ARIZONA DEPARTMENT OF CORRECTIONS
Inspector Generals Bureau

M E M O R A N D U M

TO: Ernie Trujillo, Northern Region Operations Director

THROUGH: Greg Lauchner, Inspector General

FROM: Sean Malone, Deputy Inspector General

DATE: July 21, 2015

SUBJECT: ASP-Kingman GAR

The Inspections Unit reviewed January 2015 to May 2015 GAR Reports for ASP-Kingman for Cerbat and Hualapai. In reviewing the reports the following are highlighted areas of interest:

- **Cerbat Unit**
  - (41) Amber findings & (1) Red finding
    - (11) in Key Control
      - (2) January
      - (3) February
      - (3) April
      - (3) May
    - (9) in Searches
      - (1) January
      - (2) February
      - (3) March
      - (2) April
      - (1) May
    - (4) in Detention
      - (1) February
      - (1) March
      - (2) April
    - (3) in Administrative
      - (1) January
      - (1) March
      - (1) April
    - (3) in Mail & Property
      - (1) February
      - (1) April
      - (1) May

- (3) in Tool Control
  - (1) February
  - (1) March
  - (1) April
- (2) in Ingress/Egress
  - (1) February
  - (1) March
- (2) in Transportation
  - Both in February
- (1) in Inmate Regulations/Inmate Discipline
  - April
- (1) in Perimeter
  - May
- (1) in Counts/Inmate Movement
  - May
- (1) in Security Devices
  - February
- (1) Weapons/DART
  - February

- (7) repeated Performance Measures
  - Administrative Question #9
    - January & March
  - Key Control Question #4
    - April & May
  - Key Control Question #6
    - January, April & May
  - Mail & Property Question #3
    - February & April
  - Searches Question #1
    - January, February & March
  - Searches Question #3
    - February, March & April
  - Searches Question #8
    - March & April

- All findings had a Correction Action Plan submitted

In reviewing the repeated findings at Cerbat and the Corrective Action Plans submitted, it was observed that in most cases the findings were documented in a specific category, i.e. Key Control, but the actual documented findings was different. The findings that were repeated are as follows:

- Key Control Question #6 – Keysets were not present in the key box and they were not signed out in April and May. Keysets were located and properly logged in.
- Searches Question #3 – MTC staff were observed in February and April not having inmates remove their hats to be searched.

In comparing the last two completed audits at Cerbat for FY14 and FY15 the same observation was made as with GAR. They received audit findings under the same DCI question and policy reference, but the documented findings were of a different nature.

- **Hualapai Unit**
  - (47) Amber findings
    - (12) in Detention
      - (6) January
      - (1) February
      - (1) March
      - (3) April
      - (1) May
    - (8) in Tool Control
      - (1) January
      - (1) February
      - (3) April
      - (3) May
    - (6) in Searches
      - (1) January
      - (3) February
      - (2) March
    - (5) in Key Control
      - (2) January
      - (2) February
      - (1) March
    - (4) in Counts/Inmate Movement
      - (3) January
      - (1) February
    - (2) in Perimeter
      - (1) January
      - (1) February
    - (2) in Radios
      - (1) January
      - (1) May
    - (2) in Visitation
      - (1) January
      - (1) February
    - (2) in Weapons/DART
      - Both in January
    - (1) in Administrative
      - February
    - (1) in Ingress/Egress
      - February
    - (1) Mail & Property
      - May
    - (1) Security Devices
      - February
  - (10) repeated Performance Measures
    - Counts/Inmate Movement Question #5
      - January & May

- Detention Question #1
  - January & April
- Detention Question #3
  - January & February

- Detention Question #5
  - January, March, April & May
- Detention Question #6
  - January & April
- Key Control Question #5
  - January, February & March
- Key Control Question #6
  - January & February
- Searches Question #8
  - January, February & March
- Tool Control Question #14
  - February & April
- Visitation Question #5
  - January & February

- Two findings in May did not have a Corrective Action Plan submitted
  - Detention Question #5
  - Tool Control Question #4

In reviewing the repeated findings at Hualapai and the Corrective Action Plans submitted, it was observed that in most cases the findings were documented in a specific category, i.e. Key Control, but the actual documented findings was different. The findings that were repeated are as follows:

- Detention Question #2 – Detention packets were missing records or were incomplete in January and April.
- Detention Question #5 – The Inmate Individual Detention Records (IDR) were missing comments when recreation was refused in January, March and May but in April IDRs the medical notification was missing.

In comparing the last two completed audits at Cerbat for FY14 and FY15 the same observation was made as with GAR. They received audit findings under the same DCI question and policy reference, but the documented findings were of a different nature.

Attached are the reports utilized to review the data along with the last completed annual inspection from Kingman which was conducted from November 17-19, 2014.

