed with just a sheet. There was no uniformity as to how the inmates' beds were prepared. **[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**
- The living areas are cooled with evaporative cooling and it was quite warm in the dormitories. **[Operational Concern]**
- In the morning hours, over fifty percent of the inmate population was observed lying on their assigned bunks. Over twenty percent were observed lying on their bunks during the afternoon hours. This gave an overall appearance of idleness among the inmate

population. **[Violation of DO 704, Inmate Regulations, operational concern, sound correctional practices]**

- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Four inmates not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**

Key Findings, OBJECTIVE 3: Staff Training (page 21)

- COTA cadets receive 8 hours of inmate supervision training; MTC academy cadets receive 2 hours. **[Violation of Contract #130052DC Section 1.10.7, Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- Some pre-service academy rosters could not be located in order to demonstrate that all required course contact hours had been completed. **[Violation DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- DART leader could not correctly identify [redacted] and is not fully compliant with DART tactics. **[Violation of DART Training Lesson Plan, operational concern]**

Key Findings, OBJECTIVE 4: ADC Monitoring Team (page 28)

- The ADC ASP-Marana monitoring team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). [**Operational concerns, sound correctional practices**]
- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Four inmates not properly logged in the detention report. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**
- The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. [**Operational concerns, sound correctional practices**]
- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. [**Operational concerns, sound correctional practices**]

CONCLUSION

Based upon the observations and reviews of available materials, inmate interviews, staff contacts and interviews, the Assessment Team concluded that the inmate population at ASP-Marana was

satisfied with their conditions of confinement. The overall conditions within the facility were favorable. Staff members appeared to be content with their employer (MTC). Overall unit sanitation was well above average.

The DART response was acceptable in their level of knowledge by both team members and supervisory staff. The DART team could use additional drills to strengthen their knowledge of DART protocols, and tactics for deployment onto the yard. Pre-service training requires follow-up attention to bring the training programs into full contract and policy compliance.

Overall, ASP-Marana presents a well-groomed, professional operational image. The relationship between the ADC Monitoring Team, MTC management, line staff members, and inmates is positive.

OPERATIONAL ASSESSMENT
ASP-FLORENCE WEST
Operated by
GEO GROUP

OBJECTIVE 1: Assessment of GEO Leadership and Staff

The Assessment Team evaluated the staff and leadership of ASP-Florence West (GEO), to include strengths and weaknesses, communications, decision making, and overall effectiveness in operations of the prison.

Members of the ADC assessment team engaged in direct observation of unit management and operational practices for three (3) days. They conducted over sixty-four (64) interviews with GEO staff and interviewed over ninety (90) inmates. Interviews were conducted with the majority of officers, sergeants, and lieutenants. GEO staff members appeared to be very candid in their responses to the assessors.

From the interviews conducted with GEO staff members, only a few concerns were shared. Staff cited the mandatory thirty (30) minute break as being an issue, since some believe the breaks are not mandated for all staff on all shifts. Staff also cited low pay as a reason for staff turnover. Overall, the staff morale was high and the majority of staff interviewed had positive opinions about the unit administrators and the ADC monitors.

Warden Rick Mauldin

Warden Mauldin has been employed by GEO at ASP-Florence West since 2000. Following his retirement from the Arizona Department of Corrections, he began working at this location as the training manager for Correctional Services Corporation and worked his way up to his current assignment as Warden. He served as the Programs Deputy Warden, the Operations Deputy Warden, and promoted to Warden in October 2005. When asked to describe how he views his role, Warden Mauldin reported he has had the same management style for all of his years in corrections. He tries to be out on the yard every day. He said Florence West inmates have a high turnover rate due to their short sentences.

Warden Mauldin was asked if he had any concerns following the contract or ADC policy. He said he did not. He said that at times, we agree to disagree on some things. He said the ADC monitors are personable, and he works well with the monitors, all of them.

Warden Mauldin was advised that GEO staff shared a concern with mandatory staff breaks that is contributing to staff conflict and a decrease in morale. Officers reported the dayshift is not

required to take their mandatory breaks while the other shifts are made to do so. His response was the contract does not address breaks.

Central Arizona Correctional Facility, also operated by GEO, (CACF) does not require their staff to take breaks. Warden Mauldin said the breaks provide a shift overlap that allows his supervisors to conduct daily shift briefings. He said he does not condone dayshift officers not taking their breaks. He blamed low staffing levels, but said no one has brought this issue to him.

Warden Mauldin was asked if the facility would utilize support staff to facilitate dayshift staff taking their breaks. He said yes he would. He was advised his staff is under the impression that support staff members are not used to 'break' shift staff. Warden Mauldin stated he would review and address this issue. When asked if his staff complain about working 8.5 hours while the staff at CACF only work 8 hours, Mauldin replied, 'CACF has a union. My staff members have received a raise for the past three years, CACF has not.' When advised that two members of the assessment team sat in on a briefing and the supervisors were not very prepared, Mauldin stated they were probably nervous due to the assessor's presence.

Warden Mauldin was advised that staff members reported that Assistant Warden (AW) Duggan made a statement in a Warden/CO meeting he held for the Warden that upset the staff. Mauldin said the only meeting AW Duggan held for him was in August, 2015. When advised that staff reported that AW Duggan's response to a question about day shift not taking breaks was something to the effect of, 'swing shift needs to worry about swing shift and not worry about days.' Warden Mauldin said this would be an inappropriate statement. He said he would address this and would go to briefing to talk to the staff about it.

Warden Mauldin was advised there are no meeting times on the Warden/CO meeting minutes making it difficult to tell if the meetings are held at times for all three shifts to attend ***(GEO/Flo. West, Warden/CO meeting minutes, Exhibit #1)*** Mauldin said he switches the meeting times up and he comes in at 0500 to hold the meeting for graveyard staff.

Warden Mauldin was advised his May 2015, graveyard shift tour had a time of 0500 on it. With graveyard shift leaving at 0530 this would only be a 30 minute tour. He was advised his June graveyard tour had a time on it of 1500 hours. He stated the 1500 time was a clerical error and he is on unit almost every day prior to 0500 hours and sees graveyard shift frequently. When asked about his compliance with the staff meetings required in DO 112, Warden Mauldin reported he has not been holding these meetings. He stated that he holds a monthly staff recall and all staff attends, but he will start holding all meetings required by DO 112. ***(GEO/Flo. West, Staff Recall minutes, Exhibit #2)***

Warden Mauldin was asked if female staff members are allowed to conduct pat searches at Florence West. He replied they do not, unless it is in an emergency situation. This was discussed further and he said there is always a male staff member readily available to do the pat searches

and there has not been an emergency situation requiring females to do pat searches yet. He was advised some staff reported that in the past (corrected now) staff was trained in the academy that female officers could not restrain inmates. Warden Mauldin said he was not aware of this.

Warden Mauldin was asked if the ADC Monitoring Team tours and interacts with his team. He stated that the monitors tour frequently. He said all three (DW, Captain, and the COIII) attend his morning meeting when they are on site. He said all are fair in their approach to the Green-Amber-Red (GAR) inspections. He said he has no issues with GAR findings and he does not take them personally. ADC is his family, he will not hide anything from ADC, and he will always do what it takes to work well with ADC.

Warden Mauldin was asked how he would staff a tactical response to Florence West. He said the response would [redacted]. He said that CACF [redacted], but when the Florence West contract was implemented, CACF did not exist. He stated this is something that could be reviewed and changed in a contract update.

Mauldin said for Designated Armed Response Team (DART) and TSU deployments, they follow the contract and have [redacted]. The assessor asked why a DART or TSU [redacted] He agreed with the assessor; the [redacted].

Warden Mauldin was advised that the facility's Emergency Response Plan (ERP) was well written and easy to read, but it does not contain specific information regarding the activation and deployment of DART.

Warden Mauldin completed all of his mandatory in-service training, and his facility completed 100% with the exception of the DART for Supervisors course. He said he would make this a priority. DART drills were discussed. He said he sees the reports and they do drills at least one time per month. He was advised that assessors found some of the drills occur in the main control room as table top exercises, and other drills take place in the parking lot. Mauldin said all the drills need to be held in the parking lot and for the team to really go over the information. He said he has not conducted a live DART drill on the yard in his time at Florence West. ASP-Florence-West has a [redacted]. Warden Mauldin shared that a [redacted] DART is not meant to [redacted]. [redacted] DART is meant to [redacted]. He and his staff are leery of putting a [redacted] DART [redacted] and perhaps [redacted].

Discussion was held about the quality of the facility ingress/egress. Warden Mauldin was advised that ingress/egress procedures are very good at the main point of entry.

Warden Mauldin discussed the level of inmate activity at Florence West. There are 409 inmates working, according to the reports, but many idle inmates were observed throughout the assessment. Mauldin said a lot of the work is part time and there is a high number of programming opportunities. He said the majority of the inmate population is serving four month sentences. He stated the Return To Custody (RTC) inmates are not required to be kept in separate housing, but this came about because of fast track inmates being assigned to Florence West when not a DUI or RTC. Fast track inmates are minimum custody and ninety (90) days from release. Fast track inmates are only housed in the RTC building. In 2002 the decision was made to separate the RTC/fast track from DUI inmates.

Warden Mauldin was advised the assessment team found the facility sanitation and inmate Department Order (DO) 704 compliance to be sub-standard. His response was, "shame on me." He discussed that the RTC inmates have difficult attitudes and are harder to manage. He said this is not an excuse and he will not make excuses.

Warden Mauldin was advised the inmate population is happy with the food quality. He was advised the Food Service Manager and Assistant Manager are very dedicated and run a good clean operation. It was then discussed that the facility laundry area is often unsupervised and inmates were witnessed folding laundry for some inmates while other inmate's laundry was left in the bags (the approved procedure). Warden Mauldin will review this.

Assistant Warden Kirk Duggan

Assistant Warden (AW) Kirk Duggan has worked for GEO for approximately three (3) years. AW Duggan retired from the Arizona Department of Corrections. AW Duggan stated he attempts to tour the facility about three to four days a week. AW Duggan stated he usually tours for ten hours a week, but some weeks he only completes about eight hours a week. AW Duggan stated there are very few jobs and no programs available for the Return to Custody (RTC) inmates that are housed in building 5. AW Duggan stated there are 409 inmates working at ASP-Florence West and 145 inmates programming. AW Duggan stated monthly community meetings (Forums) are conducted with the DUI inmates. AW Duggan stated he has a good relationship with the ADC monitors, and he can talk with them about problems.

AW Duggan discussed that DART drills are conducted in main control or the parking lot, and the weapons are not loaded. AW Duggan stated he has never observed a live DART drill on the Florence West yard. AW Duggan stated it would be difficult to deploy [redacted] DART [redacted], but he would do it if he thought it would make the situation better. AW Duggan stated it would probably take [redacted] Florence West. AW Duggan was asked if Florence West ever [redacted]

AW Duggan stated security devices are repaired timely except if they have to order a part or rent a scissor lift. AW Duggan explained that they will not rent a scissor lift if only one light is out. AW Duggan was asked why work order 15SDWO-027 (perimeter light W4 is not working) was listed on the January Security Device Inspection (SDI) Report by Captain Bryan Dennis as pending repairs, but this security device does not appear on any of the consecutive reports as being repaired. AW Duggan stated this is a clerical error and he produced documentation which displayed that work order 15SDWO-027 was repaired on February 3, 2015. After reviewing several months of SDI reports, the assessor determined that the security devices at Florence West are being repaired in a timely manner. The assessment team did not observe any outstanding security device problems during their tours.

AW Duggan discussed an allegation that he had made a comment in the August Warden/CO meeting about 'swing shift needs to worry about swing shift and not worry about days.' AW Duggan admitted he did say words to this effect. He stated dayshift has more operational issues to deal with and more to do; they feed the inmate population twice. He stated the meeting in which he made the comment was held on August 27, 2015 and he has not yet seen the minutes to review them. When asked about use of the support staff to provide relief for breaks, he said there is about 12 support staff available on dayshift. He said they can be used to 'break' dayshift staff. Duggan said that he has not reviewed who is taking breaks and who is not. When asked about the increase in facility ingress/egress traffic that the breaks create, he acknowledged this, but stated management feels having the briefing time is worth the increased traffic.

AW Duggan said Florence West employees cannot work over 24 hours of overtime per week without permission of the Warden Mauldin or AW Duggan. The Florence West Administrators also said they attempt to give employees at least one day off during the week. AW Duggan recently put out an email restricting the working of overtime and requiring staff to have one regular day off per week (RDO) and to work no more than 24 hours per week.

Captain Fred Burch

Captain Fred Burch recently retired from the Arizona Department of Corrections (ADC), and he has worked for GEO for approximately six (6) weeks. Captain Burch stated he tours the facility daily and he is learning how the facility works. Captain Burch is knowledgeable about DART procedures, National Incident Management System (NIMS), ICS forms, WebEOC, and Department Order 704, Inmate Regulations. Captain Burch was confident he could improve all these procedures at Florence West. Captain Burch stated there are many retired or former ADC employees working at Florence West and this is a benefit to GEO. Captain Burch said he communicates with staff and inmates on a regular basis so he can prevent problems before they happen. Captain Burch stated he has good relationship with the ADC monitors.

Captain Burch said he does not complete a weekly report for inspections of inmate housing areas and he does not include the results of these inspections in his monthly DO 703 report. Captain Burch stated this was a recent audit finding and he will correct this finding in the near future. Department Order 704, Inmate Housing Regulations states the Chief of Security or designee shall conduct weekly inspections of all inmate living areas. These inspections shall be documented, by exception, in the Chief of Security's Monthly Report in accordance with Department Order #703, Security/Facility Inspections.

Captain Burch stated that he has completed MAG 300 and 400, Intermediate and Advanced Incident Command System (ICS). Captain Burch said Florence West is utilizing WebEOC for quarterly searches. Captain Burch said Florence West is only utilizing the ICS-214 Activity Log when they activate WebEOC. Florence West is not utilizing any of the other required ICS forms. Florence West is only partially utilizing the National Incident Management System (NIMS). In the short time that Captain Burch has been in his role, he appears to have made a positive impression on the staff.

Captain Burch was asked if there were sufficient restraints in the inventory to restrain the entire population. He produced a memo which stated there are [redacted] leg irons, [redacted] side restraints, [redacted] belly chains, [redacted] flex cuffs, and [redacted] handcuffs (excluding the handcuffs that are already issued to staff). [redacted].

Summary of observations and conclusions:

The ingress/egress procedures were thorough and policy compliant. Identification cards (IDs) were checked, property was thoroughly searched, phones were checked, and all staff was logged in/out. Ingress/egress was professional and compliant for the entire assessment period.

Staff reported one concern that is creating tension amongst staff. All three shifts are mandated to take a 30 minute break each shift. It was reported and confirmed by GEO supervisors that dayshift rarely meets this mandate and does not ‘break’ their staff. Swing shift and graveyard shift officers are aware of this inequity and have calculated this financially and believe it equates to dayshift getting shift differential pay. They calculated that if an officer does not take the required breaks, it equals 5 hours of overtime per pay period. They said the average officer makes $16.00 per hour, at time and a half this is $24.00 per hour. $24.00 time 5 hours equals $120.00 per pay period, which would be $3,120 per year. With 9 officers on day shift this totals $28,080 per year that it costs GEO to allow day shift to not take the mandated breaks.

There are a number of former and/or retired Arizona Department of Corrections (ADC) employees employed at Florence West. Due to their experience in ADC run facilities, these staff members appear to be having a positive impact on the facility operation. These former ADC employees all spoke positively of the facility and the administration.

In all of the interviews conducted, commentary about Warden Mauldin was positive. He was reported to tour frequently and to interact with staff daily. Many staff reported that he checks on them, calls them on the phone or visits them to ask how they are doing.

The majority of staff interviewed was positive in their comments about Associate Warden Duggan. Some felt that he is not approachable and it was mentioned that his demeanor is not as friendly as the Warden's. It was said the previous Associate Warden helped staff with their duties and participated in yard operations in a more hands on manner. The comment attributed to Duggan from the August Warden/CO meeting has damaged his reputation with many staff. All staff reported that AW Duggan tours frequently.

Staff consistently reported they had completed their required in-service training and the pre-service academy was productive and prepared them for the job.

Staff consistently reported the supervisors (Sgts and Lts) are readily available to them and they tour frequently. Swing shift officers were especially complimentary of their supervisors.

Hiring information was reviewed and no issues were noted. ***(GEO/Flo. West, Employee termination report, Exhibit #3, Employee transaction history, Exhibit #4)*** The facility does not conduct exit questionnaires.

No employee discipline report was provided. Employment files were available for review. No disciplinary cases of note were discovered or reviewed.

The Emergency Response Plan (ERP) at ASP-Florence West is professionally written and within the guidelines of the Federal Emergency Management Agency (FEMA). The Disturbance/Riot Annex contained in the ERP at Florence West does not mention the Designated Armed Response Team (DART). Department Order 706, Incident Management [redacted] for Florence West and this information should be included within Disturbance/Riot Annex. Within the ERP, the Disturbance/Riot Annex for Florence West also describes [redacted] Correctional Emergency Response Team (CERT) [redacted]. This Annex has not been adapted to the Florence West facility. ASP-Florence West [redacted], nor are they contracted [redacted]. CERT [redacted] Central Arizona Correctional Facility (CACF), also operated by GEO, [redacted]. All GEO facilities are using the same ERP which has not been tailored to apply to one facility. No other concerns were noted with the ERP.

DART drills are conducted monthly on all three shifts. Captain Burch stated some of the DART drills are conducted in main control and some are conducted in the parking lot. For the main control drills, the DART participants dress out in the DART equipment, but they never leave main control. Captain Burch stated this will be corrected and all DART drills will be conducted in the parking lot.

Warden Mauldin said CACF has a [redacted]. Warden Mauldin was asked why CACF [redacted].

Warden Mauldin, AW Duggan, and Captain Burch stated Florence West employees cannot work over 24 hours of overtime per week, without permission from Warden Mauldin or AW Duggan. The Florence West Administrators also said they attempt to give employees at least one day off per week. Payroll Clerk, Erin Maxson stated she does not pay the employee for excessive overtime, unless she has a signed memo by Warden Mauldin or AW Duggan.

A long recognized and critical tool for effective prison management is frequent and consistent tours by members of the management team, especially the unit administrators. The benefits in terms of communication with staff and inmates; awareness firsthand of operational procedures and programs; coaching, guiding and supporting staff in their efforts to do their job correctly; and identifying problematic issues are just a few of the benefits. It has been noted by all staff that were interviewed that Mr. Mauldin, Mr. Duggan, and Mr. Turner, the Correctional Programs Supervisor (CPS), frequently tour the unit and speak with staff and inmates.

An experience level comparison in terms of years in job code was conducted relative to the staff at GEO and like-positions within ADC. Additionally, a comparison of the length of time in a qualifying pay grade/rank was completed with GEO Case Managers and ADC COIIIs, as well as the Sergeants in ADC and GEO. The results of the total comparisons are listed below:

Position	ADC	ASPC Florence West
CO	6.4	4.5
COIII	4.96	6.4 (Case Manager)
Sgt	3.75	2.0
Lt	3.81	2.0
Captain	3.14	0.1
COIV	4.11	3 (Classification Manager)
ADW	1.26	2.0 (AW)
Warden	2.77	15

Full Time Positions	Allocated	Filled	Vacancy
Correctional Officer II	56	54	02
Sergeant	03	03	00
Lieutenant	05	05	00

ASP Florence West has a total of 109 positions to include Administration, Security, Clerical, and Medical staff.

Overtime is used to reach required staffing. It was reported that the use of overtime is sporadic and ebbs and flows based on needed medical coverage and staffing. The facility does limit the amount of overtime worked per week to 24 hours. GEO policy does not mandate this, but the facility recently implemented the restriction after review/direction from CBOD Tara Diaz. None of the staff interviewed felt overtime was a negative issue. Staff report they are mandated to work overtime infrequently and the majority of overtime worked is voluntary. The majority also reported the system in place to track overtime status (bubble system) is fair and consistently implemented.

During the weeks noted, the following staff worked in excess of 24 hours overtime:

Week Ending:	Name and Hours of OT Worked in Excess of 24 Hours:
06/28/2015	G. Munoz-31.25 hours
07/12/2015	S. Castillo-30 hours
08/16/2015	S. Veach-Lopez-26 hours

Posts are typically fully staffed without collapsing of posts. Overtime is used to fill vacant posts on the roster. If a post needs to be collapsed in order to provide staffing for an emergency medical transport, staff is called in from home to fill the collapsed post.

Key Findings

- GEO Warden has not been holding all required staff meetings. [**Violation of DO 112, Department Meetings]**
- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 703, Security/Facility Inspections and DO 704, Inmate Housing Regulations]**
- There is no reference to DART in facility Emergency Response Plan. **[Violation of DO 706, Incident Management, operational concern, sound correctional practices**]
- The facility Emergency Response Plan Annex for Disturbance/Riot refers to [redacted] Correctional Emergency Response Team (CERT) [redacted]. This Annex has not been adapted to the Florence West facility. Florence West [redacted]. **[Violation of DO 706, Incident Management, operational concern, sound correctional practices**]
- Staff morale is negatively affected by day shift not taking their mandated 30 minute daily break. **[Operational concern]**
- [redacted]. **[Operational concern and sound correctional practice]**

OBJECTIVE 2: Inmate Management, Supervision and Communication

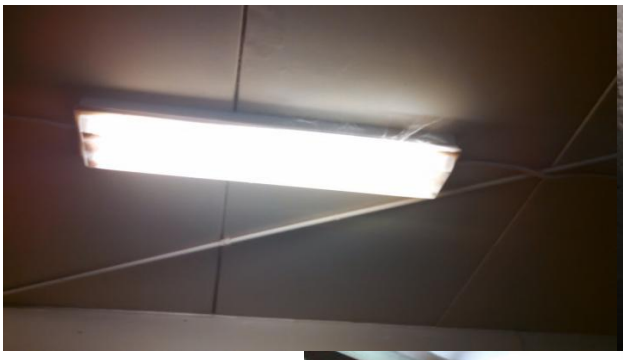
An initial tour of the unit was taken with Arizona Department of Corrections monitors facilitating the tour. The tour was led by GEO management.

During the tour several initial observations were made to include the following; a large number of the inmate population did not appear to be engaged in any programming, education or work assignments, and there was an overall appearance of idleness among the inmate population. Sanitation within the dorms requires closer attention to detail. Within the dorms, areas above eye level (i.e. ceilings, window sills, lights, vents, etc.) were below standards with dirt and significant presence of cobwebs (see photos below). There was evidence of inmates smoking in the dorms due to cigarette butts and ashes on the window sills. The individual inmate living areas all contain double bunks so the area appears congested. There was no 'example pictures' displayed of an inmate's living area in compliance with Department Order 704, Inmate Regulations. This would allow inmates to see how their living area should be maintained. Underneath the bunks there were areas of large amounts of dust build up (see photo below). This was noticed on the first day by AW Duggan and had not been addressed as of day two. When brought to his attention on the second day the comment was "You can never be ready for a tour." Inmates responded politely when spoken to and presented a respectful demeanor. Interaction with the inmates was positive.

Inmate grooming was below acceptable standards. Multiple inmates were witnessed in the open yard with their ID cards fastened to their sleeves or to the bottoms of their shirts which is not consistent with DO 704 requirements. GEO Staff did not address this issue.

The dorms are cooled with evaporative cooling and it was quite warm in the dorms. However, large fans are mounted in several locations. The inmates also have fans in their living areas. The evaporative coolers and the fans were covered in dust and were dirty.

Officers were observed in the dorms actively performing security checks.



Inmates were observed in the dining room seated by race. The mood of the inmates was good and many inmates could be seen laughing and smiling. No inmates complained about the food, and the inmates stated they enjoyed being served three hot meals. The majority of the inmates entering the dining room were observed to be well groomed and wearing their inmate ID cards on their chests.