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes. WLB1	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes. WLB1	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes. WLB1	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			Yes. WLB1	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes. WLB1	1
6	* Required inspection forms	X			Yes. WLB1	1
7	* Frequency of inspections	X			Yes. WLB1	1
8	* Guidelines for checking security features	X			Yes. WLB1	1
9	* Procedure for reporting deficiencies	X			Yes. WLB1	1
10	Are security inspections kept on file?	X			Yes. WLB1	1
11	Is the unit in compliance with its own Post Order on inspections?	X			Yes. WLB1	2

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COUNTS/INMATE MOVEMENT

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?		X		No. On 01/02/15, at 0112 hours, Inmate [redacted] ADC # [redacted] was moved from ASP-Kingman, Hualapai Unit to ASP-Kingman,Cerbat CDU; Inmate [redacted] ADC # [redacted] on 01/02/15, at 1859 hours, was moved from ASP-Kingman, Hualapai Unit to ASP-Kingman, Cerbat CDU; Inmate [redacted] ADC [redacted] on was moved from ASP-Kingman, Hualapai Unit to ASP-Kingman, Cerbat CDU on 01/03/15 at 2224 hours; and Inmates [redacted] ADC # [redacted] was moved from Dorm 3, Bed [redacted] to Dorm 5, Bed [redacted] on 01/09/15 at 0001 hours. Inmate [redacted] was actually moved to ASP-Kingman, Hualapai Unit CDU. All of the above aterhours inmate movement were not reported to the Institution Offender Information Unit via email no later than 0730 hours on the next work day following movement. WLB1 Source D.O. 701 1.4 Inmate movement occurring on weekends, holidays, or after normal working hours (Monday through Friday 0800 to 1700) shall be reported by e-mailing a completed After Hours Movement Log, Form 701-1 to the Offender Services Bureau Accountability and Movement Officer through the Institution Offender Information Unit no later than 0730 hours of the first work day following movement.	2
2	Does the picture board match the count sheets?		X		No. In reviewing the count sheets used for a 24-hour period on 01/14/2015, I noticed the count sheet for Dorm 1 list Inmate [redacted] ADC # [redacted] as being assigned to bed [redacted], while the picture board reflects Inmate [redacted] ADC [redacted] as residing in [redacted] In reviewing Inmate Solis AIMS data, I noticed [redacted] is an alias for Inmate [redacted] [redacted]	1

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					[redacted] D.O 701 INMATE ACCOUNTABILITY 701.03 ACCOUNTABILITY OFFICERS/SHIFT COMMANDERS 1.1 The Unit Accountability Officers/Shift Commanders shall: 1.1.3 Update picture boards. WLB1	
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes. WLB1 Yes. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?		X		Yes. However, in reviewing the count sheets for a 24-hour period on 01/14/2015, I noticed the time count cleared for the 2300 hour formal count as omitted on Dorm1's count sheet for all 5 Pods and on CDU's count sheet. Also noted was the omission of the Shift Commander's signature for the [redacted] hours counts on Dorm's 1, 2, 3, 4, and 5 count sheets, and on CDU's count sheet. In addition, the time for when the [redacted] count cleared on Dorm 5's count sheet for all 4 Pods was also omitted. [redacted]	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes. WLB1	1

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Corrective Action Plans for Competency: COUNTS/INMATE MOVEMENT
1 Is inmate movement controlled/coordinated by staff? **Level 2 Amber User: Leasure Schaulin Date: 1/13/2015 5:29:00 PM**
Corrective Plan: This finding is not correct. OIU Supervisor was able to provide all of the 701-1(e) forms, After Hours Movement Log, pertaining to each of the above mentioned inmates as well as the after hours movement emails. Dorm 5 Bed [redacted] (inmate [redacted]) is a CDU housing assignment as the detention unit is attached to Building 5.
Corrective Actions: No Corrective Action was necessary as this finding was in error.
2 Does the picture board match the count sheets? **Level 1 Amber User: Leasure Schaulin Date: 1/29/2015 6:19:38 PM**
Corrective Plan: This finding is correct: On 01/15/15 this finding was addressed with Accountability Officer Warner and OIU Supervisor Guin. It was corrected.
Corrective Actions: Corrective Actions were contained within the Corrective Action Plan and corrected as stated.
5 Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet? **Level 1 Amber User: Leasure Schaulin Date: 1/29/2015 7:18:51 PM**
Corrective Plan: This finding is correct: All Lieutenants and Sergeants were advised of this finding and cautioned to be meticulous abut review and signature of count sheets. This will continue to be a topic at a March Supervisors meeting.
Corrective Actions: Corrective Actions are contained within the Corrective Action Plan.

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.		X		No. I was unable to locate the Detention packet in the records of several inmates being housed in CDU when I examined their records on 01/14/2015. The Detention packet would have accompanied the inmate on his move to CDU. Also omitted from the inmate's records were: 1) an information report advising that the Detention packet was not received and that the Shift Commander was notified of such, 2) an indication that property inventory was conducted since officer's initials are omitted from Inmate Property Inventory, Form 909-4, and/or Inmate Property Inventory Supplement, Form 909-1, under Receiving [Unit]. [redacted] DO 909 909.04 PROPERTY INVENTORY 1.1 Assigned staff shall complete an inventory of an inmate's property, using the Inmate Property Inventory, Form 909-4, and when appropriate, the Inmate Property Inventory Supplement, Form 909-1, when the inmate: 1.1.1 Arrives at a Reception Center. 1.1.2 Is transferred from one institution to another institution. 1.1.3 Is transferred from one unit to a unit of a higher custody level. 1.1.4 Is transferred from general population to a segregated population.	1
2	Is detention unit sanitation meeting standards?	X			Yes. WLB1	1
3	Examine the IO's and PO's and determine compliance with policy requirements.		X		No. I was unable to locate the Detention packet in the records of several inmates being housed in CDU when I examined their records on 01/14/2015. The Detention packet would have accompanied the inmate on his move to CDU. Also omitted from the inmate's records were: 1) an information report advising that the Detention packet was not received and that the Shift Commander was notified of such, 2) an indication that property inventory was	1

					conducted since officer's initials are omitted from Inmate Property Inventory, Form 909-4, and/or Inmate Property Inventory Supplement, Form 909-1, under Receiving [Uniti. [redacted] DO 804. 1.5.2.3.2 Information report 1.5.2.3.3 Inmate identification card 1.5.2.3.4 Property and Visitation files 1.5.2.3.5 Physical property. 1.5.2.4 Property shall be inventoried. 1.5.2.7 If an inmate does not arrive with above items an information report shall be written and the Shift Commander shall be notified DO 909 909.04 PROPERTY INVENTORY 1.1 Assigned staff shall complete an inventory of an inmate's property, using the Inmate Property Inventory, Form 909-4, and when appropriate, the Inmate Property Inventory Supplement, Form 909-1, when the inmate: 1.1.1 Arrives at a Reception Center. 1.1.2 Is transferred from one institution to another institution. 1.1.3 Is transferred from one unit to a unit of a higher custody level. 1.1.4 Is transferred from general population to a segregated population.	
4	Did detention records reflect any curtailments of services?		X		On 1/7/15 at 1521 I was in CDU and all of the IIDR's had been marked "Y" for receiving the dinner meal. I asked the male officer working if the inmates had been fed dinner and he said no. I asked why did he mark that they had been fed dinner. He replied he made a mistake and marked it when they fed lunch. The lunch box was marked with a "Y" also so I asked so you marked both lunch and dinner when you fed lunch? He replied that he got confused. Capt. Kraatz 1/9/15 DO804 1.4 Detention Unit Logs - Detention logs shall be maintained to document inmate behavior and other activities outlined on the Individual Inmate Detention Record, Form 804-3. Detention logs shall include, but not be limited to: 1.4.2 Daily entries using the Individual Inmate Detention Record form. Entries shall include: 1.4.2.1 Accept or refused scheduled meal during shift. 1.4.2.2 Time in/out of the shower. 1.4.2.3 Time in/out of exercising. 1.4.2.4 Time on/off of phone.	1

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5	Did detention logs contain, at a minimum, the required information?		X		No. In examining the individual inmate Detention Record of inmates being housed in CDU on 01/14/2015, I noticed an excessive amount of inmate refusing exercise time marked down for 01/12/2015, and 01/14/2015, with no explanation as to why entered in the comment section of the form. The inmates identified as refusing told me that they were never asked if they wanted "Rec," and that they did not refuse. CDU staff advised me that they only take inmates out to "Rec" who post a sign stating they want "Rec" in the window of their cell door. The CDU Officer stated that the inmate doesn't get asked if he wants to go to "Rec" if there is no sign posted on his door. In my tour of CDU on 01/14/2015, I noticed a small amount of inmates who had placed a note in the window of their cell door that either read "Rec" or, "Can I go to "Rec?" [redacted]	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			Yes. WLB1	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.		X		No. During a tour of CDU on 01/14/2015, I noticed the Floor Officer's Service Journal had listed an inmate welfare check at 0720 hours, and at 0935 hours. There were no other inmate health and welfare checks written in the service journal between the hours of 0720 and 0935. D.O. 804 INMATE BEHAVIOR CONTROL 1.10 Inmate Welfare Checks - Correctional Officers shall: 1.10.1 Conduct random, periodic inmate welfare checks, in addition to checks at specifically timed intervals. 1.10.2 Document and report conditions or abnormal/unusual behavior adversely affecting an inmate's welfare in an incident report, correctional journal and detention log, and immediately report observations through their chain of command. [redacted]	2

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					[redacted]	
6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?		X		No. While conducting a tour in CDU on 01/14/2015, I noticed that at the conclusion of inmate [redacted] exercise time, two CDU Floor Officers escorted him back to his cell. While inmate [redacted] was restrained, both officers stood with inmate [redacted] in front of [redacted] waiting for the cell door to open. Once the Control Room Officer accessed [redacted] cell door, I notice inmate [redacted] cellmate, inmate [redacted] lying on top of his bunk underneath a blanket. Even though inmate [redacted] appeared to be asleep, he was not placed in restraints prior to inmate [redacted] being allowed back into his cell, and prior to the Control Room Officer accessing the cell door. [redacted]	2