Constituent Services:

A review of complaints from constituent services would indicate that ASP-Florence West is within ADC standards and comparable to other ADC units of its size and custody level. ***(GEO/Flo. West, FY 2015 Constituent Services Report, Exhibit #5)***

Disciplinary:

Inmate disciplinary violation reports issued in Year 2012, Year 2013 and Year 2014 were respectively 593, 840 and 806. Year over year for 2012 and 2013, there was an increase of 41% in inmate disciplinary violations. For 2013 and 2014, there was an increase of 4% in inmate disciplinary violations. As of 07/31/2015, there were 491 inmate disciplinary violation reports issued. At the current trend, Year 2015 inmate disciplinary violation reports issued is projected to increase 4% when compared to Year 2014. Regarding the ASP-Florence West, Return to Custody inmates, the current trend indicates a 2% decrease compared to year end 2014. ***(GEO/Flo. West, 2013, 2014, and 2015 Year to Date Discipline AIMS Print Out, Exhibit #6)***

As of 07/31/2015 for Year 2015, 94.31% of inmate disciplines issued consisted of:

- 01B - Aggravated Refusal (24.44%)
- 25B - Disobey Directive (16.50%)
- 11B - Disrupt Count (11.81%)
- 38B – Positive or Refuse (7.54%)
- 36B - Violating Department Instruction (7.13%)
- 34B - Theft/Posses (5.09%)
- 20B - Obstructing Staff (3.46%)
- 33B - Tattoo, Brands (3.26%)
- 23B - Promote Prison Contraband (2.85%)
- 09B – Criminal Damage (2.85%)
- 37B – Posses Drugs (1.63%)
- 16A – Possession of Communication Device (1.63%)
- 07A – Conspiracy to Commit (1.43%)
- 04C - Disrespect to Staff (1.43%)
- 10B – Disorderly Conduct (1.22%)
- 14C – Unauthorized Smoking (1.02%)
- 05C - Violating Grooming (1.02%)

As of 08/17/2015, inmate disciplinary violations were finalized as follows:

- 101 guilty major verdicts
- 232 guilty minor verdicts
- 113 informally resolved inmate disciplinary violations
- 45 Dismissed or Not Guilty verdicts

Grievances:

The number of formal inmate grievances filed at Florence West totaled one (1) for calendar year 2015. These numbers are within the average range when compared to similar custody ADC units (ASPC-Winslow, Apache Unit and ASPC-Lewis, Eagle Point Unit) on a per capita basis. Food was the one grievance issue at Florence West. ***(GEO/Flo. West, ASP Florence West, ASP Phoenix West Grievance Logs, and ASPC-Winslow, Apache Grievance logs, Exhibit #7)***

Classification:

A review of the classification actions with the general population inmates at Florence West indicates that all actions with the exception of one inmate were completed within policy time frames. ***(GEO/Flo. West, Florence West AIMS Classification Print Out, Exhibit #8)***

Detention:

ASP-Florence West Detention holds up to 23 inmates in 11 double bunk cells and one single bunk continuous watch cell. The detention review was based on the online detention report generated on 08/13/2015 and 08/27/2015. A total of 21 inmates that were listed on the two reports were reviewed. One inmate was identified as being classified with the wrong code applied to classification action. The ADC COIII is responsible for the classification actions for inmates assigned to detention. The Shift Commander did not forward the DO 805, Protective Custody packet for an inmate who requested protective custody to the Deputy Warden within one workday from when the review was initiated on 07/23/2015. The packet was forwarded to the Deputy Warden on 07/27/2015. During a tour of the detention unit it was noted that the cells were clean and the recreation areas had the required mister system and a platform to hold an igloo water cooler. There were no inmates in recreation to view at the time. The individual detention records reviewed indicate that the CPO's and nurses make tours daily as required per policy.

Visitation:

Visitation attendance at ASP-Florence West is higher when compared to a similar ADC Units. For the month of July 2015, AIMS indicates there were 552 adult and minor visitors. ASPC-Safford, Graham Unit visitation for the same month was 363. There are many contributing factors to the high visitation numbers. The location of the prison, many first time convictions and it is a low-level DUI unit. ***(GEO/Flo. West, Visitation Summary ASP Florence West & ASPC Safford Graham Unit, Exhibit #9)***

Inmate Programs

Education:

ASP-Florence West has two mandatory literacy classes and two GED classes for inmates who have a need. Placement is determined utilizing the priority ranking report. There are two instructors assigned to the unit. Instructor G. Chandler has been with GEO since July, 2007 and Instructor D. Bell since January, 2012. They both teach one Functional Literacy and one GED class. The assessor observed the classes and found the students were engaged and participating in their groups. ***(GEO/Flo. West, Capacity Report, Exhibit #10)***

Career Technical Education (CTE)

ASP-Florence West does not have a CTE program. When asked why not, it was stated that it is not identified in the contract.

Substance Abuse Programs – Case Manager Programs:

ASP Florence West provides DUI and substance abuse counseling to all inmates assigned to the facility; all general population inmates at Florence West are minimum custody and are serving DUI sentences.

The program consists of a statutorily mandated 36 hour curriculum (referred to as levels 1 &2) covering DUI treatment (20 hours) and education (16 hours). Each inmate is assigned to the levels classes within 1 – 2 weeks of arrival at the facility.

Once completed with levels 1 & 2 curricula, inmates are then assigned to additional classes covering the following:

- Level 1 Substance Abuse Education
- Level 2 Substance Abuse Education
- Cognitive Restructuring
- Re-Entry
- Relapse Prevention / Coping

Each class is five weeks in length. When an inmate is 5-6 weeks from release they are placed in a Pre-Release class.

The total amount of substance abuse programming an inmate receives depends on his sentence length. A large number of inmates assigned to Florence West are serving four month sentences as a condition of probation; others are serving up to five years. All of the substance abuse programs are taught by a licensed counselor.

Case Managers teach 'Thinking for a Change' and re-entry programs. The inmates are assigned based on their order of placement on the priority ranking report.

Case Managers also conduct office hours and are available daily to the inmate population. When walking amongst the inmate population the assessors received a couple of questions regarding case manager issues. There was a common theme that CM Shultz was the case manager to go to if you need anything done.

The schedule of classes that the assessor reviewed did not match what was being taught. CM Steelman is the only case manager teaching classes. He is scheduled to teach two classes twice a week. The current report shows no inmates assigned to Cognitive Restructuring and 17 inmates assigned to re-entry. When the case manager was asked when his next class was he advised that it would be the next Thursday at 9:15 AM. This did not match what is listed on the schedule. Additionally, with the amount of inmate idleness it would be beneficial for all case managers to teach classes. This would reduce the amount of idleness on the unit. ***(GEO/Flo. West, Capacity Report, Exhibit #10)***

Inmates assigned to the return-to-custody, building 5, are offered no programming opportunities as they have less than 90 days to serve until they are released.

Religious Services:

ASP-Florence West provides a number of religious program services. They provide an Alcoholics Anonymous program that is religious based. The religious services calendar indicates a wide range of programs and services for various religious groups and reflects a service or meeting every day of the week. ***(GEO/Flo. West, Religious Services Calendar, Exhibit #11)***

Library Operations:

The library is open seven days a week for four hours a day. Legal resources are available five days a week for two hours a day. The library is open two nights a week for offsite work crew inmates. The library was open and clean and inmates were utilizing the resources available to them. The Return to Custody inmates have a small library on their side of the unit. The hours of operation are four days a week for one hour and forty five minutes. ***(GEO/Flo. West, Library Calendar, Exhibit #12)***

Work Opportunities:

ASP-Florence West has a maximum population of 500 inmates assigned to the general population/treatment section of the unit. There are two types of jobs available to the inmates at Florence West, Inter Governmental Agreement (IGA) employs 80 inmates, and Work Incentive

Pay Plan (WIPP) employs 331 inmates. The total number of employed inmates is 411 which is an 82.2% rate of employment.

Most of the WIPP jobs are part time. For pay period ending 07/31/2015 there were 130 porters assigned. Some of these porters are receiving as little as 5 hours every two weeks. When the total hours worked is divided by the total inmates assigned porter jobs, the average hours worked is 17.67 for a two week period. More utilization of WIPP jobs would result in less inmate idleness on the yard.

When comparing the racial breakdown of the unit versus that of inmates working there is no more than a 4% difference in racial parity. This indicates that jobs are assigned equally by race. ***(GEO/Flo. West, Capacity Report, Exhibit #10)***

Inmates assigned to the return-to-custody housing unit are offered little to no work opportunities as they have less than 90 days until release.

Structured Recreation:

An effective management tool for correctional administrators when they are challenged with keeping inmates occupied and engaged if meaningful jobs are lacking is to provide an ample amount of recreational activities in both active and passive formats. Florence West was asked to provide a recreation schedule. They provided a schedule of the open yard times. When Mr. Turner, the Correctional Program Supervisor, was asked if they had structured tournaments he advised that they have them every so often. There was no documentation available to back this up. ***(GEO/Flo. West, Recreation Hours of Operation, Exhibit #13)***

Intelligence Gathering/Sharing:

ADC Special Security Unit (SSU) staff reported to the Florence West facility for the purpose of assessing and determining the current culture that exists among the inmate population and GEO staff.

The designated GEO staff assigned to perform SSU duties and intelligence gathering was not accessible to the inmate population during the ADC SSU assessment tour of the facility. A request for them to assist with and facilitate inmate movement and interviews was met with some resistance. This was due to them working other assignments that did not allow for full dedication to the SSU position.

The GEO SSU staff members were interviewed. Both officers have limited opportunities to conduct SSU duties due to their other duties. They are often unable to successfully respond to inmate issues. Both Officers have only a limited understanding of the DO 806 STG policy and its effectiveness in managing inmate Security Threat Groups (STG) /Criminal Street Gangs (CSG).

One of the officers is assigned to the Count Movement position. The officer stated if given the choice of working Count Movement or assuming an SSU position full-time, her choice would be to focus on Count Movement. The second SSU Officer is assigned as the Transportation/Work Crew Supervisor. The officer stated his duties and responsibilities as an SSU/Intelligence Officer are very limited. Both Officers acknowledged their functions involving intelligence gathering and SSU duties primarily consist of following up on concerns brought forth by their administration or after inmate issues arise. [redacted]

A second concern identified by the assessment team was the limited access to and frequency of the Corrections Program Officers (CPO) availability to address concerns for the inmate population. Inmates complained that access to the CPO was very limited. Inmates stated caseworkers would post 'office hours' then would not be present during these times. Different inmates stated CPO Schultz was the only caseworker that understood her job. They also said her availability to the inmate population was satisfactory. Some inmates stated, besides CPO Schultz, the other caseworkers were only useful for "money checks" (inmate banking account inquiries). Some inmates expressed they would often wait for CPO Schultz' arrival to work rather than be assisted by other caseworkers who may be on-site.

The Native American inmate population alleged that they are not allowed to participate in sweat lodge or smudging activities. They said this was due to the inmate population being required to pay for items associated with their religious observances; such as firewood and religious ceremonial items. The Native American inmate population reported their religious activities are not being fulfilled fairly. The Native Americans were concerned that their religious beliefs were being challenged by Chaplain Richards. The Native Americans complained they are not allowed to be in possession of their personal religious items (Sage, Feather, Medicine Bag, etc). This was reported to Warden Mauldin who stated inmates are allowed to possess their religious articles in accordance with ADC policy requirements.

The majority of inmates that were interviewed stated the GEO facility does benefit from the retired Department of Corrections staff members that are employed at ASP-Florence West. Inmates said the former ADC staff is proactive and respectful when dealing with the inmate population.

During interviews of the inmate population in Buildings 3 and 4 (DUI inmates), several of the inmates stated there was a group of GEO security staff members who are unprofessional. The inmates stated these officers use profanity, talk down to people, and/or challenge inmates to get involved in confrontations. Interviews with various inmates of different races identified four (4)

staff members as “Badge Heavy” officers. This term commonly refers to an officer who is on a power trip, harassing, abusing authority, or threatening inmates. There were four staff members who were routinely named by inmates. Several of these inmates identified one particular officer as being the main instigator and constantly harassing or confronting others in an aggressive physical manner. These four staff members were identified to Warden Mauldin for his review and follow-up.

The inmates suspect that these staff members behave in this manner because they believe the current inmate population is minimum custody and will not risk losing their Earned Release Credits by reacting to the officers’ behavior. Inmates assigned to ASP-Florence West are close to release and do not want to risk additional imprisonment for reacting to the unprofessional staff.

Several inmates mentioned an incident which occurred on 08/29/2015 between a Sergeant (Sgt) and an inmate. Allegedly, the Sgt confronted the inmate regarding him having an unauthorized cup holder. The inmate stated he felt he was being targeted by the Sgt because of past issues. On this day when confronted by the Sgt, the inmate pointed out several other inmates in the vicinity who all had similar cup holders, but were not addressed by any staff before the Sgt confronted him. According to the inmate a verbal confrontation with profanity ensued and he alleged the Sgt threatened him. The inmate perceived this as a challenge to a physical altercation. The inmate further alleged he was then ordered to submit to restraints, and when he complied, he was escorted to Medical before being placed into detention.

After being briefed by ADC SSU about the concern regarding this Sgt, GEO Captain Burch said he was the On-Site Duty Officer on this day and he was aware of the incident. He said the inmates’ allegations were false. Capt. Burch stated that he was notified of the incident after the inmate in question had failed to comply with directives. Capt. Burch stated that he authorized the inmate to be placed into detention. Captain Burch then stated that later in the day, it was the Sgt’s decision that the inmate be removed from detention and returned to his housing assignment.

The inmate population assigned to Building 5, identified as Return to Custody (RTC) inmates or fast track inmates was interviewed regarding conditions of confinement. An emerging concern was they are not afforded with sufficient employment opportunities. RTC inmates are not allowed to participate in town hall meetings (forums) due to their short length of sentence. RTC inmates shared their concerns with not being allowed to attend these forums.

Key Findings

- Sanitation within the individual living areas, common areas, and restroom/showers was below ADC standards. **[Violation of DO 704, operational concerns, sound correctional practice]**

- Inmate compliance with housing and personal grooming regulations was lacking and required greater attention to detail. Multiple inmates were witnessed with their ID cards fastened to their sleeves or to the bottoms of their shirts. Staff did not address this issue. **[Violation of DO 704, Inmate Regulations]**
- Programming and WIPP are being underutilized. Florence West would benefit from adding more programming classes to their schedule. The unit would benefit not only from reducing inmate idleness, but also having a cleaner unit. **[Operational concern, sound correctional practice]**
- No structured recreation is being offered. **[Violation of DO 906, Inmate Recreation/Arts & Crafts, operational concern, sound correctional practice]**
- One inmate identified as being classified with the wrong code applied to classification action. The ADC COIII is responsible for the classification actions for inmates assigned to detention. **[Violation of DO 801, Inmate Classification]**
- The Shift Commander did not forward the DO 805, Protective Segregation packet for an inmate who requested protective custody to the Deputy Warden within one workday from when the review was initiated on 07/23/2015. The packet was forwarded to the Deputy Warden on 07/27/2015**. [Violation of DO 805]**
- Inmates reported that some staff were aggressive and/or unprofessional **[Operational concern, sound correctional practice]**

OBJECTIVE 3: Staff Training

The following is a summary of the Assessment Team's review of staff training to include pre-service, in-service and specialized courses for TSU, DART, and Emergency Management (NIMS). Team members interviewed training staff, examined class rosters, course curricula, and a multitude of training-related documents to better understand the learning process at ASP-Florence West. ***(GEO/Flo West, FY2015 Annual Training Plan, Exhibit #14)***

In-service training was found to be non-compliant. GEO failed to conduct DART for Supervisors training as required by ADC.

In-Service Training:

The Florence West Training Officer conducts and coordinates in-service and new employee orientation training for both Florence West and CACF. A sample of three months of in-service rosters and FY15 spreadsheet of in-service training were reviewed. No findings of noncompliance were discovered.

A review of rosters indicates that ADC required Supervisor Essentials FY2015 training was completed for all assigned supervisors.

Firearms:

Review of twelve months of firearms rosters was completed. The training report indicates that the GEO Security Staff are current in firearms qualifications. No findings of noncompliance were found. Training Officer Johnson reported that all firearms training for Florence West employees is completed through CACF.

Designated Armed Response Team (DART):

A review of reports for May, June, and July reveal that DART drills are completed minimally once per month on each shift.

A DART response drill was conducted for the purposes of assessing and evaluating the team. The Shift Commander, Lt. Ferrick, appeared apprehensive about initiating the drill and received direction/prompting from one of her peers. The DART responders were slow to react and responded in a very casual manner without demonstrating a sense of urgency. Once assembled, team members were asked if they had been advised earlier in their shift that they were the assigned DART. Two of the four team members were not previously advised. The team entered Main Control, and continued with their casual approach while receiving their weapons and ammunition. The DART marched onto the front parking lot and completed several formations.

Individual team members were asked what munitions they were carrying and how they would deploy each munition. Officers answered correctly regarding proper deployment areas, but were unsure about minimum deployment distances and whether they should be direct or indirectly

fired. The DART supervisor answered incorrectly how to deploy a flash-bang grenade, he stated [redacted]. The DART leader was asked whether he would respond [redacted]. His response was, [redacted]. Officers assigned to the DART responded that the DART [redacted].

All officers said that they complete DART training on the range at firearms qualification. ***(GEO/Flo. West, DART Training Lesson Plan dated 04-19-2005 *Restricted, Exhibit 15), (DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit 16), (Department Order 706, Incident Management *Restricted, Exhibit 17)***

Warden Mauldin stated a [redacted]. Captain Burch stated he would [redacted] Warden Mauldin and Captain Burch were both asked why they would not [redacted]. Florence West and CACF are both operated by GEO. Warden Mauldin stated, we may [redacted], but it is not part of the contract. Captain Burch stated he did not know [redacted].

DART for Supervisors 2015 training was not completed for FY 2015. When advised of this finding, Captain Burch said that they would get the training completed as soon as possible. ***(GEO/Flo. West, DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit 16)***

Pre-Service Training:

Pre-service training for Florence West is completed at Central Arizona Correctional Facility (CACF).

As part of ADC Pre-Service training, a Field Training Officer Program (FTO) is to be in place to afford cadets and newly graduated officers an opportunity to be mentored by a specifically selected and experienced officer. The assessment confirmed that GEO does not utilize Field Training Officers. After completion of the academy, cadets are paired up with senior officers to complete a 40 hour On the Job Training (OJT). No formal FTO training is completed for the senior officers.

Tactical Support Unit:

Florence West [redacted] ***(GEO/Flo. West, Florence West ADC Tactical Support Agreement, Exhibit #18)***

National Incident Management System (NIMS) Training:

Four Security Supervisors have not completed NIMS 200; Training Officer Johnson said the employees had a deadline of September 30th for completion. *includes part time employees

Two security officers who have not completed NIMS 200 are currently on leave without pay. ***(GEO/Flo. West, Florence West NIMS, Exhibit #19)***

Munitions:

A comparison of less than lethal munitions at Florence West was compared to Apache Unit. In each category Florence West had substantially fewer munitions on inventory than the Apache Unit. This is due to the proximity of the GEO CACF facility next to Florence West and may not be a significant issue. ***(GEO/Flo. West, Florence West, ASPC-Winslow-Apache Munitions, Exhibit #20)***

A few staff voiced concern that a non-security staff member (Commissary worker) was teaching classes. This was reviewed and the Commissary worker only teaches CARE and she is certified.

Key Findings

- DART for Supervisors 2015 was not completed for FY2015. **[Violation of Contract #020049DC Section 2.10.10 Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- Florence West does not utilize Field Training Officers. **[Sound correctional practice**]
- Four Security Supervisors have not completed all required NIMS courses. **[Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education]**
- The DART responders were slow to react and responded in a very casual manner without demonstrating a sense of urgency. DART members and supervisor could not identify proper deployment of assigned munitions. **[Violation of DART Training lesson plan, operational concern**]

OBJECTIVE 4, ADC Monitoring Team

This segment encompasses a review of duties and functions of the on-site ADC staff assigned to monitor the operations of ASP-Florence West staff and bridge the relationship between the Department and ASP-Florence West.

The Arizona Department of Corrections employs a cadre of full-time staff to monitor contract compliance of contracted prison facilities. The ADC Monitoring Team is comprised of:

Tara Diaz, Contract Beds Operations Director (oversees monitoring of all contract bed facilities)

Ron Credio, Contract Beds Deputy Bureau Administrator (oversees monitoring of all contract bed facilities)

ASP-Florence West Monitoring Team

Jeffery Freeland, Deputy Warden – Lead Monitor

Terry Wiesinger, Captain, Disciplinary Coordinator, Monitor

Adam Kraatz, Captain, Disciplinary Hearing Officer (Assigned to Central Office-visits Florence West)

Sherry Pergrem, COIII, Programs Monitor

The ADC Assessment Team reviewed the contract for GEO and the scope of work within Department Order #106, Contract Beds, and Department Order #703, Security/Facility Inspections for the bureau and assigned monitors.

The ADC monitors were interviewed and their performance was reviewed. The assessment also included a review of the current contract, discussions with GEO staff, operational observations, and document checks. After reviewing DO 703, Green-Amber-Red (GAR) inspection reports, audit results, monthly reports, inmate disciplinary findings and classification decisions, the assessment team determined the following:

The ADC Monitoring Team is meeting their statutory and contractual requirements based on the policy. They are conducting their required monthly tours based on a review of; ***(GEO/Flo West, ADC 703 Reports, Exhibit #21)*** The ADC Monitoring Team completes their GAR and DO 703 monthly inspections appropriately. This is evident through GAR inspection results, tour inspections reports and observations. GAR inspections and prison tours are conducted to monitor the specific security operations and security devices at a prison unit and ensure that they remain in good working condition, and that supervisory and other management personnel conduct regular inspections and tours. The monitor team is known to the staff and the inmate population. They tour frequently and conduct regular GAR inspections. These tools (GAR,

tours/inspections) do not 'monitor' the culture of a prison unit, to include the interactions between inmates and staff, and the attitudes of each group. GAR inspections do not ask questions about the quality or quantity of staff training, or how often officers see their supervisors on the yard. To properly assess the culture of a prison unit, one needs to speak with staff and inmates at length and observe their interactions. In depth town hall meetings (Forums) with inmates should be observed routinely and the attitudes of both staff and inmates noted; given the small size of this facility, ADC monitors have been able to be involved more in-depth with these listed activities.

The ADC Monitoring Team has established a process of addressing issues on the spot and working with the GEO Administrators to correct them. Deputy Warden (DW) Freeland monitors GAR corrective action plans (CAPs) and at this time there are none pending. The assessment team noted no delays in CAPs follow-up.

The team meets timeframes for the majority of their mandatory oversight and decision making on the high volume of inmate actions (classification, disciplinary, visitation, releases, correspondence, etc.) and contractor clearances. One inmate was found to be improperly classified using the wrong classification code that was not actively followed up to facilitate movement from detention to a general population facility.

ADC monitors report that generally there is open communication between the GEO staff and ADC Monitoring Team. GEO employees did not share any information with the assessment team that would indicate that they were told it was frowned upon to speak to ADC staff.

The Contract Beds Monitoring Team members were interviewed separately.

Jeffery Freeland, Deputy Warden – Lead Monitor:

Deputy Warden Freeland was interviewed on September 11, 2015, concerning his role as Lead Monitor at Florence West and CACF. DW Freeland has been assigned as the Lead Monitor for approximately six (6) months. He attended the Monitor Training facilitated by CBOD Tara Diaz and DBA Ron Credio, where he received both verbal and written instruction concerning his assigned responsibilities. DW Freeland has copies of both contracts and refers to them as necessary.