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Corrective Action Plans for Competency: DETENTION
1 For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact. **Level 1 Amber User: Leasure Schaulin Date: 1/28/2015 2:54:43 PM**
Corrective Plan: This finding is correct: It was briefed with all CDU staff and all Supervisors with a clear expectation that inmates will NOT be accepted into CDU without correct documentation and it IS the responsibility of the shift supervisors to insure documentation is correct and complete. Regular review of detention packets is conducted to address any issues. Additional information as requested: This was briefed with Lt. King on 01/30/15 after it was submitted. He addressed it with all CDU staff the week following. He also advised staff that EPL entry would accompany future ommissions with disciplinary becoming progressive if it continued. Supervisors were briefed regarding the expectations on 01/30/15.
Corrective Actions: Corrective actions and additional information required are contained within the Corrective Action Plan.
3 Examine the IO's and PO's and determine compliance with policy requirements. **Level 1 Amber User: Leasure Schaulin Date: 1/28/2015 5:25:27 PM**
Corrective Plan: This finding is correct: It was briefed with all CDU staff and all Supervisors with a clear expectation that: inmates will NOT be accepted into CDU without correct documentation and it IS the responsibility of the shift supervisors to insure documentation is complete and correct. Regular review of detention packets is conducted to address any issues. Additional information as required: this finding was briefed with Lt. King on 01/30/15 after it was received on 01/28/15. He addressed it with all CDU staff the week following. He advised CDU staff that future ommissions would result in EPL entries with progressive disciplinary. All Supervisors were briefed the week following receipt of the finding.
Corrective Actions: Corrective actions and additional required information are contained within the Corrective Action Plan.
4 Did detention records reflect any curtailments of services? **Level 1 Amber User: Adam Kraatz Date: 1/9/2015 8:17:08 AM**
Corrective Plan: This finding is correct. Staff in Hualapai CDU decided to take short cuts instead of following policy. In the two weeks following this and other findings, several staff in CDU were replaced and Lt. King took oversight of CDU. These changes were made to improve the functions of CDU and train staff in correct procedures. Frequent inspections of paperwork and unannounced visits to CDU by Lt. King, Sergeant Ortega and CPS Rydgren are taking place to inspect and improve deficiencies such as this one.
Corrective Actions: MTC continues to inspect CDU and correct staff as necessary.
5 Did detention logs contain, at a minimum, the required information? **Level 1 Amber User: Leasure Schaulin Date: 1/28/2015 5:28:12 PM**
Corrective Plan: Between the date of this finding (01/14/15) and the date of its entry (01/28/15) staff in CDU had been changed. Lt. King has oversight of Hualapai CDU and has been working daily with the staff assigned there to correctly carry out their duties. The practice of requiring an inmate to post a sign regarding recreation had been addressed by him prior to the entry of this finding. We are working diligently to insure that staff assigned to CDU know their duties, understand their duties and carry out their duties.
Corrective Actions: Corrective Actions as outlined in the Corrective Action Plans regarding CDU are on going until satisfactory performance is achieved. Oversight in CDU will always be a priority.
6 Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders? **Level 2 Amber User: Leasure Schaulin Date: 1/29/2015 9:33:51 PM**
Corrective Plan: This finding is correct: On 02/23/15 one of these staff were served with disciplinary. This was due to him being an experienced CDU officer who ignored required procedures and modeled poor practices for the new staff member who was also working in

CDU. Close oversight of CDU is continuing by Lt. King with retraining, disciplinary and staff moves taking place. We will continue closely monitoring CDU.
Corrective Actions: Corrective actions were outlined within the Corrective Action Plan and completed as noted.
8 Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop. **Level 2 Amber User: Leasure Schaulin Date: 1/29/2015 8:25:19 PM**
Corrective Plan: This finding is partially correct: HU 5 control functions as control officer for CDU and maintains the Correctional Service Log for CDU. The floor officers CSL's are peripheral, not required but have been utilized to function as a second source of information. The correct review should have been of the HU 5 Control Journal which is the "appropriate" journal as defined by General Post Order 10.0/10.2. Additional information as required: All daily activities related to CDU are documented in the CDU Control Correctional Service Log which is modeled on CDU practices throughout the state. CDU floor officers do not normally maintain a Correctional Service Log. To remain consistent with the rest of the state, we will remove the Correctional Service Log from the CDU floor officers so they may remain in the "constant motion" required and documentation of all their activities will remain with CDU control.
Corrective Actions: Corrective actions were outlined in the corrective action plan. The CSL for CDU floor officers was removed.

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes. WLB1	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			Yes. WLB1	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			Yes. WLB1	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			Not observe on this date. WLB1	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			Incompliance. WLB1	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes. Wlb1	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes. Capt. Kraatz 1/15/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes. Capt. Kraatz 1/15/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes. Capt. Kraatz 1/15/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Yes. Capt. Kraatz 1/15/15	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.		X		On 1/13/15 I reviewed 12 days worth of Key and Credit Card Control Logs. On 1/5/15 at 0709 key set HK-1 was signed out to Faris but never signed back in. On 1/8/15 at 1400 key set 170 had "I Don't Know" written in the returned by section. On 1/9/15 at 0110 key set H174 was signed out to Mr. R but never signed back in. Also they were occasions where in the issued and returned sections they keys were signed out to a post or location not a staff member for example Gate 6, Cerbat, Perimeter, Mr. R. Capt. Kraatz 1/16/15 DO702 1.3 All keys/key rings including emergency keys shall: 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number. 1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	2
					Yes, all keys/key rings are coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings. However on 01/28/2015 at approximately 1415 hrs Lt. Valles was conducting disciplinary hearings in the CDU area. As he was leaving he entered the Officers caged area on the "E" side of CDU. Lt. Valles observed two keys rings on the table that were apparently left there because the second CDU officer had not arrived yet. Lt.Valles handed the only officer the keys and told him to keep them with him until the second officer arrived. Source: Department Order 702.02.1.5.2 –	

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					"Employees shall be responsible for the safe keeping and control of keys/key rings issued to them until they are formally relinquished and returned to the control area" (01/28/2015- jv)	
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 1/13/15 I inspected the keys in the Hualapai Control key box. Key set 158 was signed out at 0653 but at 1130it was in the key box not signed in. Key set V505 was signed out at 0600 but at 1140 it was in the key box and not signed back in. Key set 103 was signed out at 0125 but at 1145 was in the key box and not signed in. Key sets 174 and 175 were signed out to CO White sometime after midnight on the 13th. The control room officers said she is a grave shift officer and is no longer on site but the keys were never signed back in. Capt. Kraatz 1/16/15 DO702 1.3 All keys/key rings including emergency keys shall: 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number. 1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Yes. Capt. Kraatz 1/15/15	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes. Capt. Kraatz 1/15/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes. Capt. Kraatz 1/15/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes. Capt. Kraatz 1/15/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes. Capt. Kraatz 1/15/15	1
12	Is there a list of emergency key rings and their locations?	X			Yes. Capt. Kraatz 1/15/15	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes. Capt. Kraatz 1/15/15	1

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14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes. Capt. Kraatz 1/15/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes. Capt. Kraatz 1/15/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes. Capt. Kraatz 1/15/15	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes. Capt. Kraatz 1/15/15	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			No. Capt. Kraatz 1/15/15	2

Corrective Action Plans for Competency: KEY CONTROL

5 Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.
Level 2 Amber User: Adam Kraatz Date: 1/16/2015 7:54:44 AM

Corrective Plan: Effective January 19, 2015, Captain Winckler instructed all shift commanders and supervisors to review the Key and Credit Card Control, Form 702-1 to ensure completion and accuracy. They were instructed to review them during post checks and once the paperwork had been submitted. This will continue to be followed up on. Captain Schwartzkopf, Cerbat, also instructed his staff to make contact with Hualapai control once they take possession of keys issued by Hualapai. Thiss will continue to be followed up on.

Corrective Actions: Corrective Actions are outlined within the Corrective Action Plan.

5 Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.
Level 2 Amber User: Abel Dominguez Date: 1/28/2015 3:39:56 PM

Corrective Plan: This finding is correct:
On 02/23/15 Lt. King (who oversees CDU) personally served written disciplinary to the staff member who was present in CDU but did not take possession of the keys and radio. The disciplinary was necessary due to it being the second finding in the same area involving the same staff. Oversight of CDU is very close at this time with staff re-training and necessary moves being a priority. We will continue this process.

Corrective Actions: Corrective Actions were outlined within the Corrective Action Plan and completed as noted.

6 Upon key or key ring issuance or return, is an entry being made in a log?
Level 1 Amber User: Adam Kraatz Date: 1/16/2015 7:59:19 AM

Corrective Plan: Effective January 19, 2015, Captain Winckler instructed all shift commanders and supervisors to review the Key and Credit Card Control, Form 702-1 to ensure completion and accuracy. They were instructed to review them during post checks and once the paperwork had been submitted. This will continue to be followed up on.

Corrective Actions: Corrective Actions were outlined in the Corrective Action Plan and are ongoing.

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			Yes. WLB1	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			Yes. WLB1	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			Yes	1
5	Is the mail-screening process in place effective?	X			Yes. WLB1	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			Yes. WLB1	1

4	Review Post Orders to ensure that local instructions are adequate.	X			Yes. WLB1	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			Yes. WLB1	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X				1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			only in inclement weather Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Twice per shift Dax3 Twice per shift Dax3	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			Inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No Dax3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes Dax3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of	X			No Dax3	3

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	missing/damaged/displaced/tampered fence structure?					
15	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?		X		Yes trash in no mans land on the razor wire. Trash bags hanging in the razor wire impede vision of patrol officers. Dax3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No Dax3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			during inclement weather. Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			twice per shift. Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2

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35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2
36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			Yes Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			no Dax3	2

Corrective Action Plans for Competency: PERIMETER

17 Conduct a perimeter check, to look for the following: Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?
Level 1 Amber User: Abel Dominguez Date: 1/5/2015 2:53:25 PM

Corrective Plan: This finding is correct.
Lt. Fagan and I observed the perimeter in this area on 1/5/15 and found trash collected along the fence on both sides of the trash compactor. The work crew supervisor was instrcuted on 1/6/15 to take a crew in that area and remove all of the trash and debris. He also washed the trash compactor as well. The Operations Lieutenant was instructed to have the work crew supervisor clean this area, at minimum, once a week. I observed this area today, 1/7/15, and found no trash along the fence or around the compactor. I will continue to monitor this area to ensure this directive is being met.

Corrective Actions: We continue to monitor this area and have also increased awareness of the Shift Commanders.