DW Freeland described his role as an overseer of both units. He enforces ADC policy and procedures, and communicates with the unit Wardens to ensure said policies and the contracts are followed. He communicates via telephone or email with the unit's administration when reporting concerns, and will complete the monthly GAR inspection report to note discrepancies.

When asked about the GAR, he responded that he will complete approximately 20 percent of the monthly GAR inspections for each unit (CACF and Florence West). He rotates the GAR

assignments each month between each unit's COIII and Captain/Lt. Each monitor will submit GAR findings as necessary, and without needing to 'clear' the finding with DW Freeland first.

DW Freeland completes his required DO 703 tours each month at both CACF and Florence West, and will complete on average one tour in visitation each month. COIII O'Driscoll is scheduled to work Saturdays (his choice), and will complete tours in visitation each week. In reviewing DW Freeland's 703 tour reports, it was noted he completed two graveyard tours that were less than an hour in length. When questioned, he reported he will occasionally come in at the beginning of graveyard shift and not complete a report; and will be more cognizant about completing longer tours. He does not require his COIII's or Lieutenants to complete unit tours on swing shift or graveyard shifts.

DW Freeland and his monitors attend the morning meeting at each facility and he encourages transparency between his staff and GEO. He stated lines of communication between the two groups is good and GEO staff report he is often on the yards interacting with both staff and inmates. DW Freeland attends inmate/staff town hall meetings and is familiar to the inmate population.

DW Freeland stated there is an ongoing dispute about staffing on the graveyard shift. DW Freeland stated that Florence West, graveyard shift is only posting 7 officers and the ADC contract states they should be posting 8 officers. DW Warden Freeland stated this disagreement has not been settled at this time, and Warden Mauldin was issued a Discrepancy Notification Letter on August 17, 2015 from Deputy Bureau Administrator, Ron Credio ***(GEO/Flo. West, Discrepancy Notification Letter to Warden Mauldin from DBA, Ron Credio, Exhibit #22)***

Terry Wiesinger, Captain:

Captain Terry Wiesinger was interviewed on Tuesday, September 1, 2015. He has been an ADC monitor at ASP-Florence West for approximately six (6) weeks. He has not been to monitor training, and his copy of the contract is at his residence. In speaking with Captain Wiesinger, it was apparent that he has reviewed the contract and was able to reference several sections in the contract. Captain Wiesinger described his duties as being responsible for observing the GEO Group's compliance with ADC policy and the contract without interfering with their direct operation of the Florence West facility. He completes the Green-Amber-Red (GAR) inspections according to policy, and acts as the Disciplinary Coordinator and Hearing Officer.

Captain Wiesinger hears all minor disciplinary tickets at ASP-Florence West, and conducts preliminary hearings for major rule violations. ADC Captain Adam Kraatz conducts major ticket hearings for ASP-Florence West.

Captain Wiesinger conducts monthly DO 703 tours/inspections, and tours the yard and is in the housing units daily. When he observes GEO staff not following ADC policy, he verbally redirects them and notifies their supervisor. Based on the severity of the discrepancy, he completes a GAR finding. He stated he attempts to be transparent with how he conducts his tours/inspections and openly discusses his concerns with his supervisor and GEO management.

He meets frequently with ADC Lead Monitor DW Freeland and discusses issues or concerns, and will notify DW Freeland of any GAR findings.

Captain Wiesinger was asked about a recent increase in disciplinary violations being written by ASP-Florence West officers, and he stated it was due to officers holding inmates accountable for DO 704 housing and grooming compliance. He attributed this to having a newly assigned GEO Chief of Security, and himself being newly assigned as the ADC Monitor. A review of the disciplinary violations showed an increase of 40 minor violations written in the month of August, 2015.

Captain Wiesinger attends the morning meeting with GEO management, ADC Programs Monitor COIII Pergrem and DW Freeland. He attends the weekly detention meeting at CACF, has observed an inmate substance abuse class and has sat in on inmate orientation. He monitors inmate feeding and recreation and reportedly spends approximately fifty percent of his time on the yards and in the housing areas, interacting with staff and inmates. GEO staff report they see him daily and he is approachable and helpful.

Adam Kraatz, Captain, Disciplinary Hearing Officer:

Captain Adam Kraatz is the Contract Beds Disciplinary Hearing Officer (DHO). He works out of the Central Office and covers all facilities as the relief captain. He has assigned to the Contract Beds Bureau for one and a half (1.5) years and promoted into the position. He does not have copies of the contracts because he has access to all of them at Central Office. His duties are: DHO for Marana, Phoenix West, Florence West, CACF, and Red Rock. He travels to Kingman one time per month to assist. He sets the schedule for the contract beds pre-audits. He views his role as: Contract Beds is all one team; we work for the success of all. Inmate Disciplinary is his primary role. He assesses operations everywhere while he tours and as he walks to and from disciplinary offices. He pays attention to what is going on. If he finds any issues, he debriefs with the private prison warden and the ADC Lead Monitor. He said he talks to staff. He said that sometimes supervisors will hide issues or cover things up, but not the officers. They talk to him. They will tell him if something is broken or if they need a key to somewhere.

Captain Kraatz said he starts his day at Central office where he checks his email and mail and then heads to the facility that needs his coverage that day. He does not typically attend facility meetings, but if he is covering for a Captain he does attend. He addresses issues on the spot when warranted and raises them up to DBA Credio and CBOD Diaz as needed.

Sherry Pergrem, CO III, Programs Monitor:

COIII Pergrem has been an ADC Monitor for approximately six (6) years and has a copy of the contract, an outline of her expected job duties, and has completed monitor training. She stated she is responsible for reviewing inmate releases, classification, inmate work programs, banking, ACJIS, inter-relation mail, and she reviews all inmate documentation going to DW Freeland.

She completes the GAR inspection report in concert with Captain Wiesinger, conducts tours and inspections and attends required meetings. COIII Pergrem attends the daily morning meeting, weekly detention meeting, inmate/staff town hall meetings, and inmate orientations. When deficiencies are noted, she will discuss them with DW Freeland and complete GAR findings as necessary.

GEO staff reported COIII Pergrem does not tour the yards or housing units regularly; several staff members reported they believed she was the 'administrative' COIII.

Key Findings

- The ADC ASP-Florence West monitoring team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). [**Operational concerns, sound correctional practices**]
- One inmate identified as being classified with the wrong code applied to classification action. The ADC COIII is responsible for the classification actions for inmates assigned to detention. **[Violation of DO 801, Inmate Classification]**
- The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. COIII Pergrem reportedly not spending adequate time interacting with inmates and/or staff on the yards or in the housing units. [**Operational concerns, sound correctional practices**]
- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. [**Operational concerns, sound correctional practices**]

Key Findings, listed by Objective

The following comprises a recap of all key findings associated with narratives contained in the four (4) Objectives described in this report, as sorted by Objective. Per Contract 020049DC, GEO shall follow all applicable Department Orders and Director's Instructions, and only findings associated with ADC policies that are applicable to GEO have been listed herein. Thus, any violation of applicable ADC policy also constitutes a violation of Contract 020049DC. Moreover, per the contract, GEO will ensure the compliance and performance of ADC policies and directives, and correct any deficiencies.

FINDINGS

Key Findings, OBJECTIVE 1: Assessment of GEO Leadership and Staff (page 9-10)

- GEO Warden has not been holding all required staff meetings. [**Violation of DO 112, Department Meetings]**
- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 703, Security/Facility Inspections and DO 704, Inmate Housing Regulations]**
- There is no reference to DART in facility Emergency Response Plan. **[Violation of DO 706, Incident Management, operational concern, sound correctional practices]**
- The facility Emergency Response Plan Annex for Disturbance/Riot refers to [redacted] Correctional Emergency Response Team (CERT) [redacted]. This Annex has not been adapted to the Florence West facility. Florence West [redacted]. **[Violation of DO 706, Incident Management, operational concern, sound correctional practices]**
- Staff morale is negatively affected by day shift not taking their mandated 30 minute daily break. **[Operational concern]**
- [redacted]. **[Operational concern and sound correctional practice]**

Key Findings, OBJECTIVE 2: Inmate Management, Supervision and Communication (page 20)

- Sanitation within the individual living areas, common areas, and restroom/showers was below ADC standards. **[Violation of DO 704, operational concerns, sound correctional practice]**
- Inmate compliance with housing and personal grooming regulations was lacking and required greater attention to detail. Multiple inmates were witnessed with their ID cards

fastened to their sleeves or to the bottoms of their shirts. Staff did not address this issue. **[Violation of DO 704, Inmate Regulations]**

- Programming and WIPP are being underutilized. Florence West would benefit from adding more programming classes to their schedule. The unit would benefit not only from reducing inmate idleness, but also having a cleaner unit. **[Operational concern, sound correctional practice]**
- No structured recreation is being offered. **[Violation of DO 906, Inmate Recreation/Arts & Crafts, operational concern, sound correctional practice]**
- One inmate identified as being classified with the wrong code applied to classification action. The ADC COIII is responsible for the classification actions for inmates assigned to detention. **[Violation of DO 801, Inmate Classification]**
- The Shift Commander did not forward the DO 805, Protective Segregation packet for an inmate who requested protective custody to the Deputy Warden within one workday from when the review was initiated on 07/23/2015. The packet was forwarded to the Deputy Warden on 07/27/2015**. [Violation of DO 805]**
- Inmates reported that some staff were aggressive and/or unprofessional **[Operational concern, sound correctional practice]**

Key Findings, OBJECTIVE 3: Staff Training (page 23)

- DART for Supervisors 2015 was not completed for FY2015. **[Violation of Contract #020049DC Section 2.10.10 Staff Training, and DO 509, Employee Training and Education; operational concern, sound correctional practices]**
- Florence West does not utilize Field Training Officers. **[Sound correctional practice]**
- Four Security Supervisors have not completed all required NIMS courses. **[Violation of FEMA/NIMS protocols, and DO 509, Employee Training and Education]**
- The DART responders were slow to react and responded in a very casual manner without demonstrating a sense of urgency. DART members and supervisor could not identify proper deployment of assigned munitions. **[Violation of DART Training lesson plan, operational concern]**

Key Findings, OBJECTIVE 4: ADC Monitoring Team (page 28)

- The ADC ASP-Florence West monitoring team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). **[Operational concerns, sound correctional practices]**
- One inmate identified as being classified with the wrong code applied to classification action. The ADC COIII is responsible for the classification actions for inmates assigned to detention. **[Violation of DO 801, Inmate Classification]**

- The team completes its GAR Inspections and tour requirements in accordance with ADC policy and contract requirements. COIII Pergrem reportedly not spending adequate time interacting with inmates and/or staff on the yards or in the housing units. **[Operational concerns, sound correctional practices]**
- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. **[Operational concerns, sound correctional practices]**

CONCLUSION

Based upon observations, reviews of available materials, inmate interviews, and staff contacts and interviews, the Assessment Team concluded that the inmate population at ASP-Florence West was satisfied with their conditions of confinement. The overall conditions within the facility were acceptable. Staff members appeared to be content with their employer (GEO). Overall unit sanitation was below average. Compliance with housing regulations requires closer attention to detail.

The DART response was lacking in 'sense of urgency' and knowledge, by both team members and supervisory staff. The DART could use additional drills to strengthen their knowledge of DART protocols. GEO management is also apprehensive about utilizing DART on the yard, because it is a modified team. Pre-service and in-service training requires follow-up attention to bring the training programs into contract and policy compliance.

Overall, ASP-Florence West presents as an experienced and knowledgeable group of administrators and staff. The relationship amongst the ADC Monitoring Team, GEO management, line staff members, and inmates is mostly positive.

OPERATIONAL ASSESSMENT
CENTRAL ARIZONA CORRECTIONAL FACILITY
Operated by
GEO GROUP

OBJECTIVE 1: Assessment of GEO Leadership and Staff

The Assessment Team evaluated the staff and leadership of Central Arizona Correctional Facility (CACF; GEO), to include strengths and weaknesses, communications, decision making, and overall effectiveness in operations of the prison.

Members of the ADC assessment team engaged in direct observation of unit management and operational practices for three (3) days. They conducted over ninety (90) interviews with GEO staff and interviewed over one-hundred and twenty (120) inmates. Interviews were conducted with officers, sergeants, and lieutenants, as well as staff from the kitchen, maintenance, human resources, and other areas. GEO staff members appeared to be very candid in their responses to the assessors.

From the interviews conducted with staff, very few concerns were shared. Questions were asked concerning the leadership approach of the management team. The only negative opinion voiced was that the current rate of pay is too low. With the exception of complaints about pay, the staff appears to be happy with their work and employer.

Warden Bennie Rollins

Warden Bennie Rollins has been employed at CACF as the Warden since February 2014. The purpose of the assessment was discussed with Warden Rollins; he was informed the process was not a 'gotcha' and that he would be made aware of any issues noted. Warden Rollins was advised that the assessment team had found the facility to be exceptionally clean, the staff were welcoming and professional, and our interviews had indicated he is highly visible and approachable.

Warden Rollins was asked to describe what he feels his role is as the Warden at CACF. He said it is his job to set a culture of effectiveness. He said private prisons can have a 'silo' culture. The private facilities do not have 100 years of history, so he focuses on the 'We are in the keeping bad things from happening business'. He stated that he tells staff, 'don't use this as your retirement'. This is not a place to retire; we cannot have that mindset here. He said, "CACF is ADC-centric, we have a contract to follow. We shall do what ADC says to do." He said he will never be in opposition to that. Warden Rollins stated there is room for healthy discussion but ultimately, CACF takes an ADC-centric approach. Warden Rollins said his philosophy is the same as that of ADC: an inmate should be able to wake up in Yuma, move to Winslow and still be in the same Department. He said it is the same at CACF, "Our inmates come from ADC; we

should have the same rules and same expectations." He said he takes a hands-on approach to management. CACF is small enough for him to be really engaged. He said he cannot manage from his desk. His job is to prepare staff to handle issues and to be ready to handle the unexpected.

At the quarterly staff recall meetings, he reviews the history of significant prison events (the Santa Fe riot, Lewis hostage situation, Kingman escape, and now the Kingman riots, etc.) He does this to keep staff aware of where we work. He said all of his staff, including him, has windows of retirement they are considering and it is his job to ensure someone is ready to take over.

Warden Rollins was asked about the Designated Armed Response Team (DART) drill that was conducted earlier in the day. He said each shift is required to do at least one drill per month but that more are encouraged and they try to do them more frequently. He said an Incident Command System (ICS) packet is completed for each drill and he reviews them. Warden Rollins advised that he has completed MAG 300, Intermediate Incident Command, and will soon take MAG 400, Advanced Incident Command. He said he is ensuring all of his staff has completed MAG 400 and he is the last to do so. He was asked who opened WebEOC for the DART drill, since only the Captain and Lt. Dowling are trained. Warden Rollins said there is other staff members trained, but they are not ready to 'go solo' yet. His secretary is trained, but she is out on leave. He committed that CACF will have staff trained and prepared to operate WebEOC. He discussed the need to have Section Chiefs who are to complete all of the required paperwork so CACF can follow the 'Planning P' that is part of the ICS. Warden Rollins reported use of WebEOC for quarterly searches and would use it for any planned events. He said there have not been any prolonged events since his assignment to CACF.

Warden Rollins was advised the CACF Emergency Response Plan (ERP) is well written and easy to follow. The ERP does contain information regarding Correctional Emergency Response Team (CERT) call outs, but the ADC contract reflects that CACF has a Tactical Support Unit not CERT. The ERP does not mention the Designated Armed Response Teams (DART) as an option. Warden Rollins stated that DART is not scripted, it is reactionary but CACF can add DART to the ERP. There was discussion about adding narratives for DART and to add language that is specific to CACF as the ERP is now generic to all State of Arizona contracted GEO facilities. The present CACF ERP is being utilized by all three GEO facilities and the plan has not been tailored to the individual uniqueness of each facility.

Warden Rollins was asked about the contract agreement to have [redacted]. He stated this is in the contract and CACF has [redacted]. He stated that he sees this as a good thing. CACF CERT and DART would respond to an incident [redacted]. He would call for the response and Tara Diaz, Ron Credio and DW Freeland would all be involved and in the loop. Warden Rollins was asked who the CERT leader

is and he replied it is [redacted] who reports to the Support Lieutenant but ultimately to the CACF Captain. There was discussion about the TSU training curriculum.

It was discussed that the contract calls for a 30 person CERT team, and the team only has 20 members. Warden Rollins stated they are working to fill the numbers and discussed that he has a much smaller hiring pool for CERT than an ADC complex has for its TSU team.

Warden Rollins was asked about concerns with the perimeter zone system. He said the current procedure is [redacted]. They submit a Significant Incident Report (SIR), post a static perimeter officer, and they call for repairs. He stated that CACF does [redacted] perimeter checks per shift. They have redundant systems: [redacted]. ***(GEO/CACF, Deficiency notice from CBOD Diaz, August 17, 2015, Exhibit #1)***

Warden Rollins was briefed on some of the areas that were reviewed in the assessment. He was advised again that the team found the sanitation of the facility to be excellent. It was shared that the detention unit was extremely clean and organized. Warden Rollins was advised of the morale issues noted in staff interviews. Pay was discussed and he advised he is aware of the staff's unhappiness with the lack of raises. He said a collective bargaining agreement is in place, and that has impacted the opportunities for officers to receive pay raises. He discussed that pay does affect the staff turnover as does the lack of promotional opportunities.

Warden Rollins was advised of the inconsistent approach to staff ingress that was witnessed. He stated he has been monitoring and will continue to address this. He was advised the medication 'watch swallow' process was monitored and the officer assigned to this post did not inspect the inmates' mouths. He said this concerned him as he frequently works this post to model what is expected. He was advised the staff had reported to the team that their Warden sometimes works the medical window. He was also advised the inmates clearly knew that the specific officer working the medical window would not check their mouths.

Warden Rollins was advised there is confusion over what exactly 'bursts an officer's bubble', reduces officer's overtime tracking number for mandated overtime. He said he is aware of the confusion and it was decided that working four hours when mandated does zero an officer's number out. He was advised his staff would like to have the overtime mandating process rules in writing to clarify the procedure. He was advised that the supervisors are also confused. Rollins stated he has been remiss, had intended to get a written procedure out to clarify this, and had not done so yet. He said he would do so. Warden Rollins was advised some officers reported they would like clarification of the staff disciplinary 'point system' and its implementation. He will review this.

Warden Rollins was advised that, prior to his assignment as Warden at CACF, there were two officers who were placed into the pre-service academy at the start of the fourth week and his

staff is now reporting they are being trained on post. He said he will review the report and follow up.

Warden Rollins was asked if he was holding the quarterly meetings required in DO 112. He said that due to the size of the facility and the frequency with which he meets with his staff, he had not been doing so. He said this was brought to his attention by CBOD Diaz and he will now hold these meetings. He stated he had not been holding the monthly Warden/CO meeting but will now hold these meetings as well.

Warden Rollins was advised his monthly DO 703 reports were reviewed in detail and they were complete but it was noted that he does not make any comments on the DO 703 form to justify his scores or to tell the reader where he toured. He said he would review and correct this.

Warden Rollins was asked how long the Public Address (PA) system had been out of order. He stated it has been down for a couple of months and it is being fixed and it should be operational shortly after the part is received. He said if they could fix it with parts from Radio Shack and other vendors, the PA system would be repaired sooner. However, it requires a part from the original vendor and the part was expected to arrive soon.

Warden Rollins was advised there is confusion amongst the officers and the supervisors on the posting of a second floor officer. He was advised that staff reported this as an issue and they feel the unit is understaffed. It was discussed that this is currently under review with CBOD Diaz. Warden Rollins stated this is being discussed at a higher level, but CACF will staff the second floors when the shift staffing numbers allow them to do so.

Warden Rollins was asked about his relationship with the ADC Monitoring Team. He stated the relationship is good and there are no issues. Warden Rollins said he tours the facility daily. He is generally somewhere on the yard each day. He was advised his staff and the inmates confirmed this.

Deputy Warden Lisa Brewer

Deputy Warden (DW) Lisa Brewer began her career with The GEO Group in 2005, and has been assigned to CACF for approximately eighteen (18) months. Prior to her current assignment, she was assigned as a DW at Phoenix West. She said she has no access to WebEOC and she has been attempting to obtain access. DW Brewer was given the name of assigned staff member to gain access to WebEOC. DW Brewer stated she completed MAG 300 and 400. DW Brewer stated she tours the facility daily and tours more than 10 hours a week. DW Brewer said CACF has a 30 person Correctional Emergency Response Team (CERT). DW Brewer was asked if she ever talked to CERT about rules of engagement and she said she talked to the team about this once. DW Brewer stated she has a very positive relationship with the ADC Monitoring Team. When asked about Green-Amber-Red (GAR) inspections and findings, DW Brewer said, ‘GAR

means someone is telling me what is going on in my house.' DW Brewer said she did not like GAR findings, but she did not take them personally.

DW Brewer stated officers typically do not work more than 24 hours of overtime in a week and they get at least one day off during the week. DW Brewer said all overtime is approved by Warden Rollins. DW Brewer stated she has only had to collapse a security post twice, and staff were called into work right after. DW Brewer said running the facility safely and securely is her main concern. DW Brewer stated there has been no use of force in the last year. 'Use of Force' reports were reviewed; CACF has not had a Use of Force since October 2014.

Deputy Warden Brewer was asked about formal investigations being conducted in the facility by the GEO corporate office personnel. Deputy Warden Brewer stated GEO has a phone number where staff members can call and file formal complaints. These complaints are investigated by GEO's Office of Professional Responsibility (OPR). Deputy Warden Brewer said OPR investigators have been at the facility four times in the last year and none of the charges were sustained.

Captain Bryan Dennis

Captain Dennis retired from ADC after twenty five and a half (25.5) years. Captain Dennis has been the Chief of Security at CACF for approximately two (2) months and he has a good relationship with the ADC Monitoring Team. Captain Dennis stated he inspects the facility's security devices once a month and Lieutenant Gabriel Lagunas inspects the facility's security devices once a week. This was confirmed through the review of reports produced by Captain Dennis. Captain Dennis said line staff inspects security devices at the beginning of all three shifts daily. Captain Dennis was asked if he had any outstanding security devices repairs pending. He said all security devices are repaired quickly at CACF, including perimeter alarms. Captain Dennis stated the perimeter security system repair companies, [redacted], are called to the prison every time there are [redacted]. Captain Dennis stated the only other problem at CACF is the Public Announcement System (PA) has not functioned for almost two months. Captain Dennis stated the PA system needs a unique part to be repaired and it has been ordered. Captain Dennis said some of the exterior lights are not repaired until there are enough lights out to rent a scissor lift for Florence West and CACF. Captain Dennis stated most of the exterior lights do not cause a problem because there is a bank of lights. If one light is out, the one next to it is working.

Captain Dennis produced two months of security device reports for July and August, 2015. A security device report for June could not be found. The former Captain did not produce a monthly security device report. That Captain included the security device work order log on her monthly Department Order (DO) 703 inspection report. Captain Dennis's monthly security device reports displayed that security devices at CACF were being repaired in a timely manner.

There were some minor clerical errors found on Captain Dennis' monthly security device reports, a few report numbers were mistakenly altered.

Captain Dennis said he recently began completing weekly reports for inspections of inmate housing areas and he started including the results of these inspections in his monthly DO 703 report. Captain Dennis stated this was a recent audit finding and he is working on correcting this. Department Order 704, Inmate Housing Regulations states the Chief of Security or designee shall conduct weekly inspections of all inmate living areas. These inspections shall be documented, by exception, in the Chief of Security's Monthly Report in accordance with Department Order #703, Security/Facility Inspections. The three weekly DO 704 reports written by Captain Dennis were repetitive and generic in content. Each report stated, 'All inmate living areas have been inspected for the week with no discrepancies. There were minor violations observed which were corrected immediately with verbal redirection.' These reports were shown to DW Brewer and Warden Rollins.

Captain Dennis stated he has completed MAG 300 and 400. He said Lt. David Dowling and himself are the only staff members at CACF that have access to WebEOC. Captain Dennis stated they open WebEOC for quarterly searches and significant events. Captain Dennis said Lt. Dowling fills out most of the NIMS paperwork when WebEOC is opened. The Captain was reminded the National Incident Management System (NIMS) paperwork is designed to be filled out by the different section chiefs, not one person.

Captain Dennis said supervisors are also required to conduct emergency key drills, fire drills, suicide response drills, cell extraction drills and regular ICS drills. Several line staff members in control rooms were asked, when was the last time they [redacted]. Only one staff member stated [redacted]. The majority of the staff stated [redacted]. All of the staff knew [redacted]

The Captain, DW, and Warden all shared that DART drills are conducted monthly on each shift. Captain Dennis said he has personally observed four to five DART drills since his assignment at CACF. Captain Dennis stated that CACF does not conduct any live fire DART drills. Captain Dennis said it would [redacted]. DW Brewer and Warden Rollins stated they [redacted]. The DART drill conducted at CACF went well and the staff members were familiar with DART procedures.

Captain Dennis reported there were only [redacted] flex cuffs on inventory in the Main Control Room for a population of 1280 inmates. Subsequent to this interview, Captain Dennis produced a report

stating CACF has the following restraints on the facility: [redacted]-handcuffs, [redacted]- leg irons, [redacted]-belly chains, [redacted]-flex cuffs, and each staff member is issued handcuffs. [redacted].

Summary of observations and conclusions:

ADC assessors observed ingress search procedures of staff members in the front lobby. An officer was allowed to walk into the facility without clearing the metal detector. If an officer's food could not clear the metal scanner, the food was placed in a plastic bin on the counter. The ingress officer picked up the food item, visually inspected the item, and placed the food back in the plastic bin. The food items were never opened, searched, and poured into a clear plastic container. Food items that are manufacturer sealed have to clear the metal scanner prior to being allowed into the facility. Staff was observed walking sideways through the metal scanner or they waved their backpack back and forth through the metal scanner. If a backpack cleared the scanner, the ingress officer occasionally did not search the backpack.

There are a number of CACF officers who are unhappy about the lack of raises and their pay. It was repeatedly reported there have not been pay raises for approximately 3 years, and new staff earn the same pay rate as seasoned staff. There is a collective bargaining agreement in place at CACF and staff expressed that the lack of raises may be due to the union and they are being penalized for voting it in. In spite of the pay issue and its effect on morale, the majority of staff interviewed stated that they liked their jobs and the CACF administration.

There are a number of former and/or retired Arizona Department of Corrections (ADC) employees employed at CACF. These staff seem to have a positive impact on the facility operation because of their experience, however, it was pointed out by several officers that they feel these staff hinder their promotional opportunities and because these staff have already retired once they do not view the lack of raises as an important concern. Several of the supervisors to include the Correctional Program Supervisor (CPS) and the Captain are retired from ADC and there is an individual who was hired directly into a Lieutenant position without being an officer or sergeant at CACF first.

Throughout the interviews that were conducted, all commentary about Warden Rollins was positive. He was reported to tour frequently and to interact with staff often. He knows the officers by name and they appreciate his hands-on approach. Deputy Warden Brewer is also viewed positively. It was reported that she tours very frequently and is approachable. There were a very small number of staff who stated that she used to be in a Finance Administrative position and is not fully knowledgeable of unit operations. In her position as Deputy Warden, Ms. Brewer handles the employee discipline and this may account for the few negative comments about her. DW Brewer was witnessed interacting positively and professionally with her staff.

A long recognized and critical tool for effective prison management is frequent and consistent tours by members of the management team and especially the unit administrators. The benefits in terms of communication with staff and inmates; awareness firsthand of operational procedures and programs; coaching, guiding and supporting staff in their efforts to do their job correctly; and identifying problematic issues are just a few of the benefits. It is evident that Warden Rollins and DW Brewer are consistently touring their unit with members of the management team. Staff and inmates are familiar with them and say they are on the yard regularly.

Captain Bryan Dennis is new to the unit having been assigned there since July. He has made a positive impression on the staff and no one reported any negative first impressions. There were comments made by several staff that this Administration (Rollins, Brewer, and Dennis) are more hands-on and at times can be 'micromanagers'. Captain Dennis was specifically mentioned for this. It was noted by many that the former Captain and the former Warden were particularly 'laid back'.

Captain Dennis said if [redacted].

Staff consistently reported the Sergeants and Lieutenants (Sgts and Lts) are readily available to them and they tour frequently. The majority of staff reported that their supervisors were good and they appreciated them. There were some negative comments about the graveyard Lt, and it was reported by a small number of staff that he does not tour and he favors female staff. There seems to be some discontent because this Lt was hired by CACF directly as a lieutenant and did not have to work there as an officer first.

Employee disciplinary was reviewed and not viewed as excessive. One officer reported that he had been disciplined two times for the same incident. His disciplinary record was reviewed and this was not the case. Several staff mentioned a former employee who had crossed the line with an inmate, her file was reviewed and she had resigned during investigation and CACF had listed her as not eligible for rehire. CACF Human Resources staff was open to questions and shared files and information freely. ***(GEO/CACF, HR reports, Exhibit #2)***

Hiring information was reviewed and no issues were noted. CACF does lose staff to other agencies with higher pay and/or better benefits and therefore does have a significant rate of turnover.

An experience level comparison in terms of years in job code was conducted relative to the staff at CACF and like-positions within ADC. Additionally, a comparison of the length of time in a qualifying pay grade/rank was completed with CACF CPO's and ADC COIIIs, as well as the Sergeants in ADC and CACF. The results of the total comparisons are listed below:

Position	ADC	CACF
CO	6.4	3.46
COIII	4.96	2.0 (Correctional Programs Manager)
Sgt	3.75	1.3
Lt	3.81	4.3
Captain	3.14	0.4
COIV	4.11	9.0 (Programs Manager Supervisor)
DW	1.26	0.10
Warden	2.77	15

Full Time Positions	Allocated	Filled	Vacancy
Correctional Officer II	154	148	06
Sergeant	09	09	00
Lieutenant	06	06	00

CACF has a total of 251 positions to include Administration, Security, Clerical, and Medical staff.

Overtime is used frequently to reach required staffing. The amount of overtime needed fluctuates greatly and is directly affected by inmate medical issues, inmate's in the hospital, and the need for extra perimeter staffing. Staff mentioned that management tries to limit the overtime but recently, due to the hospital and issues with the perimeter alarm system, there has been a lot of overtime required and staff has been mandated to work overtime. The majority of staff interviewed volunteer for overtime and view it as a positive factor of their job. They also reported that whether one wants to work overtime or not, the tracking system is fair and consistent and officers do have the ability to manage their 'bubble number'. According to the staff, CACF management recently implemented a rule that supervisors (Sgts and Lts) are not permitted to earn overtime. Several staff voiced concern over this and felt it was unfair. The supervisors expressed some concern about it but voiced that for the most part they can, and do, flex any overtime they earn.

One issue that was raised repeatedly concerning overtime is there had been a recent change and some staff believed that an officer's bubble number was only 'burst" if they were mandated to work overtime for 8 hours, and staying for four hours or a partial shift when mandated did not zero out their tracking number. Supervisors were also confused about this. When asked, Captain Dennis reported that it was true, only working 8 hours when mandated would zero out the tracking number. Warden Rollins was asked about this and he stated that working four hours when mandated would zero out an officer's number. He stated that he had been remiss in getting something out in writing and he would do so.

During the weeks noted, the following staff worked in excess of 24 hours overtime:

Week Ending:	Name and Hours of OT Worked in Excess of 24 Hours:
06/07/2015	• Rex Gardner-29 hours • Sheila Justis-24.75 hours • Mario Munoz-25 hours • Cedric Terrell-24.25 hours
06/14/2015	• Teresa Bowman-25 hours • Jackson Cabrera-24.75 hours • Rex Garner-27.50 hours • Sheila Justis-24.25 hours • Chance Madewell-26.25 hours • Bonita Marsh-29.50 hours • Tomas Melero-25 hours • Joseph Montijo-32.75 hours • Mario Munoz-27.25 hours • Sandra Nido-32.50 hours • Cedric Terrell-28.75 hours
06/21/2015	• Ramon Balderrama-30 hours • Michael Barnett-27.75 hours • Jackson Cabrera-27.25 hours • Latisha Clark-34.50 hours • Ava Espinoza-30.50 hours • Travis Froman-32 hours • Alicia Guevara-31.25 hours • Benjamin Heras-25.75 hours • Christopher Horen-24.50 hours • Victoria Jorgensen-25.25 hours • Sheila Justis-33 hours • Elizabeth Lopez-26.25 hours • Scott Loveland-32.50 hours • Chance Madewell-32.75 hours • Jose Malinao-31.75 hours • Patrick Marrufo-30.75 hours • Franklin Mathey-32.25 hours • Matthew Mercado-29.25 hours • Joseph Montijo-29.75 hours • Jared Oleski-26.50 hours • Cassandra Osgood-26 hours • Lorena Ramirez-30.25 hours • Erik Robles-31.25 hours • Ruben Saenz-26.75 hours • Robert Shifflett-26.50 hours • Neftali Tapia-Garcia-24.25 hours • Joseph Timmons-30 hours

	• Marques Wyble-27.75 hours • Ana Zambrano-25 hours
06/28/2015	• Latisha Clark-27 hours • Sheila Justis-24.75 hours • Bonita Marsh-29.50 hours
07/05/2015	• Bonita Marsh-25.50 hours
07/12/2015	• Yolanda Bathan-24.75 hours • Clinton Dearman-25.50 hours • Rex Garner-24.25 hours • Sheila Justis-24.25 hours • Mario Munoz-24.50 hours • Sandra Nido-31 hours,
07/19/2015	• Sheila Justis-24.50 hours • Sandra Nido-24.25 hours
07/26/2015	• Clinton Dearman-26.25 hours • Anthony Dobos-29 hours • Rex Gardner-24.50 hours • Adam Johnson-27.75 hours • Bonita Marsh-27.50 hours • Jared Oleski-24.50 hours • Jesse Potts-24.50 hours
08/02/2015	• Yolanda Bathan-24.50 hours • Clinton Dearman-26.25 hours • Anthony Dobos-24.50 hours
08/09/2015	• Yolanda Bathan-24.25 hours • Latisha Clark-24.50 hours • Travis Froman-25 hours • Rex Gardner-25.25 hours
08/16/2015	• Rex Gardner-24.75 hours • Sheila Justis-24.50 hours
08/23/2015	• Teresa Bowman-24.25 hours
08/30/2015	• Victoria Jorgensen-24.25 hours

Posts are typically fully staffed without collapsing of posts. Overtime is used to fill vacant posts on the roster. If a post needs to be collapsed in order to provide staffing for an emergency medical transport, staff is called in from home to fill the collapsed post.

Key Findings

- GEO Warden has not been holding all required staff meetings **[Violation of DO 112, Department Meetings]**.

- Much of the GEO management is unfamiliar with/does not have access to WebEOC. **[Violation of FEMA/NIMS protocols, operational concern, sound correctional practices].**

- There is no reference to DART in facility Emergency Response Plan. **[Violation of Contract #0040176DC Section 8.9, Contracted Bed Procedures and Post Orders; 8.9.2.1 establish a Designated Armed Response Team (DART), Violation of DO 706, Incident Management, operational concern, sound correctional practices]**

- The facility Emergency Response Plan does not contain references to a CACF TSU. CACF administrators made it clear they do not have TSU, they have CERT. The ADC contract states CACF should have a thirty person TSU. Presently, CACF has a twenty person CERT who is using ADC TSU curriculum to train the team. **[Violation of Contract #0040176DC Section Section 8.9, Contracted Bed Procedures and Post Orders; 8.9.2.2 establish a thirty (30) person Tactical Support Unit (TSU), Violation of DO 706, Incident Management, operational concern, sound correctional practices]**

- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) **[Violation of DO 704, Inmate Housing Regulations]**

- An officer was observed to not follow required security procedures by not inspecting inmate's mouths to ensure that medications had not been concealed after receiving their medications. **[Violation of Unit Post Orders, operational concern, sound correctional practice]**

- [redacted]. **[Operational concern and sound correctional practice]**

OBJECTIVE 2: Inmate Management, Supervision and Communication

An initial tour of the unit was taken with Arizona Department of Corrections monitors facilitating the tour. The tour was led by GEO management.

Central Arizona Correctional Facility (CACF) presented a clean and well cared for image. Inmate living areas were well maintained. Interactions between the staff, inmates and assessment team were professional and polite. Many inmates were observed lying on their beds during the day. The inmate regulation picture showed that inmates' beds shall be made with a blanket as the outer cover. Several inmate beds were made up with a blanket or sheet as the outer cover. There was no uniformity. The shelves looked very organized in the single bunk areas. The double bunk TV shelves appeared somewhat cluttered with pictures, hobby craft, and hygiene items. Overall, the compliance with DO 704, Inmate Regulations was above average. The restroom and shower areas were very clean, and inmates were observed cleaning throughout the entire facility. The population for CACF was 1,278 inmates at the time of this assessment. It did appear that at least half of the inmate population was idle at any given time.

ADC assessors observed a Class A tool, a pair of tin snips, checked out to an inmate in the Arizona Correctional Industries (ACI) area. The tin snips were not located in possession of the inmate. The tin snips were located outside of the office where the inmate was working on a cart. The ACI area has sound tool control and inmate strip-search procedures. The ACI area is isolated from the prison population. However, three to four inmate kitchen workers are escorted twice a week through the ACI area to a sectioned off area where food service items are stored. These inmates are escorted by a civilian food service worker and there are no strip-searches or pat-searches conducted on those inmates entering or leaving. The inmates assigned to ACI are directed to not interact with the kitchen workers. There are no tool inventory reconciliations or searches conducted prior to the kitchen workers leaving the area. Potentially, this means a tool could be taken out of ACI area by a kitchen worker and it would most likely not be detected for several hours.

ADC assessors observed the two inmate dining rooms while the lunch meal was being served; the inmate dining rooms were congested due to pizza being served. The inmate population is satisfied with the food and there were no complaints about quality or quantity. The serving line was long and very few inmates would sit in the first table closest to the serving line in both dining rooms. The only inmates that would sit in the first table appeared to identify with the LGBT community. The inmates were segregated by race except for the first table. Inmates were constantly looking for an area to be seated, even though the first table had many available seats. Kitchen sanitation was satisfactory.

Constituent Services:

A review of complaints from constituent services would indicate that Central Arizona Correctional Facility is within ADC standards and comparable to other ADC units of its size and custody level. ***(GEO/CACF, FY 2015 Constituent Services Report, Exhibit #3)***

Disciplinary:

Disciplinary profiles for Year 2015 were based on data from 01/01/2015 to 08/31/2015. No issues or notable trends observed from the data.

As of 08/31/2015 for Year 2015, 92.25% of inmate disciplinary violations issued consisted of:

- 11B-Disrupt Count or 19.22%
- 36B-Viol of Dept/Ins 12.27%
- 25B-Disobey Verbal/W 11.86%
- C06-Fail Appearance 6.13%
- 01B-Aggrvtd Refusal 5.93%
- 34B-Theft/Possess St 4.70%
- 13B-False Reporting 3.89%
- 23B-Promot Prison Co 3.89%
- 38B-Positive or Refu 3.89%
- 10B-Disorderly Conduct 3.48%
- 02C-Barter/Trade/Sell 3.07%
- 33B-Tattoo,Brands,Pi 2.86%
- 04C-Disrespect To Staff 2.66%
- 40B-Fighting 2.66%
- 02B-Assault on Inmate 1.23%
- 08B-Conspiracy To Commit 1.23%
- 37B-Possess Drugs or 1.23%
- 39B-Threatening Or I 1.23%
- 07B-Harassment 0.82%

As of 08/31/2015, inmate disciplinary violations were finalized as follows:

- 108 guilty major verdicts.
- 208 guilty minor verdicts.
- 45 informally resolved inmate disciplinary violations.
- 56 Dismissed or Not Guilty verdicts.

(GEO/CACF, 2013, 2014, and 2015 Year to Date Discipline AIMS Print Out, Exhibit #4)

Grievances:

The number of formal inmate grievances filed at CACF totaled 33 for calendar year 2015. These numbers are within the average range when compared to similar custody ADC units (ASPC-Eyman, Cook Unit) on a per capita basis. The top grievance issues were medical and property. ***(GEO/CACF, CACF and ASPC Eyman-Cook Unit Grievance logs, Exhibit #5)***

Classification:

A review of the classification actions with the general population inmates at CACF indicates that all actions, with the exception of two, were completed within policy time frames. The ADC CO III is responsible for inmate classification actions. ***(GEO/CACF, CACF AIMS Classification Print Out & DI59/61 Updates Over-Due, Exhibit #6)***

Detention:

Reviewed online detention reports generated on 08/13/2015 and 09/09/2015. Total of 18 inmates reviewed for disciplinary, classification and DO 805 process time frames. There were no discrepancies observed. The length of inmate detention housing was within reason. ***(GEO/CACF, Detention Report, Exhibit #7)***

Visitation:

Visitation attendance at CACF is slightly higher when compared to a similar ADC Unit. For the month of July, 2015, reports indicate there were 1,010 adult and minor visitors. ASPC- Eyman, Cook Unit visitation for the month of July, 2015 was 817. The disparity is not an alarmingly high number and is no cause for concern. ***(GEO/CACF, Visitation Summary CACF & ASPC Eyman Cook Unit, Exhibit #8)***

<u>Inmate Programs</u>

Education:

CACF has two mandatory literacy classes and two GED classes for inmates who have a need. Placement is done utilizing the Priority Ranking Report. There are three instructors assigned to the unit. Instructor M. Sherwood has been with GEO for 7 years, Instructor G. Chacon for 3 years and J. Hill for 9 months. They each teach Functional Literacy and GED classes. The assessor observed the classes and found the students were engaged and participating in their groups. The teachers all said they enjoyed working at the facility. ***(GEO/CACF, Inmate Capacity Report CACF, Exhibit #9)***

Career Technical Education (CTE):

CACF has a CTE program taught by a CACF employee. The instructor utilizes material from various curricula to facilitate the course. Students learn basic business skills, basic computer

skills, and computer programs for Microsoft Excel, Power Point and Word. ***(GEO/CACF, Inmate Capacity Report CACF, Exhibit #9)***

Substance Abuse Programs – Correctional Programs Manager:

CACF provides Sex Offender Education and Treatment Program (SOETP) and substance abuse counseling [redacted] the facility; all inmates at CACF are medium custody a[redacted].

The SOETP program consists of four tiers that range from orientation to advanced maintenance. This class is required by ADC. There are [redacted] inmates assigned to SOETP at any given time.

The following are part of the SOETP curriculum:

- Orientation, six sessions, total of 12 hours
- Pretreatment, 24 sessions, total of 36 hours
- Primary Treatment, 12 – 18 months, 3 hours a week
- Advanced/Maintenance Therapy Groups, 6 – 12 months

The other programs available at CACF are:

- Self Improvement
- Re-Entry
- Conflict Resolution
- Domestic Violence
- Cognitive Restructuring

Each class is five weeks in length. When an inmate is 5-6 weeks from release they are placed in a Pre-Release class.

Case Programs Managers teach Thinking for a Change and Re-Entry programs. The inmates are assigned based on their order of placement on the priority ranking report.

Case Programs Managers also conduct office hours and are available daily to the inmate population. When walking amongst the inmate population the assessor did not receive any questions regarding case manager issues. ***(GEO/CACF, Capacity Report, Exhibit #9)***

Religious Services:

CACF provides a number of religious program services. The religious services calendar indicates a wide range of programs and services for various religious groups showing a service or meeting everyday of the week. ***(GEO/CACF, Religious Services Calendar, Exhibit #10)***

Library Operations:

The library is open seven days a week. It is open four days a week for 3.5 hours and three days a week for 2 hours. Legal resources are available five days a week, while the librarian is present. The library is open one night a week for work crew inmates. The library was open and clean; inmates were utilizing the resources available to them. ***(GEO/CACF, Library Calendar, Exhibit #11)***

Work Opportunities:

CACF has a maximum population of 1270 inmates assigned to the unit. There are two types of jobs available to the inmates at CACF, Arizona Correctional Industries (ACI) employs 50 inmates and Work Incentive Pay Plan (WIPP) employs 614 inmates. Of the 614 inmates employed by WIPP 219 are porter jobs. Total employed inmates are 664 at the unit which is a 52.28% rate of employment.

Most of the WIPP jobs appear to be full time with a few inmates receiving low hours. This could be due to new hires mid payroll.

When comparing the racial breakdown of the unit versus that of inmates working there is no more than a 1% difference in any race, indicating that jobs are shared equally by racial composition. ***(GEO/CACF, Capacity Report, Exhibit #10)***

Structured Recreation:

An effective management tool for correctional administrators when they are challenged with keeping inmates occupied and engaged if meaningful jobs are lacking is to provide an ample amount of recreational activities in both active and passive formats. CACF has a full schedule of events. While touring the unit there was a plethora of inmate activity in the recreation areas. ***(GEO/CACF, Recreation Schedule, Exhibit #12)***

Intelligence Gathering/Sharing:

ADC Special Security Unit (SSU) reported to the Central Arizona Correctional Facility (CACF) for the purpose of assessing and determining the current culture that exists among the inmate population and GEO staff. Inmates of all races were interviewed to include those who are associated with Security Threat Groups (STG) and Criminal Street Gangs CSG). An initial tour was conducted with GEO management for the purpose of orienting to the physical layout of the institution. Approximately one hundred and twenty (120) inmates were interviewed.

Sanitation within the institution appeared to be a priority among the staff and inmate population. A significant portion of the inmate population was observed to be involved in programming, education and working throughout the facility.

A good portion of the inmate population stated that the GEO Administration and Supervisors are present on the yard and make themselves available in addressing issues and concerns. The inmates were familiar with titles and names of GEO management and the ADC Monitoring Team.

Inmates stated a majority of the line staff are professional and perform their duties in a manner that addresses inmate concerns and issues. Two staff members were identified by several inmates as performing their duties in a manner that is disrespectful. The Correctional Program Supervisor was identified as being unapproachable and difficult to deal with. The Librarian was also identified as being unapproachable and demonstrating a poor demeanor towards the inmate population. Some inmates alleged that the Librarian researches different inmates' criminal charges and unprofessionally expresses her opinions to others regarding certain inmates.

An emerging theme among the inmate population is that the mattresses provided to the inmate population are refurbished and of poor quality. The complaints are that the mattresses are old and worn to the point that they do not provide any comfort. This issue was brought up by inmates from all races. CACF has an Arizona Correctional Industries (ACI) building located on its property and it employs inmates assigned to CACF. ADC SSU determined these complaints can be attributed to the inmates assigned to ACI advising the rest of the inmate population of the newer mattresses being made at ACI. These inmates are under the impression that the newer mattresses are fabricated strictly for ADC inmates at other ADC facilities. The information is inaccurate, but it has been circulating throughout the inmate population. The inmate population believes they are not being provided the same mattresses as other inmates at ADC complexes. GEO Warden Rollins stated the facility purchases approximately 40 mattresses every quarter with the budget they are provided. The inmate population views this as a slow process of replacements for the poor quality mattresses.