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes, WLB1	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes. WLB1	1
3	Does staff transmit only communications that are job related?	X			Yes, WLB1	1
4	Are radio operators using profane or vulgar language?	X			No. WLB1	1
5	Are staff using unnecessary conversation on the radio?	X			No. WLB1	1

Corrective Action Plans for Competency: RADIOS
6 Are assigned call numbers used during each radio transmission, except while under ICS? **Level 1 Amber User: Leasure Schaulin Date: 1/15/2015 8:00:12 AM**
Corrective Plan: This finding is correct. On 01/30/15 this finding was quoted on the daily Briefing Sheet and all Supervisors were advised via e mail to cover this in daily phone briefings. We will verbally correct staff via radio when necessary.
Corrective Actions: Staff are much improved in use of call signs. We will continue to monitor and address as needed.

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes BBA8	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes BBA8	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes. Capt. Kraatz 1/7/15	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes. Capt. Kraatz 1/7/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Yes. Capt. Kraatz 1/7/15	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes. Capt. Kraatz 1/7/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes. Capt. Kraatz 1/7/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. Capt. Kraatz 1/7/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		On 1/7/15 I reviewed the Search Log and cross referenced it to the Service Journals. They were inconsistent. On 12/24/14 at 0005 search log shows [redacted] was searched but Dorm 1 journal does not have that search listed. 12/24/14 at 0010 search log shows [redacted] was searched but the Dorm 1 journal does not list that search. 12/29/14 at 0826 search log shows [redacted] was searched but Dorm 1 journal does not list that search. 12/6/14 at 0042 search log shows [redacted] was searched but Dorm 1 journal lists [redacted] was searched. There are also blanks on the search log for December. For example on 12/1/14 at 0309 a search was completed but it doesn't list bunk/housing unit location, IR#, staff name, of if the inmate was present. Capt. Kraatz 1/9/15 DO708 1.3 General Search Requirements 1.3.1 Staff shall document searches of inmate living areas, and any search in which contraband (other than nuisance contraband) is found in the Correctional Service Log, Form 105-6 and unit search log (or other means) to provide a permanent record of searches.	1
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. Capt. Kraatz 1/7/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. Capt. Kraatz 1/7/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand	X			Yes. Capt. Kraatz 1/7/15	1

	screening during the second attempt, then asked to leave the facility and denied visitation for the day?					
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes. Capt. Kraatz 1/7/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes. Capt. Kraatz 1/7/15	1

Corrective Action Plans for Competency: SEARCHES

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 1/9/2015 8:16:04 AM

Corrective Plan: This finding is correct. We continue to attempt to correct this with staff through various methods. The requirement to log searches appropriately on CSL's and Unit Search Log has been on the daily Briefing Sheet for months. It is discussed at daily phone briefings and is a topic at all Supervisors meetings. We will continue to address it as noted above and will also look at a way to make each shift accountable for entering all searches conducted during that shift into the Unit Search Log immediately. Currently the Unit Search Log is completed by GY staff utilizing the "shake down" forms that staff are supposed to complete when they do searches.

Corrective Actions: Corrective Actions as follows:
on 02/20/15 I issued direction to the Lieutenants that the following actions would be implemented:
1) all searches to be called in to a supervisor
2) supervisor to verify searches were logged in the CSL
3) supervisor to personally enter the verified searches into the Unit Search Log

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes WRo1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes WRo1	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes WRo1	1
4	* Unit Control rooms	X			Yes WRo1	1
5	* Security system warning panels	X			Yes WRo1	2
6	* Applicable perimeter detection devices	X			Yes WRo1	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes WRo1	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes WRo1	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes WRo1	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes WRo1	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes WRo1	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes WRo1	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes WRo1	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes WRo1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			During inclement weather WRO1	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			constante partol. WRO1	1
	Conduct a perimeter check, to look for the following:					

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17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes WRO1	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No WRO1	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO WRO1	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No WRO1	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			NO WRO1	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No WRO1	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No WRO1	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No WRO1	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes WRO1	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes WRO1	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes WRO1	2
28	Is the electronic system tested at the beginning of shift?	X			Yes WRO1	1
29	Is the electronic system tested at the end of shift?	X			Yes WRO1	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No WRO1	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			twice per shift WRO1	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes WRO1	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes WRO1	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes. WLB1	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Yes. WLB1	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes. WLB1	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			Yes. WLB1	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes. WLB1	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			Yes. WLB1	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes. WLB1	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes. WLB1	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			Yes. WLB1	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes. WLB1	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes. Wlb1	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			Yes. WLB1	2
13	Have any tools been misplaced or lost in the past 90 days?	X			No. WLB1.	2

	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			Yes. WLB1 Yes. WLB1	2

	Physically inspect each area where kitchen tools are stored.

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15	Review kitchen tool logs to ensure staff are checking tools out correctly.		X		Tool check out for kitchen tools is in compliance. WLB1 No. At about 1418 hours, while conducting a tour of the Tool Room in the Kitchen, I noticed the Tool Check-Out form used by Kitchen Security Officers for tools being checked out on 01/29/2015, list Thermometer #A1, and Digital Stab Thermometer #A03 as being checked out to two different Trinity Staff members when both thermometers were stored on the shadow board. DO 712 712.02 TOOL SECURITY AND STORAGE 1.2 Tool Rooms/Inventories 1.2.1 The Tool Control Officer shall: 1.2.1.1 Ensure that all tools are checked-out and returned using the Tool Check-Out, Form 712-4.	1
16	Inspect any kitchen tool shadow boards in use.	X			No discrepancies noted with kitchen tool shadow boards. WLB1	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes. WLB1	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes. WLB1	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes. WLB1	1

Corrective Action Plans for Competency: TOOL CONTROL

15 Physically inspect each area where kitchen tools are stored. Review kitchen tool logs to ensure staff are checking tools out correctly.
Level 1 Amber User: Leasure Schaulin Date: 1/29/2015 4:53:46 PM

Corrective Plan: This finding is correct:
Kitchen officers have all been re-trained and reminded that tool checkout/check in procedures are important and they must pay close attention, be timely and be accurate. Daily reviews of tool checkout/check in are conducted and re-direction and correction is issued in a timely manner.