The GEO staff assigned to perform Special Security Unit (SSU) duties are not [redacted]. [redacted] is the supervisor for the SSU and is also assigned as the [redacted] supervisor. [redacted] is assigned to fulfill most of the intelligence gathering and to oversee SSU duties for the facility. He has [redacted] staff members who assume these duties in his absence; [redacted] is assigned as a Support supervisor and [redacted] are assigned to Support services. [redacted] is assigned as the inmate movement officer and [redacted] is assigned as the work crew supervisor. ADC SSU staff determined that due to the unit's custody level and type of inmate housed there, [redacted] is performing sufficiently in monitoring inmate activities and overseeing this area of responsibility. The inmate population stated [redacted] makes himself accessible to address inmate needs and concerns, and has developed a good rapport with the inmate population.

Key Findings

- Ingress search procedures for ADC employees not up to standards. As previously noted in the May 2015, GAR, GEO staff did not conduct proper ingress search procedures on two GEO staff (Searches finding #12). **[Violation of DO 708, Searches, operational concerns, sound correctional practices]**

- Inmate kitchen workers were allowed to enter the ACI area where inmates were utilizing Class A and B tools without being searched entering or leaving **[Operational concern, sound correctional practices]**

- Errors in classification actions and documentation in regard to two inmate classification actions. The ADC COIII is responsible for classification actions. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

OBJECTIVE 3: Staff Training

The following is a summary of the Assessment Team's review of staff training to include pre-service, in-service and specialized courses for TSU, DART, and Emergency Management (NIMS). Team members interviewed training staff, examined class rosters, course curricula, and a multitude of training-related documents to better understand the learning process at Central Arizona Correctional Facility. ***(GEO/CACF, 2015 Annual Training Plan, Exhibit #13)***

Training was found to be deficient in some areas. GEO had reduced or failed to conduct some of the classes as required by ADC, both pre-service and in-service.

In-Service Training:

A sample of 12 months of in-service rosters and a spreadsheet of in-service training for FY15 were reviewed. No findings of noncompliance were discovered. However, during interviews with staff, the assessor was informed that training was being conducted in control rooms from printed slide shows. Training Officer (TO) Hopkins was questioned about this and he did verify this had been a practice in the past due to low staffing levels, but is no longer being done. The delivery of training in this format was deficient due to a lack of instructor materials and various media normally used for training e.g. video, power-point presentations etc. A classroom setting is required delivery of curriculum that is not in a computer based training (CBT) format. This allows for proper instructor preparation, as well as creating an interactive setting where students can learn from each other as well as from the instructor. Staff consistently reported they had completed all of their required annual in-service training and the unit conducts DART drills often.

A review of rosters indicated that Supervisor Essentials FY 2015 training was completed for all assigned supervisors.

A review of twelve months of firearms rosters and firearms tracking lists was completed with no discrepancies found.

The CACF Senior Firearms Instructor (SFI) is Officer David Goff. Goff's recertification was completed by Steve Owens, the Senior Firearms Instructor from ASP-Phoenix West. ***(GEO/CACF, CACF Annual Senior Firearms Recertification, Exhibit #14)*** SFI Owens received an Unsatisfactory/Noncompliance Evaluation from the ASPC-Phoenix Senior Firearms Instructor. Officer Goff has since been recertified by the ASPC-Eyman SFI in September, 2015.

Designated Armed Response Team (DART):

A review of reports for May, June, July 2015 reveals that DART drills were competed on each shift, at least once per month.

A DART drill was conducted for the purposes of this assessment team evaluation: The DART response was quick and efficient. DART members were proficient in the execution of formations and the leader was well-versed in commands. Individual team responders were asked what munitions they were carrying and how they would deploy each type of munitions. Officers responded correctly regarding what munitions they were carrying. They described proper deployment areas and aiming points. It appeared DART drills are being conducted frequently and properly.

Training Officer Hopkins was asked if the DART for Supervisors 2015 course was being taught. He confirmed that it was and produced the relevant training records for this course.

Pre-Service Training:

A review of the training curriculum for GEO's Correctional Officer Training Academy (COTA) was compared with the curriculum of ADC's Correctional Officer Training Academy (COTA). Two GEO Correctional Officer Training Academy pre-service schedules and three academy classes rosters were reviewed and compared with an ADC pre-service 280 academy matrix ***(GEO/CACF, CACF 280 hour academy comparisons, Exhibit #15)*** The review showed the training for GEO is shorter primarily in the areas of Use of Force, and Conflict and Crisis Management. Pre-service rosters for 2/2015 were provided but no hours were logged for each class. There is no way to verify if the required training hours were met. Training Officer Hopkins was asked about the disparities and responded that some class times may be shortened due to small class sizes. Some training hours, such as self-defense training and restraint practice, are not listed on his academy schedule but they do have additional practice sessions delivered throughout the academy.

Training Officer Hopkins said the required four hour block for Use of Force was not being delivered for pre-service training. He said it was a misunderstanding as he believed that the same one hour Use of Force class for in-service training was to be delivered to cadets during Firearms qualification week. He said he would take actions to correct the discrepancy. ADC has determined that Crisis Intervention is a critical course and it is to be instructed only by Grade 20 personnel (Captain or COIV) or above. ADC spends 13 contact hours with this course instructing cadets in conflict resolution, non-violent crisis intervention, and professional staff/inmate communications. It is taught through lesson delivery and scenario-based learning. GEO delivers the course in 12 hours, one hour shorter than ADC.

The majority of staff that was interviewed viewed the pre-service academy as productive and effective. There was a report of two officers who were hired when the pre-service academy was already in session and that these two employees were placed into the academy at the start of Week 4. It was reported they were given study guides and told to read them and take the first 3 week's quizzes. The two officers have worked at CACF for about eighteen months. Training Officer Hopkins stated this did occur in June of 2014, and provided the officers names. He said that this was no longer authorized.

To verify correct curriculum was being used, Training Officer Hopkins was asked to provide the DART for Supervisor curriculum and other pre-service courses. He provided the correct in-service courses and COTA curriculum.

As part of ADC Pre-Service training, a Field Training Officer Program (FTO) is in place to afford cadets and newly graduated officers an opportunity to be mentored by a specifically selected, experienced officer. The assessment confirmed that GEO does not utilize Field Training Officers. After completion of the academy, cadets are paired up with senior officers to complete a 40 hour On the Job Training (OJT). No formal FTO training is completed for the senior officers.

Tactical Support Unit:

CACF is required to have a thirty (30) person Tactical Support Unit (TSU) ***(GEO/CACF, ADC/GEO Contract 040176DC page 21, Exhibit #16)*** to respond to emergency situations, as described in DO 706, Incident Management. Information for the TSU is identified by Specification #4. CACF does have a Tactical Support Unit (TSU), which is referred to as a Corrections Emergency Response Team (CERT). The CERT Commander is Officer David Goff. Officer Goff stated that he supervises a 20 person team. Goff said this team was reduced in size and limited to a 20 person team when John Gay was the Warden. ***(GEO/CACF, CERT Roster, Exhibit #17)***

The CACF CERT does complete eight hours of tactical/chase training per month. Officer Goff stated that he uses ADC curriculum but was unaware of an ADC Tactical Training Schedule. ***(GEO/CACF, ADC TSU Training Calendar, Exhibit #18)*** He said he will make necessary changes.

CACF does not maintain all equipment listed in Specification #4. Team equipment such as entry tools, Negotiator equipment and protective panels for vests are not in inventory for tactical use. CACF also does not issue pagers or cell phones to tactical officers for rapid call back to respond to the unit. Officer Goff stated they use a phone tree type system for call outs. (***GEO/CACF, ADC/GEO Contract NO. 040176DC pages103, 104, Exhibit #19/ TSU equipment/contract comparison, Exhibit #20)***

[redacted]. ***(GEO/CACF, TSU Agreement, Exhibit #21)***

National Incident Management System (NIMS) Training:

TO Hopkins completed a training file audit; two security staff have not completed or turned in required NIMS training for IS100, IS700, or IS800. Five Security Supervisors have not completed or turned in IS200 certificates. ***(GEO/CACF, FEMA Certificates email, Exhibit #22)***

Additionally Warden Rollins has not completed MAG 400; Captain Dennis stated that Warden Rollins is actively trying to schedule a class. Training Officer Hopkins has attended both MAG 300 and 400 and CACF has sent additional Lieutenants to MAG 300 and MAG 400.

Munitions:

CACF size and population are unique in that a comparison with an equivalent ADC stand-alone unit could not be completed. ASPC-Winslow, Apache Unit and ASPC-Safford were used for comparison. There are currently no minimum standards established for munitions inventories within ADC. ***(GEO CACF, ADC – Private Prison- Munitions Comparison, Exhibit #23)***

Key Findings

- The CACF Warden has not completed MAG400. Five security supervisors and two staff have not completed the required NIMS training. **[Violation of FEMA/NIMS protocol, and DO 509, Employee Training and Education]**

- GEO failed to deliver some in-service classes in a classroom setting by providing training that was being conducted in control rooms from printed slide shows. **[Violation of Contract #040176DC, Section 10.14, In-Service Training, Violation of DO 509, Employee Training and Education, operational concern]**

- GEO failed to deliver some pre-service courses as required by ADC by making unauthorized reductions in classroom hours in several critical areas; Use of force, transportation and restraints, Non Violent Crisis Intervention. It was confirmed that in June, 2014, at least two employees had been placed into the academy at Week 4 and was provided curriculum from first three weeks to catch up. **[Violation of Contract #040176DC, Section 10.13, Pre-Service Training, Violation of DO 509, Employee Training and Education]**

- The Correctional Emergency Response Team (CERT) does not have the required filled positions or minimum equipment required by contract for Tactical Support Unit (TSU). Tactical Training is not conducted in accordance with the ADC Tactical Training Schedule. **[Violation of Contract #040176DC, Section 8.9.2.2 Tactical Support Unit, Violation of DO 706, Incident Management, sound correctional practice]**

- CACF does not utilize Field Training Officers. **[Sound correctional practice]**

OBJECTIVE 4: – ADC Monitoring Team

This segment encompasses a review of duties and functions of the on-site ADC staff assigned to monitor the operations of CACF staff and bridge the relationship between the Department and GEO.

The Arizona Department of Corrections employs a cadre of full-time staff to monitor contract compliance of contracted prison facilities. The ADC Monitoring Team is comprised of:

Tara Diaz, Contract Beds Operations Director (oversees monitoring of all contract bed facilities)

Ron Credio, Contract Beds Deputy Bureau Administrator (oversees monitoring of all contract bed facilities)

CACF Monitoring Team

Jeff Freeland, Deputy Warden – Lead Monitor

Adam Kraatz, Captain, Disciplinary Hearing Officer

Jesus Valles, Lieutenant, Disciplinary Coordinator

Joseph O'Driscoll, CO III, Programs Monitor

The ADC Assessment Team reviewed the contract for GEO and the scope of work within Department Order #106, Contract Beds, and Department Order #703, Security/Facility Inspections for the bureau and assigned monitors.

The ADC Monitors were interviewed and their performance was reviewed. The assessment also included a review of the current contract, discussions with GEO staff, operational observations, and document checks. After reviewing DO 703 GAR (Green-Amber-Red) inspection reports, audit results, monthly reports, inmate disciplinary findings and classification decisions, the assessment team determined the following:

The ADC Monitoring Team is meeting their statutory and contractual requirements based on the policy. They are conducting their required monthly tours based on a review of; ***(GEO/CACF, ADC 703 Reports, Exhibit #24)*** The ADC Monitoring Team completes their GAR and DO 703 monthly inspections appropriately. This is evident through GAR inspection results, tour inspections reports and observations. GAR inspections and prison tours are conducted to monitor the specific security operations and security devices at a prison unit and ensure they remain in good working condition, and that supervisory and other management personnel conduct regular inspections and tours. The monitor team is known to the staff and the inmate population. They tour frequently and conduct regular GAR inspections. There are a limited number of GAR findings most months.

These tools (GAR, tours/inspections) do not 'monitor' the culture of a prison unit, to include the interactions between inmates and staff, and the attitudes of each group. GAR inspections do not ask questions about the quality or quantity of staff training, or how often officers see their supervisors on the yard. To properly assess the culture of a prison unit, one needs to speak with staff and inmates at length and observe their interactions. In depth town hall meetings with inmates should be observed routinely and the attitudes of both staff and inmates noted; given the small size of this facility, ADC monitors have been able to be involved more in-depth with these listed activities.

The ADC Monitoring Team has established a process of addressing issues on the spot and working with the GEO Administrators to correct them. DW Freeland monitors GAR corrective action plans (CAPs) and at this time there are none pending. The assessment team noted no delays in CAPs follow-up.

The team meets timeframes for the majority of their mandatory oversight and decision making on the high volume of inmate actions (classification, disciplinary, visitation, releases, correspondence, etc.) and contractor clearances. A review of the classification actions with the general population inmates at CACF indicates that all actions, with the exception of two, were completed within policy time frames. ***(GEO/CACF, CACF AIMS Classification Print Out & DI59/61 Updates Over-Due, Exhibit #6)***

ADC monitors report that generally there is open communication between the GEO staff and ADC Monitoring Team. GEO employees did not share any information with the assessment team that would lead them to believe that they were told it was frowned upon to speak to ADC staff.

The ADC Lead Monitor DW Freeland reported he has not been monitoring in-service training.

The Contract Beds Monitoring Team members were interviewed separately.

Jeff Freeland, Deputy Warden

DW Jeff Freeland has been assigned as the lead monitor over CACF and Florence West since February 2015. He has a copy of the contract for both facilities and refers to them often. His contracts were viewed and they are tabbed for ease of use.

DW Freeland was asked about the staffing requirements for the CACF contract. He advised that the current staffing is 29 officers required for dayshift, 29 officers required for swing shift, and 18 officers required for graveyard shift. It was discussed that there is confusion amongst the officers whether a second floor officer is required for the housing units at CACF. DW Freeland said he is aware of the issue and reported that CBOD Diaz is working on this concern and it is under review. ***(GEO/CACF, Deficiency letter, DBA Ron Credio, August 17, 2015, Exhibit #25)***

DW Freeland was asked if the expectations of his position were explained to him. He said they were, in writing and verbally. He has attended the ADC Monitor Academy.

DW Freeland reported that there were four expectations explained to him and they are: Ensure the contract is followed and enforce ADC Policy, submit all of his reports on time, build his team, and he could not recall the fourth item.

DW Freeland was asked to describe his role as the lead monitor. He said that his position is kind of like a Complex Warden. He doesn't directly supervise the private prison Wardens, but he does give directives, meets with them, has dialogue with them when issues arise, and then they make things happen. He said he has not had any issues so far in which they (Wardens) have disagreed with him. Currently, the staffing at CACF is under review.

DW Freeland was asked how he conducts his tours. He said that he tries to complete 1 or 2 tours per week at each facility. This does not always happen as he can get backed up with paperwork. He does not tour everyday but does tour the required ten hours per week. He said he always tours when CBOD Diaz and/or DBA Credio tour the facilities. He changes the specific locations of his tours within the facilities each day.

DW Freeland said he and his teams rotate the GAR duties monthly. He assigns them equitably and they all complete their assigned components. Each team member typically is assigned 40 GAR components per month and he assigned himself 20 components at each facility for a total of 40. DW Freeland said they all help each other.

DW Freeland was asked if he and/or his team work weekends or have weekend duty. He said they do not but COIII O'Driscoll works Saturdays at CACF. This was discussed and it is due to O'Driscoll's personal needs but works very well for the team and the facility.

DW Freeland was asked who on his teams is required to conduct graveyard tours. He said the COIIIs and the Lieutenant are not required. The Captain and he are required to do them. DW Freeland was asked how he conducts his graveyard shift tours. He said he is required to do two graveyard tours per month; one at each facility. Sometimes he comes in the evening and sometimes he comes in early in the morning. He was advised on 07/31/15 he conducted a grave shift tour at 0430 at CACF. The CACF shift change is at 0500 so this was only thirty minutes with grave shift. It was discussed that the purpose of the tours is to get to know the officers and to know the operation of the unit on each shift. DW Freeland acknowledged he could spend more time on grave shift. He said this is not the norm for him but there has been a lot going on and he would change this. ***(GEO/CACF, 703 Reports for May and July 2015, Exhibit #23)***

DW Freeland was asked about his relationship with both management teams (CACF and Florence West). He stated both relationships are good and there are no issues.

When asked about the GEO management's reactions to GAR findings, DW Freeland reported no concerns. He stated that Florence West averages about 2 to 6 findings per month and CACF averages 10 to 12 per month. They typically do not argue and they address the finding. He discussed a recent finding at CACF ([redacted]) and it is being fixed. DW Freeland said both facilities are current on GAR corrective action plans.

DW Freeland was asked if he feels that he has time to assess the culture of the two facilities and he replied that he does. He stated that he is a "people kind of guy" and he builds relationships. DW Freeland was advised that his strategy does seem to be working as the commentary at both units regarding him and his team was positive and everyone said that they are approachable.

DW Freeland was asked about meeting attendance. He reported that he is able to attend the morning meetings at both units and does so daily. The rest of his team attends with him at their assigned units. The meetings are held at 0800 and 0830 respectively, so he can attend both. DW Freeland was asked if he felt there is good open communication between the facility administrations and his team. He said he does feel the communication is good. GEO administrators have a separate meeting after the morning meeting involving ADC monitors, but they are open with him and if he asks questions they answer them. He said there are no communication problems. DW Freeland stated both facilities Human Resources (HR) departments are open with him and if he asks for information they provide it.

DW Freeland was asked about inmate disciplinary due to the fact that staff at both units had reported that disciplinary violations were on the rise. He said he had not reviewed this but there has been a renewed focus on DO 704 enforcement at CACF, and this may have lead to this perception. He said he has not seen any trends regarding inmate discipline.

DW Freeland stated that he attends the inmate town hall meetings at both units. He said he monitors the food and eats at both units and there haven't been any issues. DW Freeland was asked about scheduled recreation and he stated that he has not been monitoring this but will start.

DW Freeland was asked if he was aware of any issues due to the union at CACF. He said he does not know much about the union.

DW Freeland was advised to monitor the ingress procedures at CACF due to the observations of the assessment team. He said he will do so.

DW Freeland was asked about his monitoring of facility sanitation. He was advised that there is clearly a significant difference in the sanitation of the two facilities. CACF is very clean and Florence West is not. He was asked if this has been addressed with him by his supervisors due to the obvious differences when the facilities are compared and he said it had not. DW Freeland said he tends to focus more on security. He said Warden Rollins focuses on sanitation and this is

something he needs to focus on more himself. He said this is a failure on his part and he will address it.

The results of the 2014 Annual Inspection (audit) were reviewed. CACF had a score of 93.2%. The facility recently was audited again for 2015. DW Freeland reported the number of findings increased from 55 (2014) to 68 initial findings (2015). ***(GEO/CACF, 2014 audit results, Exhibit #26)*** DW Freeland was asked if these scores were acceptable. He reviewed his notes from CBOD Diaz and said that a score of 95% or higher is the score to strive for and facilities should improve their score each year. DW Freeland advised they had conducted pre-audits to help prepare for the audits and he will continue to follow up through use of the GAR.

Jesus Valles, Lieutenant, Disciplinary Coordinator:

Lieutenant Valles has been an ADC Monitor for four (4) years. He attended the initial monitor training facilitated by the former division director and former CBOD. He has a copy of the contract and a written description of his assigned duties. He described his role as completing inmate disciplinary duties daily, touring and inspecting the yard and housing units several days each week. He ensures the GEO administrators are aware of policy and contractual obligations, and the expectations are being met.

Lt. Valles said he completes approximately 40 percent of the GAR inspection report monthly and is free to mark Amber findings. Prior to marking a Red finding, Lt. Valles said he will notify his supervisor, DW Freeland. When he notes minor deficiencies, he will speak directly with the staff member or to the supervisor. Lt. Valles said he follows up these discussions with an email to DW Freeland.

Lt. Valles attends the daily Warden's meeting, detention meetings, and inmate town hall meetings. He monitors visitation through the GAR inspection report, will observe inmate recreation, and typically eats in the inmate chow hall 1-2 times per week.

He is responsible for completing the Disciplinary Coordinator functions at CACF, and attributes the low number of tickets to frequent presence of GEO management. He believes in being transparent with his supervisor and with GEO management, and stated that communication between GEO and the ADC monitors is good. Lt. Valles is often on the yard and in the housing units, but does not complete, and is not required to complete DO 703 tour reports, due to being a Lieutenant.

Adam Kraatz, Captain, Disciplinary Hearing Officer:

Captain Adam Kraatz is the Contract Beds Disciplinary Hearing Officer (DHO). He works out of the Central Office and covers all facilities as the relief captain. He has assigned to the Contract Beds Bureau for 1.5 years and promoted into the position. He does not have copies of the contracts because he has access to all of them at Central Office. His duties are: DHO for Marana, Phoenix West, Florence West, CACF, and Red Rock. He travels to Kingman one time

per month to assist. He sets the schedule for the contract beds pre-audits. He views his role as; Contract Beds is all one team, we work for the success of all. Inmate Disciplinary is his primary role. He assesses operations everywhere while he tours and as he walks to and from disciplinary offices. He pays attention to what is going on. If he finds any issues, he debriefs with the private prison warden and the ADC Lead Monitor. He said he talks to staff. He said that sometimes supervisors will hide issues or cover things up but not the officers. They talk to him. They will tell him if something is broken or if they need a key to somewhere.

Captain Kraatz starts his day at Central office where he checks his email and mail and then heads to the facility that needs his coverage that day. He does not typically attend facility meetings but if he is covering for a Captain he does attend. He addresses issues on the spot when warranted and raises them up to DBA Credio and CBOD Diaz as needed.

Joseph O'Driscoll, CO III, Programs Monitor:

COIII O'Driscoll has been an ADC Monitor for approximately three and a half years (3.5). He attended the Monitor training class facilitated by the former Lead Monitor and former CBOD, where he was given written directives of his job duties/expectations. He keeps a copy of the contract on hand and refers to it as needed.

He described his role as being responsible for inmate reclassification, reviewing Maximum Custody and Protective Custody packets, WIPP, completing GAR inspection reports, and ensuring that GEO management is aware of ADC policy and the contract obligations. He stated he was responsible for ensuring 'the state gets what it is paying for.'

COIII O'Driscoll said he completes approximately 40 percent of the GAR inspection report each month and is free to make Amber findings when necessary. He said he will notify DW Freeland if a Red finding is necessary. He typically will give a staff member a verbal warning for minor infractions, and if observed a second time, he will make it a GAR finding. COIII O'Driscoll reported communication between GEO management and the monitor team is good, and he will often discuss GAR findings with Warden Rollins.

COIII O'Driscoll is not required to complete 703 tour reports, but tours the yard at least once per day. Staff report he is often on the yard and frequently interacts with staff and inmates.

He attends the daily Warden's meeting, weekly detention meeting, and monitor team meetings. COIII O'Driscoll reported that he has split days off (Sunday and Wednesday) by choice, and inspects the inmate visitation area every Saturday. He does not monitor inmate feeding or schedules, but will informally observe the staff and inmates on the yard during his daily tours.

COIII O'Driscoll stated there are no communication issues and reported the unit appears to be well-run and that the state is getting what it pays for.

Summary

The ADC Monitoring Team is meeting their statutory and contractual requirements based on what is required in DO #106. They are conducting their required monthly tours and they complete their GAR inspections appropriately. ADC Monitors conduct detailed GAR inspections, complete required paperwork, tours and inspections, and are determining if GEO meets their contractual obligations and requirements. They are not monitoring pre-service training or GEO employee discipline. The workload for the ADC Monitoring Team at CACF is significantly less than the workload of the ADC Monitoring Team assigned to ASP-Kingman. This allows them to tour more frequently and to interact in a manner that affords them the opportunity to assess staff and inmate morale and the facility culture. The ADC Monitoring Team is well known to GEO management and officers.

CACF staff consistently reported that they know the ADC Monitors and they see them touring. The majority of staff reported that they feel comfortable talking to the monitors and they are approachable.

Key Findings

- The ADC Monitoring Team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). **[Operational concerns, sound correctional practices]**

- The Lead Monitor DW Freeland has conducted graveyard shift tours at the end of the graveyard shift which do not allow him time to get to know the staff or the facility operation **[Violation of DO 703, Security/Facility Operations, sound correctional practice]**

- Errors in classification actions and documentation in regard to two inmate classification actions. The ADC COIII is responsible for classification actions. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

- The team completes its GAR Inspections and most tour requirements in accordance with ADC policy and contract requirements. **[Operational concerns, sound correctional practices]**

- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. **[Operational concerns, sound correctional practices]**

Key Findings, listed by Objective

The following comprises a recap of all key findings associated with narratives contained in the four (4) Objectives described in this report, as sorted by Objective. Per Contract 040176DC, GEO shall follow all applicable Department Orders and Director's Instructions, and only findings associated with ADC policies that are applicable to GEO have been listed herein. Thus, any violation of applicable ADC policy also constitutes a violation of Contract 040176DC. Moreover, per the contract, GEO will ensure the compliance and performance of ADC policies and directives, and correct any deficiencies.

FINDINGS

Key Findings: OBJECTIVE 1: Assessment of GEO Leadership and Staff (page 11-12)

- GEO Warden has not been holding all required staff meetings **[Violation of DO 112, Department Meetings]**.
- Much of the GEO management is unfamiliar with/does not have access to WebEOC. **[Violation of FEMA/NIMS protocols, operational concern, sound correctional practices].**
- There is no reference to DART in facility Emergency Response Plan. **[Violation of Contract #0040176DC Section 8.9, Contracted Bed Procedures and Post Orders; 8.9.2.1 establish a Designated Armed Response Team (DART), Violation of DO 706, Incident Management, operational concern, sound correctional practices]**
- The facility Emergency Response Plan does not contain reference to the CERT/TSU. Within the CERT, twenty out of thirty positions are filled. **[Violation of Contract #0040176DC Section Section 8.9, Contracted Bed Procedures and Post Orders; 8.9.2.2 establish a thirty (30) person Tactical Support Unit (TSU), Violation of DO 706, Incident Management, operational concern, sound correctional practices]**
- The Chief of Security does not complete a weekly report for inspections of inmate housing areas (DO 704) **[Violation of DO 704, Inmate Housing Regulations]**
- An officer was observed to not follow required security procedures by not inspecting inmate's mouths to ensure that medications had not been concealed after receiving their medications. **[Violation of Unit Post Orders, operational concern, sound correctional practice]**
- [redacted]. **[Operational concern and sound correctional practice]**

Key Findings: OBJECTVE 2, Inmate Management, Supervision and Communication (page 19)

- Ingress search procedures for ADC employees not up to standards. As previously noted in the May, 2015, GAR, GEO staff did not conduct proper ingress search procedures on two GEO staff (Searches finding #12). **[Violation of DO 708, Searches, operational concerns, sound correctional practices]**

- Inmate kitchen workers were allowed to enter the ACI area where inmates were utilizing Class A and B tools without being searched entering or leaving **[Operational concern, sound correctional practices]**.

- Errors in classification actions and documentation in regard to two inmate classification actions. The ADC COIII is responsible for classification actions. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

Key Findings: OBJECTIVE 3, Staff Training (page 23)

- The CACF Warden has not completed MAG400. Five security supervisors and two staff have not completed the required NIMS training. **[Violation of FEMA/NIMS protocol, and DO 509, Employee Training and Education]**

- GEO failed to deliver some in-service classes in a classroom setting by providing training that was being conducted in control rooms from printed slide shows. **[Violation of Contract #040176DC, Section 10.14, In-Service Training, Violation of DO 509, Employee Training and Education, operational concern]**

- GEO failed to deliver some pre-service courses as required by ADC by making unauthorized reductions in classroom hours in several critical areas; Use of force, transportation and restraints, Non Violent Crisis Intervention. It was confirmed that in June, 2014, at least one employee had been placed into the academy at Week 4 and was provided curriculum from first 3 weeks to catch up. **[Violation of Contract #040176DC, Section 10.13, Pre-Service Training, Violation of DO 509, Employee Training and Education]**

- The Correctional Emergency Response Team (CERT) does not have the required filled positions or minimum equipment required by contract for Tactical Support Unit (TSU). Tactical Training is not conducted in accordance with the ADC Tactical Training Schedule. **[Violation of Contract #040176DC, Section 8.9.2.2 Tactical Support Unit, Violation of DO 706, Incident Management, sound correctional practice]**

- CACF does not utilize Field Training Officers. **[Sound correctional practice]**

Key Findings, OBJECTIVE 4: ADC Monitoring Team (page 30)

- The ADC Monitoring Team meets timeframes on the majority of the required paperwork (e.g., classification, visitation, disciplinary, releases, inmate correspondence). **[Operational concerns, sound correctional practices]**

- The Lead Monitor DW Freeland has conducted graveyard shift tours at the end of the graveyard shift which do not allow him time to get to know the staff or the facility operation **[Violation of DO 703, Security/Facility Operations, sound correctional practice]**

- Errors in classification actions and documentation in regard to two inmate classification actions. The ADC COIII is responsible for classification actions. **[Violations of DO 801, Inmate Classification, and Classification Technical Manual]**

- The team completes its GAR Inspections and most tour requirements in accordance with ADC policy and contract requirements. **[Operational concerns, sound correctional practices]**

- The team only monitors in-service training completion, not pre-service training, nor the quality/curriculum content of the training. **[Operational concerns, sound correctional practices]**

CONCLUSION

Based upon observations, reviews of available materials, inmate interviews, and staff contacts and interviews, the Assessment Team concluded that the inmate population at CACF was satisfied with their conditions of confinement. The overall conditions within the facility were favorable. Staff members appeared to be content with their employer (GEO). Overall unit sanitation was above average.

The DART response was proficient in knowledge by both team members and supervisory staff. Pre-service and in-service training requires follow-up attention by ADC and GEO management to bring the training programs into contract and policy compliance. Tactical Support Unit operations also require follow up attention by ADC and GEO management for contract and policy compliance.

Overall, CACF presents a well groomed image. The relationship amongst the ADC Monitor Team, GEO management, line staff members, and inmates is positive.

OPERATIONAL ASSESSMENT
RED ROCK CORRECTIONAL CENTER
Operated by
CORRECTIONS CORPORATION of AMERICA (CCA)

Objective 1: Assessment of CCA Leadership and Staff

The Assessment Team evaluated the staff and leadership of Red Rock Correctional Center (CCA), to include strengths and weaknesses, communications, decision making, and overall effectiveness in operations of the prison.

Members of the ADC Assessment Team engaged in direct observation of unit management and operational practices for five (5) days. They conducted over one hundred and thirty (130) interviews with CCA staff and interviewed over one hundred and fifty (150) inmates. Interviews were conducted with the majority of officers, sergeants, lieutenants, and captains. CCA staff members appeared to be very candid in their responses to the assessors.

From the interviews conducted with staff, few concerns were shared. The only negative opinion voiced was a perception that there is no post rotation and a few staff members believed supervisors were displaying favoritism by posting certain officers in favorable posts. The staff appeared to be happy with their employer and work environment.

Warden Bruno Stolc

Warden Bruno Stolc has been assigned to the Red Rock facility since 2008. He has worked in the Corrections field for thirty five (35) years. He started in Colorado in 1980 and has worked in both the public and private sectors. Bruno Stolc has been a Warden since 1999. When asked to describe how he views the role of Warden, Stolc responded that he sees himself as the 'Mayor of the town.' He oversees the entire facility from the day-to-day operations to the finances. He stated that he empowers the people who work for him to make decisions. He also stated that the Assistant Warden needs to be able to fill in for him without there being any change in the operation.

Warden Stolc was advised that the assessment team found the facility to be in good shape. The overall sanitation was excellent and the facility presents well. He was advised that the inmate compliance with housing regulations was lacking and that the team had found multiple concerns with the cell sanitation and compliance. Employee interviews also indicated the Red Rock Administration is well known to the staff and inmates and is viewed as caring, approachable, and responsive.

In reference to Department Order (DO) 704 compliance, Warden Stolc was advised that the housing units populated with former ASP-Kingman inmates were the most problematic. It was discussed that the inmates are washing their laundry in their sinks and are openly hanging

clothing and linens to dry. Warden Stolc said he is trying to purchase dryers and there are clothes hooks ready to be installed.

Warden Stolc was advised that many of his staff discussed having concerns about the facility housing three separate population types (Sex Offenders/Protective Custody/General Population). He was told that rather than this being a negative issue, his staff seemed to be taking the approach that they must be extra careful and to take steps to ensure no errors are made. The assessment team felt that the staff are aware of the issue and are taking steps to monitor their own compliance with yard movement was a positive sign. Red Rock staff also indicated communication is good and they are aware of changes and updates. Overall, the message from Red Rock staff was they are doing well and plan to continue to improve. Warden Stolc was advised that several of his staff asked questions about the construction taking place adjacent to the Red Rock facility, and there was some concern that the facility might gain a fourth population. Stolc replied that the construction near Red Rock demonstrates that CCA is being proactive and adding 450 beds.

Warden Stolc was advised that the Red Rock officers talked with pride about the emergency intake of the ASP-Kingman inmates in July. They felt their work had been good and Red Rock management had recognized and rewarded them for their hard work. Officers mentioned they were fed (BBQ Ribs) and were given new hats to recognize their work. Warden Stolc said he was very proud of his team as they completed the Kingman intake with no issues. His staff was assisted by six (6) Special Operations Response Teams (SORT) from neighboring CCA facilities, and the operation went well.

Warden Stolc was advised that many of his staff expressed that they wished the facility [redacted]. Stolc replied he wished this as well and stated he will review this with Contract Beds Operations Director (CBOD) Diaz.

The staffing 'Card System' for security staff was discussed with Warden Stolc. He was advised most staff members viewed it in a favorable light and saw it as a fair staffing system. He was advised the general consensus about overtime use is positive. Staff members appreciate the opportunity to work overtime and feel it is managed consistently and effectively. It was discussed that the CCA policy on overtime is vague and does not contain regulations for control of the overtime hours worked. Warden Stolc agreed and stated he attempts to limit the amount of overtime worked to 20 hours per week or 40 hours per pay period. He was advised that officers had reported it was 25/50 and he said he would clarify that information. Warden Stolc said he does not like for staff to work a double shift (16 hours). He limits the overtime to four hours as much as possible. He said there are some posts (perimeter, etc.) that he does not like for staff to work for 12 hours straight and does not feel working 16 hours is effective. ***(CCA/Red Rock, Card System, Exhibit #1/ Overtime policy, Exhibit #2)***

Post rotation was discussed with Warden Stolc. ADC policy specifically states that private prisons are not required to have 90 day post rotation. Stolc was advised that there were a few staff who mentioned there is favoritism in the posting patterns. Warden Stolc advised that the Captains do place staff where they perform best. He said the supervisors do encourage cross training, but the staff member who is most proficient at a post is placed there.

Warden Stolc was told his Chief of Security had confirmed that emergency escape hatch drills are not being conducted. He was aware of this and of the plan to implement drills. The facility has begun to address this with security challenges to familiarize staff with the keys to escape hatches.

Warden Stolc was asked about the facility Annual Inspection (audit) and how this year compared to last year. He stated that an audit was recently completed. He discussed that the contract with ADC is still fairly new and they (CCA) are learning. The 2015 audit had fewer findings than the 2014 audit and the score is expected to improve. The 2014 audit score was 91.1% compliance.

Warden Stolc was asked about his relationship with the ADC Monitoring Team. He stated, "We agree to disagree in some instances, but the relationship is very good." He stated the monitoring team is a good resource when they (CCA staff) have questions. He stated the team does not take a 'gotcha' approach. They take an approach of "we are all in this together." Warden Stolc said they all make a concerted effort to make Red Rock the best facility ever. Stolc stated that there are some differences with interpretations of policy, but his team and the monitoring team work it out. Warden Stolc said his team and the monitoring team have discussions daily.

Warden Stolc was advised that his monthly and quarterly meetings were reviewed. He is holding regular meetings and does meet with all of his staff. Although his meetings do meet the communication intent of policy they are not compliant with ADC policy. DO 112 requires the Warden to meet with staff groups separately: for example, Sergeants should not be at the Warden/CO meeting as this impedes the officers' ability to talk without fear of retaliation. The requirement to meet with the Sergeants and Lieutenants separately and to only have officers present at the Warden/CO monthly meetings was discussed. Warden Stolc committed to reviewing DO 112 and scheduling his meetings in compliance with it. He did share that the facility also holds 'Staff Recall' meetings and all staff attend. There is food, awards and communication at these Recalls. ***(CCA/Red Rock, COII Meeting minutes, Exhibit #3)***

Warden Stolc was advised that the Use of Force reports were reviewed and did not indicate any problems. An incident resulting in a use of force that occurred Friday, September 18, 2015 was discussed. Warden Stolc advised that the officer involved in that incident was being addressed and the incident had been determined to be an unjustified use of force. He stated it can be hard to 'Monday Morning Quarterback', but he felt the officer was too 'quick on the trigger'. This was in reference to the officer in question using OC spray on an inmate during a verbal altercation.

It was shared with Warden Stolc that the Designated Armed Response Team (DART) drill initiated by the Assessment Team had not gone well. Warden Stolc said they will train staff until it becomes second nature. He said staff members are still getting used to this system (ADC/DART/ICS). Warden Stolc stated he would like ADC to offer on-site instruction to his DART instructors.

Assistant Warden, Kevin Johnson

Assistant Warden (AW) Kevin Johnson retired from the Federal Bureau of Prisons (BOP) after twenty five (25) years. AW Johnson has worked for CCA for fifteen (15) months and has been assigned to Red Rock for five (5) months. AW Johnson stated he supervises Programs Manager Degard, and Chief Ashford, as well as maintenance and food service. AW Johnson said he believes that he completed the Federal Emergency Management Agency (FEMA) training- MAG 300 and 400 while he was with BOP, but he needs to find his training records. AW Johnson said he has access and is able to work with the WebEOC on-line incident management operating system.

AW Johnson shared his belief that Red Rock [redacted] and they are going to submit a proposal to CBOD Diaz. If Red Rock [redacted].

AW Johnson stated DART drills have been conducted at least once a shift for the last couple of months. AW Johnson said the DART dresses out in their gear and they go to the briefing room for weapons and munitions familiarization. AW Johnson said the DART is not allowed to bring weapons or munitions onto the yard for training drills. AW Johnson stated his belief that it is critical to train with weapons when it comes to DART training.

AW Johnson said staff members are allowed to work no more than 24 hours of overtime a week. AW Johnson stated the overtime at Red Rock is being managed well and there is very little overtime worked over the 24 hours. AW Johnson said he tours the facility daily and he likes working for CCA. AW Johnson shared that he has a good relationship with the ADC Monitoring Team and the staff at Red Rock.

Chief of Security, Frank Ashford

Chief of Security Frank Ashford worked for ADC for fourteen (14) years and has worked for CCA for the last fourteen (14) years. Chief Ashford has completed MAG 300, MAG 400, and HSEEP (Homeland Security Exercise and Evaluation Program) FEMA classes. HSEEP provides a set of guiding principles for emergency exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning. Chief Ashford stated he and the Red Rock Command Staff have access to, and can

work with, the WebEOC system. Chief Ashford stated Assistant Warden Johnson, Program Manager Degard, Assistant Chief Snow, Captain Reyes, Captain Sites, Captain Lewis, Captain Cartwright, and Captain Hansen can all utilize WebEOC. Chief Ashford said the command staff members are familiar with WebEOC, but they could always use more training.

Chief Ashford said each shift is required to complete at least one DART drill every month. Chief Ashford shared that each shift completed daily DART drills in June of 2015 because staff members were not familiar with the weapons or formations. He said they are not allowed to conduct DART drills with munitions inside the facility. Chief Ashford said they were previously allowed to conduct DART drills on yards 4 and 5 because they were vacant, but this stopped after the Kingman inmates arrived. Chief Ashford stated that during drills, DART will assemble with their gear and move to the briefing room for weapons familiarization. Chief Ashford requested the assistance of an expert from ADC to train some of his staff on DART procedures. Chief Ashford shared that all five Captains are required to conduct one security drill, one emergency key drill, and one medical emergency drill every month. He said he tours the facility daily. Chief Ashford stated Lieutenants and Captains are required to inspect every post during their assigned shift.

Chief Ashford said Red Rock [redacted]. He said he [redacted] and they (Red Rock) received a finding in their American Correctional Association (ACA) audit [redacted]. Chief Ashford said he would [redacted]. Chief Ashford stated [redacted]. Ashford said he would [redacted]. Chief Ashford stated he would [redacted]. Chief Ashford stated he is not going to sit and do nothing [redacted]. Chief Ashford said he would [redacted]. Chief Ashford stated some of his staff members are having difficulty transitioning from the California Alarm Response Team (ART) to DART. Chief Ashford stated ART was [redacted].

Chief Ashford was asked how security device repairs are completed. He replied that security devices are repaired timely at Red Rock. Chief Ashford stated maintenance staff members are on site six days a week at Red Rock. The assessment team did not observe any unrepaired security devices at Red Rock, and Chief Ashford produced several monthly security device inspection reports which displayed compliance with requirements for repairing of security devices.

Chief Ashford shared that Red Rock received a finding during the Prison Rape Elimination Act (PREA) audit resulting in the female staff members now having to ‘knock and announce’ when

they enter inmate living areas. Chief Ashford stated CCA policy requires staff to search every cell each month. He said the quarterly search is treated as an extra search and they use WebEOC for incident management of these searches. Chief Ashford confirmed there is also a targeted search list which must be completed every month.

Chief Ashford reported that he has a good relationship with the ADC monitors and he is here to please the customer (ADC). Chief Ashford said he is a little confused about how to best handle non-compliance with DO 704, Inmate Regulations. He expressed concern that if too many disciplinary reports are written for non-compliance with DO 704, the disciplinary reports remain unprocessed. If staff members physically enforce compliance with DO 704, they will be viewed as being too aggressive.

Chief Ashford said he does not complete a weekly report for inspections of inmate housing areas and he does not include the results of these inspections in his monthly DO 703 report. Ashford declared this was a recent audit finding and he will correct this finding in the near future. Department Order 704, Inmate Housing Regulations states the Chief of Security or designee shall conduct weekly inspections of all inmate living areas. These inspections shall be documented, by exception, in the Chief of Security's Monthly Report in accordance with Department Order #703, Security/Facility Inspections.

Chief Ashford submitted a report which stated Red Rock has the following restraints in their inventory: [redacted] handcuffs, [redacted] leg restraints, [redacted] belly chains, and [redacted] flex cuffs. [redacted]

<u>Assistant Chief of Security, Jason Snow</u>

Assistant Chief (AC), Jason Snow has worked for CCA for sixteen (16) years, and has been the Assistant Chief for ten (10) months. AC Snow has prior experience with the military and Kearny Police Department. AC Snow said he completed MAG 300 and 400 FEMA training, and he feels comfortable working with WebEOC. AC Snow shared he is also familiar with all National Incident Management System (NIMS) forms and which forms each section chief is responsible for. AC Snow said he has had some emergency preparedness training and he has worked as a controller/evaluator for NIMS emergency exercises. AC Snow stated he and Chief Ashford are the only members of management that have completed MAG 300 and 400 training. Snow said AW Johnson has not produced any certificates showing completion of MAG 300 and 400. AC Snow said the five Captains and Warden Stolc also have not attended MAG 300 and 400.

AC Snow was advised that the Emergency Response Plan (ERP) for Red Rock is well written and in the correct format. The Red Rock ERP is a good initial plan. However, the ERP is missing the following required annexes: [redacted] The ADC contract with CCA states the private prison shall provide a detailed incident management plan addressing inmate disturbances, employee work stoppages, strikes, or other

serious events in accordance with the Department Order relating to the significant incidents (section 1.9.7.3.4).

AC Snow advised that supervisors are completing DART drills once a month on every shift. AC Snow shared that supervisors conducted a DART drill every day in June, 2015. He said some of the staff members are having a hard time transitioning from ART to DART. AC Snow stated the DART training is 'hit and miss' because [redacted]. AC Snow said DART drills are conducted on the yard with no munitions. AC Snow shared his belief when the facility is locked down, staff should be able to drill in the center yard with munitions and weapons. AC Snow said he has not completed DART for Supervisors training. AC Snow stated he [redacted], and CCA is willing to meet the TSU standards set by ADC and ACA.

AC Snow is involved in staff training and he instructs Use of Force, Incident Command System (ICS), Professionalism and Ethics, and Emergency Response classes. He said he tours the facility daily and loves working at Red Rock. AC Snow said staff working at Red Rock are allowed to work up to 24 hours of overtime weekly and must take at least one day off weekly. AC Snow stated inmates have to wear their shirts in their assigned cells, and he could not explain why some Captains and line-staff believed inmates are allowed to be in their cells without shirts on. AC Snow said he has a good relationship with the ADC monitors

Programs Manager Theresa Degard

Theresa Degard is the programs manager for the CCA Red Rock Correctional Center. Programs Manager Degard was asked to provide an overview of her duties with CCA. She advised that she oversees the programs department, education, substance abuse, vocational education, mail and property, laundry and the religious department. Her focus is for her team to engage the inmate population in pro-social behaviors; to teach classes that will prepare them for entry back into society.

Programs Manager Degard has been employed by CCA for four (4) years and nine (9) months. While at CCA she was a Case Manager then promoted to Unit Manager. She then promoted to her current position as Programs Manager. Programs Manager Degard was asked if she had support from her Warden. She advised that Warden Stolc is very helpful and supportive. She said he is there to guide and mentor her. Programs Manager Degard has a good working relationship with the ADC monitors and fosters open lines of communications.

Captain Raul Reyes

Captain Raul Reyes has worked with CCA for five and a half (5.5) years and worked as a police officer for eighteen and a half (18.5) years prior to working at CCA. Captain Reyes reported he is comfortable with DART and he is proficient with WebEOC. Captain Reyes said he has completed DART for Supervisors training, but he has not completed MAG 300 and 400 FEMA

classes. Captain Reyes shared he completed the Samberg Leadership class. He said the Red Rock staff members need more weapons and munitions training so they can become more proficient. Captain Reyes stated staff members are only allowed to work 24 hours of overtime a week. When they are mandated to work overtime, officers typically work an additional 4 hours. Captain Reyes said he tours the Juliet and Echo buildings everyday when he works, and then he randomly tours the other buildings. He spends more time in Juliet and Echo buildings because the inmates that were involved in the Kingman riots are housed there. Captain Reyes stated he has a good relationship with his administration and the ADC monitors.

Captain Ron Hansen

Captain Ron Hansen has worked with CCA for eight (8) years, and he has been a Captain for five (5) months. Captain Hansen stated most staff work about 10 to 15 hours a week of overtime. Staff is limited to 25 hours of overtime each week, and they can work 4 hours of overtime in a day. Captain Hansen shared that he likes working at CCA and the ADC contract is the best he has ever worked. Captain Hansen stated he teaches self defense classes for CCA. Captain Hansen said he completes one DART drill, one security drill, and one medical drill every month. Captain Hansen reported that he completed DART for Supervisors training. Captain Hansen stated he is not allowed to take weapons or munitions on the yard for a DART drill. He said staff dress out for DART drills and report to the briefing room for weapons familiarization. Captain Hansen stated he tours the entire facility 95% of the time when he is assigned to shift. Captain Hansen stated he has a good relationship with his administration and the ADC monitors.