Retraining was conducted February 20th through February 26th for all kitchen staff. This was verified by DS and SS Lieutenants.

Corrective Actions: Corrective actions and additional required information are contained within the Corrective Action Plan.

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			Yes Dax3	2
2	Examine the tower facility and operations, including weapon security procedures.	X			yes Dax3	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			yes Dax3	1
4	Is staff following the Post Orders for tower operations?	X			yes Dax3	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes Dax3	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes Dax3	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes Dax3	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes Dax3	1
5	Are the inmates being transported properly accounted for?	X			Yes Dax3	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes Dax3	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes Dax3	1
8	Are searches of transported inmates completed as required?	X			Yes Dax3	1
9	Are inmates transported with escape flyers?	X			Yes Dax3	1

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VISITATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			Yes BBA8	1
2	Are the staff requiring and checking identification?	X			Yes BBA8	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			Vistiors are being searched as per policy. However,will have Captain observe process on 01/05/14 and enter finding	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes Dax3	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?		X		Yes BBA8 On 01/27/2015 a review was conducted for Hualapai visitation. Applications for inmate [redacted] visitors were submitted on 09/05/15 and not processed. The visitors were also not placed in AIMS. [redacted] COIV Martin Refer to DO911 1.3.7 A properly completed visitation application shall be processed and approved or denied within 60 days of receipt of background check fee or verification of previous payment. If the visitation application cannot be finalized within this time frame, written notification explaining the delay, shall be provided to the applicant within three work days after the expiration period.	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			There is a blind spot on the east end of visitation however, main control for the unit monitors it during visitation hours.	1
7	Do the number of assigned staff seem adequate?	X			Yes BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			Yes BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes BBA8	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes BBA8	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes BBA8	1
12	Are staff computer terminals in the visitation	X			Yes BBA8	2

	area secured from both inmate and visitor access?					

Corrective Action Plans for Competency: VISITATION
5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made? **Level 1 Amber User: Matthew Martin Date: 1/29/2015 4:32:29 PM**
Corrective Plan: This finding is incorrect. The three applications mentioned in this finding were submitted online, by the visitors, on September 5, 2014 to the inmate's previous unit. They were not forwarded to Kingman for review until January 6, 2015 which is confirmed by the online time-stamp. The Kingman visitation officers began processing of these applications as of January 8, 2015, again confirmed by the time-stamp. The application process was never completed at the inmate's previous unit nor forwarded to Kingman in a timely manner.
Corrective Actions: Corrective Actions were not necessary in this instance as the lapse for processing the applications was not the fault of ASPC-K-Hualapai visitation.

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes Dax3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			yes Dax3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			yes Dax3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			yes Dax3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			yes Dax3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			yes Dax3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			yes Dax3	1
8	Are firearms qualification records current?	X			yes Dax3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			yes Dax3	1
10	Are DART weapons and required ammunition conveniently available?	X			yes Dax3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			yes Dax3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes DAX3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes DAX3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.		X		Yes Dax3 716.04 FIREARMS/CHEMICAL AGENTS - CHECK OUT/RETURN AND EXCHANGE DO1.1 All firearms and equipment issued from the armory shall be logged on an Equipment Issue/Return Log, Form 716-1. During tour of armory Hualapai ready room had 716-1(e) forms are prefilled out with no Signatures present all signatures were computer typed Signatures. Dax3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes DAX3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes DAX3	1

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17	Are only authorized persons admitted into the armory?	X			yes Dax3 Yes DAX3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes DAX3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes with D.W of complex not major assigned DAX3	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory.		X		716.04 FIREARMS/CHEMICAL AGENTS - CHECK OUT/RETURN AND EXCHANGE DO1.1 All firearms and equipment issued from the armory shall be logged on an Equipment Issue/Return Log, Form 716-1. During tour of armory Hualapai ready room had 5cans of oc spray assigned but only 3 present. 2 cans were issued out to staff members but not logged on 716-1 forms.	2
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes DAX3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes DAX3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes DAX3 Yes DAX3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes DAX3	1

Corrective Action Plans for Competency: WEAPONS/DART
14 Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required. **Level 1 Amber User: Abel Dominguez Date: 1/27/2015 4:27:38 PM**
Corrective Plan: This finding is correct. Lieutenant Johnston (GY) prefills these. He was verbally counseled by Captain Winckler on 01/29/14 to insure he physically signs the 716-1 when he issues the weapons and equipment to transport teams.
Corrective Actions: Corrective Actions are contained within the Corrective Action Plan.
20 Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory. **Level 2 Amber User: Abel Dominguez Date: 1/27/2015 4:02:05 PM**
Corrective Plan: This finding is correct. Hualapai maintains 5 cans of OC spray so they can be issued to any staff who forgot their issued spray. Captain Winckler has completed a memo for posting in Main Control which addresses the requirement for staff to complete 716-1 forms when issuing any weapon or equipment from the Hualapai ready room. This memo will be posted on 01/30/15. Additionally, this was added to the 01/30/15 daily Briefing Sheet and all Supervisors were advised to cover at phone briefings for 30 days.
Corrective Actions: Corrective Actions were outlined within the Corrective Action Plan.