Captain Richard Sites

Captain Richard Sites has worked with CCA for six (6) years and he has been a Captain for five (5) months. Captain Sites has eight (8) years of experience working with ADC. Captain Sites stated he instructs DART, Chemical Agents, Firearms and Van Driver classes. Captain Sites said he completed the DART for Supervisors Class. Captains Sites reported he has finished all his NIMS classes except for MAG 300 and 400. Captain Sites believes that every good correctional supervisor wants more training especially weapons familiarization training. Captain Sites stated staff members work an average of about 16 hours a week of overtime and they are limited to 25 hours a week. Captain Sites said he tours every post. Captain Sites stated he has a good relationship with his administration and the ADC monitors.

Captain Amy Lewis

Captain Lewis has worked for CCA for ten (10) years. She has previously worked in Washington DC, La Palma-Eloy, and Red Rock. She has been a Captain since 2010. She was an officer for two and a half (2.5) years, a Sergeant for six (6) months, and a Lieutenant for two (2) years prior to promoting to Captain. She said she has completed all required training, and will attend MAG 300 and MAG 400 soon. She shared that she was the SORT commander for 2 years. She attended Samberg Leadership class. Captain Lewis reported that she is actively involved in

DART Drills and she oversees the drills and practices. She stated that she and the sergeants/lieutenants have adequate time on the yard to monitor staff and inmates, and to work with and mentor staff. She said that she makes it a practice to be very involved with her staff. Captain Lewis reported that she sees her Administration frequently and that they all play a role in unit management. She said that they 'lead from the front'. Lewis reported that she sees the ADC monitors frequently and feels comfortable talking and interacting with them. When asked about the Green-Amber-Red (GAR) inspection instrument, she said she has no issues with it, but that Monitor Bayles goes straight to making formal entries into GAR without discussion first. She said he (Bayles) follows policy, but Captain Carpenter talks to CCA staff first and works with them more. Captain Lewis reports that she has no issues and feels the yard is running well.

Captain James Cartwright

Captain Cartwright has worked for CCA for approximately eighteen (18) years, and has been a Captain for nine (9) of those years. He has been through Samberg Leadership class, and was assigned as the unit SORT leader. As the graveyard supervisor, Captain Cartwright and his supervisory team tour the yard and housing units daily. He added that they meet with subordinate staff and provide redirection when appropriate. Captain Cartwright stated he sees the Warden and Associate Warden approximately twice per month, and notes that they will speak with staff and inmates during their tours. He also reported seeing the ADC Monitoring Team approximately twice per month. He was familiar with DW White, Captain Carpenter, and COIV Bayles. Captain Cartwright said he has a good working relationship with the monitoring team, and has no issues with how things are running at Red Rock.

Summary of observations and conclusions:

Red Rock management cooperated very well with the assessment team. They ensured that staff and inmates were readily available for interviews and addressed any delays immediately.

Staff morale was high and the officers are happy with their work and their employer. Pay (wages) was not mentioned except in a positive way.

Red Rock has a 'card system' for managing officers' schedules- regular days off (RDOs) and the assignment of overtime. The system is viewed as fair and consistently implemented. Staff was very positive about the 'card system' and the way overtime is managed. The system does away with permanently assigned regular days off (RDOs) and results in staff being assigned to 'cards' with rotating days off. All officers have two full weekends off per month. Two weeks of the month, they work six-day work weeks. One week they have three RDOs and one week they have four. ***(CCA/Red Rock, Card System rosters, Exhibit #1)***

The facility has operated under contract to ADC for approximately 20 months. The management team is still learning ADC policy and procedure, but is taking the learning process seriously. Many officers reported being cautious due to having to safely manage the three separate inmate

populations housed at Red Rock, and to taking steps to learn and understand the ADC ways. Interviews indicated that Red Rock management is keeping the officers informed and updated on changes.

Throughout the interviews with staff, all commentary about Warden Stolc was positive. He was reported to tour frequently and to interact with staff daily and positively. The same was true for Assistant Warden Johnson. Staff reported that he tours daily, knows them and the inmates and is always available and responsive. He was reported to always be in a good mood and to be highly engaged with all. The Chief of Security and the Assistant Chief of Security were also viewed as engaged, available and responsive.

Staff consistently reported that they had completed their required annual training and the pre-service academy was productive and prepared them for the job. Staff consistently reported that the supervisors (Sgts, Lts, and Captains) are readily available to them and they tour frequently. Red Rock has a high number of sergeants and at times each housing unit has a sergeant assigned.

An inconsistency was noted between Captains as to whether inmates needed to remain in grooming compliance (wearing t-shirts) once inside their assigned cells. This inconsistency causes confusion amongst the line-staff and inmates.

DO 703 reports were reviewed. The reports are complete and thorough. No concerns were noted in the tours of the Red Rock staff.

An experience level comparison in terms of years in job code was conducted relative to the staff at CCA and like-positions within ADC. Additionally, a comparison of the length of time in a qualifying pay grade/rank was completed with CCA CO III's and ADC COIIIs, as well as the Sergeants in ADC and CCA. The results of the total comparisons are listed below:

Position	ADC	CCA
CO	6.4	3.69
COIII	4.96	2.36 (Case Manager)
Sgt	3.75	2.43
Lt	3.81	3.27
Captain	3.14	3.41
COIV	4.11	1.90 (Program Manager)
AW	1.26	1.31
Warden	2.77	16.49

Full Time Positions	Allocated	Filled	Vacancy
Correctional Officer II	192	136	56 (18 are in training)
Sergeant	23	21	2 (both in training)
Lieutenant	5	5	0

CCA has a total of 328 positions to include Administration, Security, Clerical, and Medical staff.

Overtime is used frequently to reach required staffing. CCA policy is vague about overtime and does not address how often or how many hours staff can work. Warden Stolc has implemented a four hour rule and for the most part staff members only work a four hour shifts for overtime. On rare occasions staff members work a double shift. Staff consistently reported that overtime is not an issue. It is viewed positively and is well managed and consistently assigned. Even staff who reported that they did not want to work overtime spoke positively about the implementation of the Overtime Card system.

During the pay periods noted, the following staff worked in excess of 48 hours overtime:

Pay Period Ending	Employees who worked in excess of 48 hours overtime
05/02/2015	Justin Turner-55.02 hours
05/16/2015	Vicente Tarango-50.23 hours
06/13/2015	Lerrill West-74.60 hours
06/27/2015	Jessica Brito-58.32 hours
07/11/2015	Yusuf Abdi-50.13 hours, Edgar Bernal-66.12 hours, Ronald Duran Jr.-51.53 hours, Jose Loza Bernal-66.32 hours, Julian Nunez-53.98 hours, Eddie Padilla-101.90 hours, Vicente Tarango-54.63 hours, Justin Turner-77.28 hours
07/25/2015	Stephen Bergeron-55.78 hours, Jessica Brito-55.42 hours,
08/08/2015	Daniel Escobedo-51.05 hours, Vicente Tarango-64.10 hours

Posts are typically fully staffed without collapsing security posts. Overtime is utilized to fill vacant posts on the roster. CCA Administrators have temporarily assigned line-staff from other CCA facilities to Red Rock to fill temporary posts due to the addition of 568 inmates from the ASP-Kingman.

Key Findings:

- CCA Warden has not been holding all required staff meeting. **[Violation of DO 112, Department Meetings]**
- Chief of Security does not complete a weekly report for inspections of inmate housing areas and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 704, Inmate Regulations]**
- CCA Warden, Assistant Warden, and Captains have not attended all required NIMS courses. **[Violation of NIMS protocols, and DO 509, Employee Training and Education]**

- CCA Captains were allowing inmates to not wear shirts inside their assigned cells. **[Violation of DO 704, Inmate Regulations, sound correctional practice, operational concern]**

- The ERP does not contain the following required annexes: [redacted]. **[Violation of Contract #120088DC, Section 1.9.7, Critical Incident Response Plan, Violation of DO 706, Incident Management, sound correctional practice]**

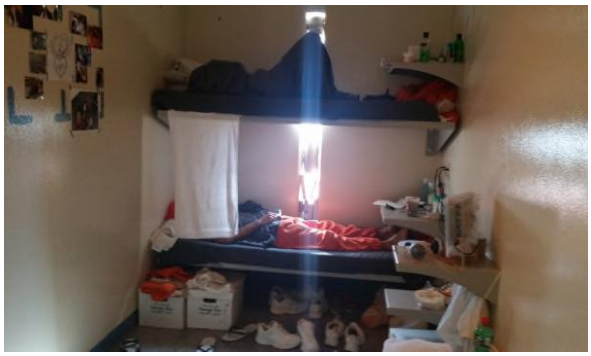
OBJECTIVE 2: Inmate Management, Supervision and Communication

An initial tour showed the facility to be clean and well cared for. The staff members looked professional and well groomed.

A majority of the inmate population was observed wearing their ADC inmate ID cards and their shirts were tucked in. There were several inmates displaying sculpted beards and goatees. Assessment team members observed some inmates smoking tobacco in their assigned cells.

The dayrooms and showers in the housing units were exceptionally clean. The housing units presented a clean, well maintained appearance. However, many individual cell windows were covered with paper, cardboard, etc. There were magazine pictures of scantily dressed women displayed inside the cells. There were clotheslines, sheets and towels hanging from the top bunk which concealed the inmate on the bottom bunk. Assessors observed covered security lights, and unmade beds. Inmates were observed covered with blankets or sheets in the middle of the day. Inmates covered the cell door window when use the restroom, and security staff members would walk by the windows without taking any action. Inmates were observed shirtless inside their cells and security staff members were not redirecting inmates. Two of the CCA Captains stated inmates were allowed to not wear shirts inside their cells. DO 704, Inmate Regulations states, 'When in the run or cell, inmates shall not be in any state of undress, unless preparing for bed or immediately upon return from the shower.' Enforcement of DO 704 was observed to be inconsistent. Inmate compliance with DO 704 requires greater attention by management.

Examples of inconsistent enforcement of inmate regulations:



Female staff members who work as floor officers have to 'knock and announce' their presence prior to entering an inmate housing area. This is due to the Red Rock facility receiving a finding during their PREA audit. Female staff members at ADC facilities do not knock and announce due to enforcement of inmate regulations with regards to inmates not being in any state of undress.

Most inmates expressed how pleased they were to be housed at Red Rock and that they have continuous access to the administration. The inmates were happy about being housed in a facility which is cooled with air conditioners. The inmate population had no complaints about the food at Red Rock. The food is prepared by the same vendor utilized by ADC, (Trinity). Some of the inmates who are temporarily housed at Red Rock from ASP-Kingman asked why the Protective Custody and Sex Offenders were treated so much better than they were. They implied that General Population inmates should be treated better than Protective Custody and Sex Offenders.

Constituent Services:

A review of complaints from constituent services shows that Red Rock has had no complaints filed. ***(CCA/Red Rock, Email from J. Gunn, Exhibit #4)***

Disciplinary:

Disciplinary profiles were reviewed separately for Protective Custody inmates (M90) and Sex Offender inmates (M80) as these are two separate types of inmate population. There were small amounts of data available to compare inmates transferred in from Kingman. To date, 15 major violations and 59 minor violations have been logged for the Kingman inmate population. ***(CCA/Red Rock, Inmate Discipline AIMS Print Out, Exhibit #5)***

Red Rock [redacted]:

Red Rock was activated on January 2014. The [redacted] was activated with an initial population of [redacted]. In January, 2015, the [redacted]. There were 412 inmate disciplinary violations issued in 2014. As of 08/31/2015, there have been 314 inmate disciplinary violations issued for 2015 thus far. If this current trend continues, Year 2015 inmate discipline is projected to increase 14% as compared to Year 2014.

As of 08/31/2015 for Year 2015, 54.78% of inmate disciplinary violations issued consisted of:

- 25B - Disobey Directive (21.02%)
- 11B - Disrupt Count (16.56%)
- 01B - Aggravated Refusal (7.01%)
- 36B – Violation of Department Rules (6.69%)
- 04C - Disrespect to Staff (3.50%)

As of 08/30/2015, inmate disciplinary violations were finalized as follows:

- 71 guilty major verdicts
- 105 guilty minor verdicts
- 103 informally resolved inmate disciplines
- 33 Dismissed or Not Guilty verdicts
- 2 pending

Red Rock [redacted]:

Red Rock was activated on January 2014. The [redacted] was activated with an initial population of [redacted]. In January, 2015, the [redacted]. There were 238 inmate disciplinary violations issued in 2014. As of 08/31/2015, there have been 605 inmate disciplinary violations issued for Year 2015 thus far. If this trend continues, Year 2015 inmate discipline is projected to increase 281% as compared to Year 2014.

As of 08/31/2015 for Year 2015, 67.11% of inmate disciplinary violations issued consisted of:

- 11B - Disrupt Count (31.24%)
- 25B - Disobey Directive (16.53%)
- 01B - Aggravated Refusal (13.72%)
- 04C - Disrespect to Staff (3.14%)
- 36B – Violation of Department Rules (2.48%)

As of 08/30/2015, inmate disciplinary violations were finalized as follows:

- 116 guilty major verdicts
- 175 guilty minor verdicts
- 247 informally resolved inmate disciplines
- 66 Dismissed or Not Guilty verdicts
- 1 pending

Grievances:

Thus far for calendar year 2015, the number of formal inmate grievances filed at Red Rock totaled 163. These numbers are within the average range when compared to similar custody ADC units (ASPC-Eyman, Cook Unit and ASPC-Lewis, Barchey Unit) on a per capita basis. Inmate Personal Property was the main grievance concern at Red Rock, which is common throughout ADC. ***(CCA/Red Rock, ASPC Lewis – Barchey, and ASPC Eyman – Cook Grievance logs, Exhibit #6)***

Classification:

A review of the classification actions for the inmates at Red Rock indicates that all classification actions are within time frames. ***(CCA/Red Rock, AIMS Classification Print Out, Exhibit #7)***

Detention:

Red Rock detention unit holds up to 56 inmates. Currently there are 31 inmates housed in detention. The individual detention records indicate that the Shift Commanders and Program Officers visit detention on a regular basis, and that inmates receive recreation and showers on regular basis. There are key findings in detention as it relates to Protective Segregation Review, Disciplinary follow up, and classification reviews being completed. Two inmates remained in detention following completion of the disciplinary process. Updates were not entered into the Adult Inmate Management System (AIMS) when an inmate was placed into detention for refusing to house. ***(CCA/Red Rock, Detention Report Exhibit #8)***

Visitation:

Visitation at Red Rock is consistent when compared to visitation with ASPC-Eyman, Cook Unit and ASPC-Lewis, Barchey Unit. The visitation area presented a well groomed and cared for visitation room. ***(CCA/Red Rock, Visitation Summary, ASPC Eyman - Cook Exhibit #9)***

<u>Inmate Programs</u>

Education:

Red Rock has four teachers that instruct mandatory literacy and GED classes.

There are currently 21 inmates enrolled in functional literacy and 110 inmates enrolled in GED. ***(CCA/Red Rock, Capacity Report, Exhibit #10)***

Career Technical Education (CTE)

Red Rock has a Construction Trades CTE course; this is a certificate course through National Center for Construction Education and Research (NCCER). There are two classes with a maximum of 18 inmates per class.

Red Rock also has a 'Master Gardener' class; this is a certificate through the University of Arizona. There are two classes with a maximum capacity of 18 inmates per class.

Substance Abuse Programs – Case Manager Programs

Red Rock has four addiction treatment counselors, a program facilitator and an addictions treatment manager assigned to the unit. In addition to the treatment counselors there are also 14 case managers.

Inmates are assigned to treatment and programs based on their order of ranking on the priority ranking report. The below listed classes are offered by the treatment counselors:

- Moderate Treatment
- Intensive Treatment

The below classes are taught by case managers or program facilitator:

- Cognitive Thinking For A Change
- Re-Entry
- Impact of Crimes on Victims Class (ICVC)
- Parenting

All of the substance abuse programs are taught by a licensed counselor.

Case Managers also conduct office hours and are available daily to the inmate population. When walking amongst the inmate population one does not receive a lot of questions regarding case management issues. This is indicative of inmates being able to meet with a case manager regularly.

Reviews of classes show the counselors and case managers are actively teaching and engaging the inmates during class. ***(CCA/Red Rock, Capacity Report, Exhibit #10)***

Religious Services:

Red Rock provides a number of religious program services. They also provide an Alcoholics Anonymous program that is religious based. The religious services calendar indicates a wide range of programs and services for various religious groups showing a service or meeting every day with the exception of the Sunday and Monday. ***(CCA/Red Rock, Religious Services Calendar, Exhibit #11)***

Library Operations:

The library is open five days a week for six hours a day. Legal services are available to the inmates at this time. General Population inmates utilize the library based by utilizing check out requests and a library cart system. There is a cart with books placed in the day room of their building and inmates can request a specific book through the check out system. ***(CCA/Red Rock, Library Calendar, Exhibit #12)***

Work Opportunities:

Red Rock has a population of 1,000 regular use beds and up to 562 special use / emergency beds assigned to the unit. There are currently Work Incentive Pay Plan (WIPP) jobs available for inmates at Red Rock. There are currently 1,191 inmates employed by WIPP; 832 are employed as porters.

Most of the WIPP jobs appear to be full time with inmates receiving full time hours. ***(CCA/Red Rock, Capacity Report, Exhibit #10)***

When comparing the racial breakdown of the unit versus that of inmates working, there is no more than a 2% difference in any race, indicating that jobs are shared equally by racial composition.

Structured Recreation:

An effective management tool for correctional administrators when they are challenged with keeping inmates occupied and engaged if meaningful jobs are lacking is to provide an ample amount of recreational activities in both active and passive formats. Red Rock has a full time recreation coordinator who is present Monday through Friday. He has scheduled recreation tournaments monthly. Inmates are actively engaged in recreational activities when the yard is open for recreation. ***(CCA/Red Rock, 2015 –2016 Recreation Calendar, Exhibit #13)***

Intelligence Gathering/Sharing:

ADC Special Security Unit (SSU) staff reported to the CCA Red Rock facility for the purpose of assessing and determining the current culture that exists among the inmate population and CCA staff.

An initial tour of the facility was conducted with the CCA administration staff and the ADC Monitoring Team. The Warden introduced his management team and provided the assessment team with a handout of the facility to include the physical layout of the facility, programming and education afforded to the inmate population, and biographies of the administration staff.

The tour of the facility showed that a majority of the inmate population was actively involved in recreation, programming and education. Sanitation of the unit was acceptable to include the housing unit common areas and the recreation yards. Enforcement of DO 704, Inmate Regulations, in the individual inmate cells could use some attention to detail.

Line staff was observed to be engaged with the inmate population in addressing concerns and being proactive in sound correctional practices.

The designated CCA staff members assigned to perform SSU duties were interviewed for the purpose of establishing their understanding of prison dynamics, prison cultures, Security Threat Groups (STG) /Criminal Street Gangs (CSG) and the Department Order (DO) 806 policy. This group consists of two staff members, Sergeant John Meyer and Investigator Ian Denham. Sergeant Meyer is the assigned SSU Officer and he reports to Investigator Denham, who handles matters related to criminal acts. Investigator Denham, although he is not a certified peace officer, fulfills duties similar to ADC Criminal Investigator's Unit (CIU) for the facility. Both staff members have a good understanding of the STG/DO 806 policy. Both have prior experience in

law enforcement which increases their effectiveness in intelligence gathering and proper inmate management.

Approximately 150 inmates from throughout the inmate population, to include all races, were interviewed regarding conditions of confinement. Interviews were also conducted with inmates identified as suspected Criminal Street Gang (CSG) members and/or suspected Security Threat Group (STG) members. Three different inmate populations are housed at Red Rock; Sex Offenders, Protective Custody and General Population inmates. All populations were interviewed. Also interviewed were inmates that were transferred from the ASP-Kingman after the July 4, 2015 prison riots that took place there.

The overall outcome of these interviews revealed that the prison facility is conducting appropriate monitoring of the inmate population and effective information sharing is occurring. This helps to alleviate issues before major concerns arise. The inmate populations are familiar with the Intelligence/SSU staff members and know Sgt. Meyer and Inv. Denham by name. The CCA Intelligence staff is proactive and makes themselves accessible to the inmate population.

Protective Custody Population (PC)

A majority of the inmate population stated that their conditions of confinement are ideal and that overall they have no major concerns. Inmates stated that they are highly satisfied with the CCA staff, programming, education, housing assignments and meals. Interaction with the line staff and management is acceptable. A majority of the inmate population stated that they are familiar with the management staff and they are very approachable. Inmates concluded by stating that staff members are accessible and inmates are able to successfully communicate their concerns/issues.

Sex Offender Population (SO)

This portion of the inmate population reinforced and confirmed that their conditions of confinement are ideal and overall they have no major concerns. Their one concern is that the Red Rock facility is currently housing three different types of inmate populations (Protective Custody, Sex Offenders and General Population). The controlled inmate movement causes challenges and difficulties in the day-to-day activities (i.e. recreation periods, work programs, visitation, etc.). Inmates stated overall they are satisfied with the programming and education offerings. Inmates stated that management staff is visible and approachable.

General Population (GP)

This portion of the inmate population reinforced and confirmed that their conditions of confinement are ideal and overall they have no major concerns. Inmates assigned in this custody were transferred to the Red Rock facility as a result of the riots at ASP-Kingman. Inmates stated overall they are satisfied with the programming and education offerings. Inmates stated that

management staff is accessible and approachable. These inmates who were previously housed at the ASP-Kingman, Hualapai Unit stated that there are major differences that they observed first-hand when comparing CCA staff members to the MTC staff assigned at Kingman. Inmates said the CCA staff and administrators are respectful and professional. They also stated that the CCA staff is willing to address issues/concerns which was not what they encountered at Kingman.

One concern was brought to SSU's attention by the Native American inmate population (GP). The Native American inmates said they have not been afforded proper religious activities (i.e. talking circle, sweat lodge, etc.) This information was shared with Warden Stolc for his review and follow up.

During inmate interviews, two (2) staff members were mentioned frequently. These two individuals were reported to be employees who lack professionalism. The two staff members were alleged to be disrespectful and to engage in unprofessional communication when interacting with the inmate population. The two staff members identified to Warden Stolc for his review and follow up. With the exception of these two staff members, the inmate population praised the CCA staff at Red Rock as being fair, firm, and consistent.

Key Findings:

- Inmate compliance with housing and personal grooming regulations was lacking and required greater attention to detail. Two CCA Captains were allowing inmates to not wear shirts inside their assigned cells. **[Violation of DO 704, Inmate Regulations]**

- Two inmates remained in detention following completion of the disciplinary process. **[Violation of DO 804, sound correctional practice, operational concern]**

- Updates were not entered into AIMS when an inmate was placed into detention for refusing to house. **[Violation of DO 805, sound correctional practice]**

- Inmates reported that two staff members were aggressive and/or unprofessional **[Operational concern, sound correctional practice]**

Objective 3: Staff Training

The following is a summary of the Assessment Team's review of staff training to include pre-service, in-service and specialized courses for TSU, DART, and Emergency Management (NIMS). Team members interviewed training staff, examined class rosters, course curricula, and a multitude of training-related documents to better understand the learning process at Red Rock. ***(CCA/Red Rock, 2015 Annual Training Plan, Exhibit #14)***

Training was found to be deficient in some areas. CCA had reduced or failed to conduct some of the classes required by ADC, in both pre-service and in-service training.

In-Service Training:

A sample of 12 months of in-service rosters and a spreadsheet of in-service training for FY15 were reviewed. Three employees, two on FMLA and one transfer out of state were listed as having not completed training for FY 2015.

A review of rosters indicated that ADC required Supervisor Essentials training and DART for Supervisors 2015 training was not offered nor completed.

A review of twelve months of firearms rosters and a firearms tracking list was completed with no discrepancies found. CCA is not required to firearms qualify all security staff. One hundred and eleven staff members are listed as being both 9mm pistol and 12 gauge shotgun qualified**.** ***(CCA/Red Rock, Red Rock firearms requirement, Exhibit #15)***

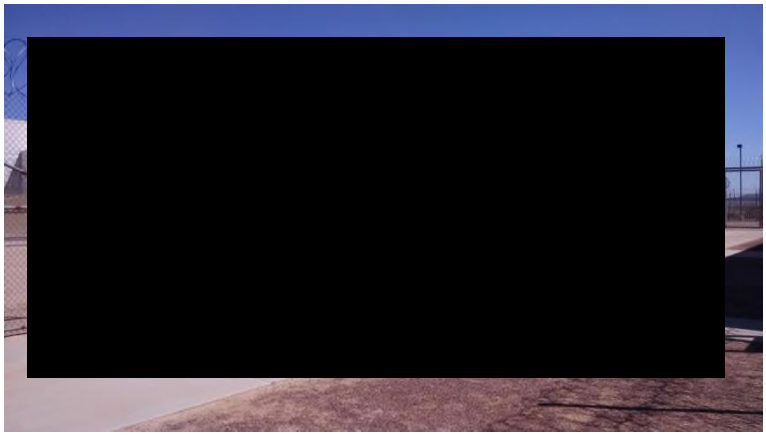
The Red Rock Senior Firearms Instructor is Captain Sites. Captain Sites' recertification was completed by the Senior Firearms Instructor from ASPC-Tucson. Captain Sites received a satisfactory evaluation. ***(CCA/Red Rock, Red Rock Annual Senior Firearms Recertification, Exhibit #16)***

Designated Armed Response Team (DART):

A review of reports for May, June, and July 2015, reveals that DART drills were competed on each shift, at least once per month. Fifty one DART drill reports were completed in June 2015. Captain Carpenter (ADC Monitor) said that DART drills had been completed nearly every day to correct deficiencies that had been identified in earlier DART responses.

A DART drill was conducted for the purpose of the assessment team's evaluation. The scenario was [redacted]. Responders arrived in approximately [redacted] and were fully dressed out in [redacted]. Responding officers were unfamiliar with formations and one team member was a 'temporary assignment' officer from a neighboring unit, adding to the confusion. A scenario inject was given and in response to it the team leader [redacted]. The team was brought back together for a debriefing. Individual team responders were asked what munitions

they were carrying and how they would deploy each type of munitions. Officers responded correctly regarding what munitions they were carrying. Officers answered incorrectly when asked to describe proper deployment areas, aiming points and deployment distances. ***(CCA/Red Rock, Red Rock DART cross-fire pictures, Exhibit #17)*** [redacted]. ***(CCA/Red Rock, DART Training Lesson Plan dated 04-19-2005 *Restricted, Exhibit #18), (DART for Supervisors Lesson Plan FY15, *Restricted, Exhibit #19), (Department Order 706, Incident Management *Restricted, Exhibit #20)***



Pre-Service Training:

One Correctional Officer Training Academy (COTA) pre-service schedule and three academy class rosters were reviewed and compared with an ADC pre-service academy matrix. ***(CCA/Red Rock, Red Rock academy schedule, Exhibit #21/280 hour Pre-service training comparison, Exhibit #22)*** Minimal disparities of training hours in some courses were found. When asked about the disparities, Training Officer, Bobbie Joe Roscoe, responded that some training hours, such as restraint practice and report writing practicals are completed, however, rosters are not done for the practice sessions that are delivered throughout the academy. She stated that other disparities may be due to the small class sizes which are often five or fewer cadets.

To verify that Red Rock is utilizing the correct curriculum, Training Officer Roscoe was asked to provide courses from both in-service and pre-service. She provided the correct curriculum in each instance. Presentation of curriculum was observed and found to be professionally presented to the students

As part of ADC Pre-Service training, a Field Training Officer Program (FTO) is in place to afford cadets and newly graduated officers an opportunity to be mentored by a specifically selected, experienced officer. The assessment confirmed that Red Rock does have a Field Training Officer Program (FTO) as part of pre-service training. CCA implements its own FTO program along with the ADC FTO curriculum. CCA completes a 40 hour On Job Training (OJT) after COTA.

Tactical Support Unit:

[redacted] ***(CCA/Red Rock, Red Rock ADC Tactical Support Agreement, Exhibit #23)***

National Incident Management System (NIMS) Training:

Training Officer Roscoe provided a training file audit; two security staff have not completed or submitted the required NIMS training for IS100, IS700, or IS800. Eleven Security Supervisors have not completed or submitted IS200 certificates. The Warden has not completed MAG 300 or 400. He reports he is actively trying to schedule a class. The Assistant Warden has not completed 100, 200, 700, 800 or MAG 300 & 400. ***(CCA/Red Rock, Red Rock NIMS Tracking, Exhibit #24)***

Munitions Comparison:

Munitions: CCA Red Rock size and populations are unique in that a comparison with an equivalent ADC standalone unit could not be completed. ASPC-Winslow, Apache Unit which is a minimum custody unit was used for comparison, however, it houses only one third of the Red Rock population. ***(CCA/Red Rock, ADC Private Prisons, Munitions Comparison, Exhibit #25)***

<u>Key Findings</u>

- CCA Supervisors were not trained in ADC required courses for Supervisor Essentials and DART for Supervisors 2015. **[Violation of Contract #120088DC, Section 1.11.7, Staff Training, Violation of DO 509, Employee Training and Education, operational concern, sound correctional practice]**

- During a DART deployment, the DART leader demonstrated poor tactics, [redacted]. The majority of the team did not correctly answer questions regarding proper deployment of munitions. When directed to [redacted]. **[Violation of DO 706, Incident Management, Violation of DART Training Lesson Plan, Violation of Dart for Supervisors Lesson Plan, sound correctional practice, operational concern]**

- Fifteen (15) CCA staff including eleven (11) supervisors, and the Assistant Warden and Warden (identified in Objective 1) have not completed all required NIMS courses. **[Violation of NIMS protocols, and DO 509, Employee Training and Education]**

Objective 4 – ADC Monitoring Team

This segment encompasses a review of duties and functions of the on-site ADC staff assigned to monitor the operations of Red Rock staff and bridge the relationship between the Department and CCA.

The Arizona Department of Corrections employs a cadre of full-time staff to monitor contract compliance of contracted prison facilities. The ADC Monitoring Team is comprised of:

Tara Diaz, Contract Beds Operations Director (oversees monitoring of all contract bed facilities)

Ron Credio, Contract Beds Deputy Bureau Administrator (oversees monitoring of all contract bed facilities)

Red Rock Monitoring Team

Ed White, Deputy Warden – Lead Monitor

Reed Carpenter, Captain, Assistant Lead Monitor

Adam Kraatz, Captain, Disciplinary Hearing Officer

Patricia Barr, CO III, Programs Monitor

The ADC Assessment team reviewed the contract for CCA and the scope of work within Department Order #106, Contract Beds, and Department Order #703, Security/Facility Inspections for the bureau and assigned monitors.

The ADC monitors were interviewed and their performance was reviewed. The assessment also included a review of the current contract, discussions with CCA staff, operational observations, and document checks. After reviewing DO 703 GAR (Green-Amber-Red) inspection reports, audit results, monthly reports, inmate disciplinary findings and classification decisions, the assessment team determined the following:

The ADC Monitoring Team is meeting their statutory and contractual requirements based on the policy. They are conducting their required monthly tours based on a review of; ***(CCA/Red Rock, ADC 703 Reports, Exhibit #26)*** The ADC Monitoring Team completes their GAR and DO 703 monthly inspections appropriately. This is evident through GAR inspection results, tour inspections reports and observations. GAR inspections and prison tours are conducted to monitor the specific security operations and security devices at a prison unit and ensure they remain in good working condition, and that supervisory and other management personnel conduct regular inspections and tours. The monitor team is known to the staff and the inmate population. They tour frequently and conduct regular GAR inspections. There are a limited number of GAR findings most months.

These tools (GAR, tours/inspections) do not 'monitor' the culture of a prison unit, to include the interactions between inmates and staff, and the attitudes of each group. GAR inspections do not ask questions about the quality or quantity of staff training, or how often officers see their supervisors on the yard. To properly assess the culture of a prison unit, one needs to speak with staff and inmates at length and observe their interactions. In-depth town hall meetings with inmates should be observed routinely and the attitudes of both staff and inmates noted; given the small size of this facility, ADC monitors have been able to be involved more in-depth with these listed activities.

The ADC Monitoring Team has established a process of addressing issues on the spot and working with the CCA Administrators to correct them. DW White monitors GAR corrective action plans (CAPs) and at this time there are none pending. The assessment team noted no delays in CAPs follow-up.

The team meets timeframes for the majority of their mandatory oversight and decision making on the high volume of inmate actions (classification, disciplinary, visitation, releases, correspondence, etc.) and contractor clearances. A review of the classification actions with the inmates at Red Rock indicates that all actions, with the exception of five (5), were completed within policy time frames. ***(CCA/Red Rock, AIMS Classification Print Out, Exhibit #7)***

ADC monitors report that generally there is open communication between the CCA staff and ADC Monitoring Team. CCA employees did not share any information with the assessment team that would lead them to believe that they were told it was frowned upon to speak to ADC staff.

The Contract Beds Monitoring Team was each interviewed separately.

Deputy Warden, Ed White- Lead Monitor

Deputy Warden (DW) Ed White was interviewed as part of the Red Rock assessment. He has been assigned as a private prison Lead Monitor for approximately eighteen (18) months. He was previously assigned to Marana/Phoenix West for eleven (11) months and has been assigned to Red Rock for seven (7) months. DW White has attended the monitor's academy. He has a copy of the contract and refers to it as needed; it is tabbed and highlighted.

Upon his assignment as an ADC Lead Monitor, the expectations of the position were explained to DW White. He stated that he was advised he is not here to run the prison for the contractor. He said his instructions were to ensure they follow the contract and ADC policies. He was told that he is not just to be a monitor. He is still a Deputy Warden and to do that job. He said he is expected to conduct tours and follow DO 703. DW White shared the different methods of accountability that he utilizes with the contractor. He said he uses emails, letters, deficiency letters, GAR, off-set letters, etc. When off-set letters are needed they are done by CBOD Diaz, but he conducts the research and data collection.

DW White described his duties as: ensuring policy and contract compliance, conducting GAR inspections, ensuring that inmates get what they are entitled to, providing guidance to the Warden on why and how ADC does things, utilize Data Collection Instruments (DCI's), GAR, and audits to review policy compliance, and to walk and talk. He is to inspect the facility as a whole and he inspects it daily.

DW White said he tours most days for a couple of hours. He takes an occasional 'office day' to catch up on paperwork. He said he consistently meets the required minimum of 10 hours of touring per week. He stated that he tours more now that the Kingman inmates are at Red Rock as they have had lots of questions. DW White said he is required to tour on the weekend at least once per quarter. He does so and tours visitation, checks on the meal, etc. DW White said that he completes his two graveyard tours per month. He said he typically does one AM and one PM tour. He said he monitors ingress/egress procedures, walks through the housing units, inspects count procedures, checks on grooming and staff morale. DW White was advised that one of his graveyard tours in July was conducted at 0430 and the shift ends at 0500. He stated that this would be unusual for him. ***(CCA/Red Rock, July DO 703 tour report, Exhibit #26)***

When asked about how many GAR findings Red Rock receives each month, DW White stated that the facility averages about 6-8 findings. There have only been one or two Red GAR findings since he has been assigned to Red Rock. DW White advised that the Red Rock Administration is current on GAR Corrective Action Plans (CAPs) and although he has had to send a few back for more detail, they are good overall.

It was discussed that the Assessment Team had observed poor cell sanitation and inmate compliance with DO 704. DW White said that he is aware of this and has been addressing it. This issue was addressed in DW White's Bi-Monthly Tour Memorandums to Warden Stolc (August & October, 2015). ***(CCA/Red Rock, Bi-Monthly Tour Memos, Exhibit #27)***

DW White discussed the results of the recent audit. He stated that the facility improved this year and had fewer findings than in 2014. He stated that the staff members are getting to know the systems and they are improving and progressing.

DW White and the monitor team attend the Warden's morning meeting, weekly detention meetings, monthly inmate Town hall meetings, and he conducts bi-monthly monitor team meetings.

DW White described his relationship with CCA as non-adversarial with open lines of communication. CCA management and staff are 'transparent' in dealings with ADC, and are willing to admit shortcomings and deficiencies when discovered. When the ADC monitors become aware of deficiencies, DW White said he reports them directly to Warden Stolc for corrective actions. Overall, DW White reported he and his staff have a good working relationship with all CCA staff and the administrators are receptive to redirection.

Captain Reed Carpenter

Captain Reed Carpenter has been assigned as a monitor for 3 years. He has been at Red Rock since it opened approximately eighteen (18) months ago. He said he started at Marana and Phoenix West. He said he promoted to Captain as a monitor. He was a Lieutenant for six (6) years. He has attended the monitor academy and he has a copy of the Red Rock contract and refers to it as needed.

Captain Carpenter said that the expectations of this assignment were explained to him; first by former CBOD Profiri and then by CBOD Diaz. He said he is to ensure that Red Rock follows policy and procedures to a 'T.' He has high expectations from them and he holds them to task due to the requirements of the contract. He said he expects the contractor to be honest and forthright with him. He stated that the working relationship with CCA is good.

Captain Carpenter said that handling the inmate disciplinary workload takes up the biggest part of his day. He said he gets that done and then tours for the remainder of the day. He is the Disciplinary Coordinator for Red Rock, and sometimes functions as the Disciplinary Hearing officer (DHO) at other private prisons. He said he works with COIII Barr and they cover the inmate discipline together. Carpenter said CO III Barr is certified as a Disciplinary Coordinator (confirmed). He said Captain Kraatz is at Red Rock 1 or 2 times per week as a DHO. Captain Carpenter conducts preliminary hearings on disciplinary violations for Red Rock inmates, who will then be seen by Captain Kraatz. Captain Carpenter typically schedules his tickets to be heard by building. Once he has completed the tickets, he then tours that building. He schedules his work so that he changes the areas he tours daily. Captain Carpenter said that DW White also sets tours and they tour as a team.

Captain Carpenter reported that the entire monitoring team typically goes to the morning meeting each day. There is always at least one member of the team in attendance. He stated that the meetings are productive. They review the incident reports and significant incident reports. He stated that the monitors verify the incident reports with the log and he asks for concerns to be documented in an incident report rather than memorandums. He feels that there is open communication. He stated that the Red Rock Warden and Assistant Warden seem to talk openly about staff issues and he does not feel that they are hiding things.

Captain Carpenter was asked to describe how he sees his role as a monitor. He said that Inmate Disciplinary takes up his time, but his job is to be a Chief of Security (COS). He oversees Red Rock's security and he works with their Chiefs of Security (COS). He stated that he was not pleased with the staff's performance in the DART drill because they had failed in DART in the pre-audit, so they had been focusing on DART and conducting practice drills.

Captain Carpenter was asked about the officers who are not weapons qualified. He said that they can only participate on DART as the camera operator and they do not work armed posts. He stated that the staffing rosters designate which staff members are weapons qualified and this has

not caused any problems with DART response. Carpenter stated that he will renew his focus on DART training.

Captain Carpenter was asked if he performs weekend duty. He said he does not, only DW White is required to come in on the weekends. He stated that he works Monday to Friday, 0700 to 1500. He completes two graveyard tours per month. He said he typically comes in at 0200 or 0300 in the morning and reviews gate procedures, ingress/egress procedures, tours the kitchen, talks to staff, and talks to the shift commander.

Captain Carpenter stated that the team works together on GAR inspections. He said he often takes on the weapons, perimeter, and DART components, but there is no set process. He said at times the team completes GAR inspections together. He said COIV Bayles also assists with GAR. When asked about the typical number of findings each month, Carpenter stated that this has been getting better. He said he reviews the findings and checks on them again the next month as follow up and he checks the findings to see if they are a repeat issue. He stated that GAR is not a problem at Red Rock. Captain Carpenter was advised that a few staff had mentioned that COIV Bayles does a lot of GAR findings. He said that is most likely because Bayles is not assigned to Red Rock. Since he, Captain Carpenter, is assigned to Red Rock he works more with the staff and uses GAR to teach before entering a finding. Carpenter stated that Warden Stolc accepts GAR and knows it is a legitimate review. Red Rock recently completed their 2015 audit and had fewer findings this year.

Captain Carpenter was asked if he felt that in the course of his duties he had time to assess the culture and staff morale at Red Rock. He stated that for the most part he does have time. He stated that the arrival of the five hundred (500) inmates from Kingman has impacted that ability as his workload has increased. He stated that he walks and talks daily and that the impact of the new arrivals has been leveling out and getting better. He said he goes out of his way to talk to staff.

Captain Carpenter said he attends the inmate town hall meetings. Due to the mixed populations Red Rock holds a meeting for each population. These have recently increased and are now held each month for each area. Captain Carpenter said that a member of the monitoring team and sometimes all of them attend inmate graduation ceremonies. He said there is a lot of programming at Red Rock.

Captain Carpenter said a part of his job he talks to the Intel officer daily. CCA staff members attend the Florence Complex weekly Intel meeting. The facility holds a weekly detention review meeting and the monitoring team attends. Captain Carpenter said that he participates and teaches classes at Red Rock training. He said he assists with the report writing class and helps with the training for new contractors and the annual in-service training. He occasionally sits in on classes and believes the quality of the instruction is good.

Captain Carpenter stated that he knows the DO 704 housing compliance of the inmates from Kingman is not good. He stated that the cells do not have lockers or clothes hooks. He said overall it is improving. There is still an issue with inmates smoking in their cells especially on swing shift and graveyard shift. CCA staff members are addressing this through the inmate disciplinary process.

Captain Carpenter said his relationship with CCA Administration overall is good. They do what they are supposed to do and they are forthright and responsive.

The interview ended with Captain Carpenter being advised that the Red Rock staff had reported that he is 'out and about' often and that he is available, approachable and responsive to them.

Red Rock Programs Monitor COIII – Patricia Barr

COIII Barr was interviewed concerning the scope of her assigned duties as the Programs Monitor at Red Rock. COIII Barr has been the programs monitor at Red Rock, for approximately eighteen (18) months. She has been a monitor for over five years. COIII Barr keeps a copy of the contract on hand and references it as needed. She said she attended the initial monitor training held in 2012.

COIII Barr is responsible for monitoring inmate work programs, levels of supervision, reclassification, WIPP (inmate pay), policy reviews, information report reviews, and completing the monthly Green-Amber-Red (GAR) inspection report. She described her duties as ensuring the Red Rock staff follow the contract, while guiding them in how to do their jobs better.

She said she completes the monthly GAR inspection report in conjunction with Captain Carpenter and DW Ed White, noting deficiencies as necessary. COIII Barr reported that she speaks directly with staff and inmates, and will complete information reports as necessary. She added she will notify the unit administrators when she has any concerns.

COIII Barr attends the morning meeting, the weekly detention meeting, inmate Town hall meetings, and monthly kitchen tours. She also attends monitor team meetings facilitated by Lead Monitor, DW White.

COIII Barr reports she interacts daily with staff and inmates and the relationship with CCA is good. All CCA staff interviewed is familiar with COIII Barr and stated they can come to her for answers/assistance whenever needed.

Key Findings

- The Red Rock Monitoring team tours frequently and is known to the staff and inmates. **[Sound Correctional Practice]**

- DW White completed all of his required tours but one July 2015 grave yard tour was only 30 minutes long. **[Violation of DO 703]**

- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Three inmate classifications not properly initiated. Two inmate 805 (Protective Custody) reviews initiated past time frames.**[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**

FINDINGS

Key Findings, listed by Objective

The following comprises a recap of all key findings associated with narratives contained in the four (4) Objectives described in this report, as sorted by Objective. Per Contract 120088DC, CCA shall follow all applicable Department Orders and Director's Instructions, and only findings associated with ADC policies that are applicable to CCA have been listed herein. Thus, any violation of applicable ADC policy also constitutes a violation of Contract 120088DC. Moreover, per the contract, CCA will ensure the compliance and performance of ADC policies and directives, and correct any deficiencies.

Key Findings, OBJECTIVE 1: Assessment of CCA Leadership and Staff (pages 11-12)

- CCA Warden has not been holding all required staff meeting. **[Violation of DO 112, Department Meetings]**

- Chief of Security does not complete a weekly report for inspections of inmate housing areas and he does not include the results of these inspections in his monthly DO 703 report. **[Violation of DO 704, Inmate Regulations]**

- CCA Warden, Assistant Warden, and Captains have not attended all required NIMS courses. **[Violation of NIMS protocols, and DO 509, Employee Training and Education]**

- CCA Captains were allowing inmates to not wear shirts inside their assigned cells. **[Violation of DO 704, Inmate Regulations, sound correctional practice, operational concern]**

- The ERP does not contain the following required annexes: [redacted]. **[Violation of Contract #120088DC, Section 1.9.7, Critical Incident Response Plan, Violation of DO 706, Incident Management, sound correctional practice]**

Key Findings, OBJECTIVE 2: Inmate Management, Supervision and Communication (page 20)

- Inmate compliance with housing and personal grooming regulations was lacking and required greater attention to detail. Two CCA Captains were allowing inmates to not wear shirts inside their assigned cells. **[Violation of DO 704, Inmate Regulations]**

- Two inmates remained in detention following completion of the disciplinary process. **[Violation of DO 804, sound correctional practice, operational concern]**

- Updates were not entered into AIMS when an inmate was placed into detention for refusing to house. **[Violation of DO 805, sound correctional practice]**

- Inmates reported that two staff members were aggressive and/or unprofessional **[Operational concern, sound correctional practice]**

Key Findings, OBJECTIVE 3: Staff Training (page 23)

- Majority of the Red Rock Administration has not completed required NIMS training including MAG 300 or 400. **[Violation of NIMS protocols, and DO 509, Employee Training and Education]**

- CCA Supervisors were not trained in ADC required courses for Supervisor Essentials and DART for Supervisors 2015. **[Violation of Contract #120088DC, Section 1.11.7, Staff Training, Violation of DO 509, Employee Training and Education, operational concern, sound correctional practice]**

- During deployment of a DART drill, the DART leader demonstrated poor tactics, [redacted]. **[Violation of DO 706, Dart for Supervisors, Sound Correctional Practice]**

Key Findings, OBJECTIVE 4: ADC Monitoring Team (page 28)

- The Red Rock Monitoring team tours frequently and is known to the staff and inmates. **[Sound Correctional Practice]**

- DW White completed all of his required tours but one July 2015 grave yard tour was only 30 minutes long. **[Violation of DO 703, Security/Facility Inspections]**

- Errors in a classification action and documentation in regard to detention bed management. The ADC COIII is responsible for classification actions. Three inmate classifications not properly initiated. Two inmate 805 (Protective Custody) reviews

initiated past time frames.**[Violations of DO 801, Inmate Classification, and Classification Technical Manual; operational concern, sound correctional practice]**

CONCLUSION

Based upon observations, reviews of available materials, inmate interviews, and staff contacts and interviews, the Assessment Team concluded that the inmate population at Red Rock was satisfied with their conditions of confinement. The overall conditions within the facility were acceptable. Staff members appeared to be pleased with their employer (CCA). Overall unit sanitation was above average. Compliance with housing regulations requires closer attention to detail.

The DART response was lacking in knowledge, by both team members and supervisory staff. The DART could use additional drills to strengthen their knowledge of DART protocols. Pre-service and in-service training requires follow-up attention to bring the training programs into contract and policy compliance

Overall, the Red Rock Correctional Center presents as an experienced and knowledgeable group of administrators and staff. The relationship amongst the ADC Monitoring Team, CCA management, line staff members, and inmates is positive; staff members have a 'teamwork' approach which is evident in the relationship between ADC and CCA.

Section 3 (Exhibits) is available as a separate file download on the ADC website.