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes. WLB1	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes. WLB1	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes. WLB1	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			Yes BBA8	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes. WLB1	1
6	* Required inspection forms	X			Yes. WLB1	1
7	* Frequency of inspections		X		On 2/24/15 a DCI review was conducted at Hualapai Visitation . Question 38 Is the inmate provided written notification of placement on non contact visitation status? DO 911.04, 1.7; Finding: Inmate [redacted] was listed on the non-contact list for 180/1yr. The inmate's file did not contain the required written notification. COIV Martin Refer to DO 1.7 An inmate shall be provided written notification of placement on non-contact visitation status in a timely manner (See Attachment A.) 1.7.1 The written notification shall contain a statement advising that the inmate has 14 calendar days to provide information, which may impact the decision, to the unit Deputy Warden.	1
8	* Guidelines for checking security features	X			Yes. WLB1	1
9	* Procedure for reporting deficiencies	X			Yes. WLB1	1
10	Are security inspections kept on file?	X			Yes. WLB1	1
11	Is the unit in compliance with its own Post Order on inspections?	X			Yes. WLB1	2

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Corrective Action Plans for Competency: ADMINISTRATIVE
7 Does the facility have a comprehensive security inspection policy/Post Order? Identifying: * Frequency of inspections **Level 1 Amber User: Matthew Martin Date: 2/26/2015 9:27:23 AM**
Corrective Plan: This finding is correct In conjunction with ADOC Monitors, visitation staff will complete the non-contact notification letters once the lead monitor has established the appropriate review date and made the necessary AIMS entries. Visitation staff will forward the notification to the inmate and place copy in his file. This process was established approximately 2/25/15.
Corrective Actions: Corrective Actions are outlined within the Corrective Action Plan.

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			Yes. WLB1	2
2	Does the picture board match the count sheets?	X			Yes. WLB1	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			Yes. WLB1	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes. WLB1	1

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			Yes. WLB1	1
2	Is detention unit sanitation meeting standards?	X			Yes. WLB1	1
3	Examine the IO's and PO's and determine compliance with policy requirements.		X		On 2/4/15 at 1530 I went to CDU and both male officers were not wearing their eye protection. They cleared me to enter and one staff member went back to issuing out cleaning supplies still not wearing eye protection. When they began escorting inmates the older male officer put on his eye protection. Capt. Kraatz 2/6/15 [redacted]	1
4	Did detention records reflect any curtailments of services?	X				1
5	Did detention logs contain, at a minimum, the required information?	X			Yes. WLB1	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			Yes. WLB1	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			Yes BBA8	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			Yes. WLB1	2

Corrective Action Plans for Competency: DETENTION

3 Examine the IO's and PO's and determine compliance with policy requirements.
Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:05:11 AM

Corrective Plan: This finding is correct:
On 02/23/15 formal written disciplinary was issued to these two staff members by Lt. King. This was necessary due to repeat findings in CDU. Close oversight and management of CDU is a priority and deficiencies are being addressed through this and movement of staff.

Corrective Actions: Corrective Actions were outlined within the Corrective Action Plan and completed as noted.

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes. WLB1	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?		X		Yes. However, a sign-in log currently being used by staff called ASPC-Kingman Hualapai Unit Visitor I.D. Log, that covered a time period from 12/14/14 – 02/03/15, was missing enters for exit times, attesting staff signature, reason for visit or card being issued, and Visitor I.D. number from a state issued ID used to verify the visitor's/staff's identity. During the same time period, eleven (11) staff members reported to work without their State issued identification card. And when I reviewed the Information Report Logs covering the time period mentioned above, I was unable to verify that at the time of the incident an Information Report was written by staff. When attempting to account for the visitor badges that are kept in Hualapai Main Control, I observed that Visitor Badge # 40 is missing. On 02/03/15, Visitor Badge #40 was issued to a Census Bureau Employee at 1300 hours. No exit time is listed for this visitor nor is there a signature of the attesting staff written on the log who signed the visitor in. [redacted]	1

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					[redacted] Yes. WLB1	
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			Yes. WLB1	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			Yes. WLB1	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			Searches and ID verifications performed in accordance with policy. WLB1	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes. WLB1	2

Corrective Action Plans for Competency: INGRESS/EGRESS
2 Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit? Level 1 Amber User: Leasure Schaulin Date: 2/27/2015 5:52:42 PM
Corrective Plan: Corrective Action Plan as follows: Badge # 40 is present and accounted for. All supervisors have been directed to verify daily during the shift that all appropriate documentation is being completed accurately during rounds. In the event logs are found incomplete or not being completed accurately progressive discipline is to be completed.
Corrective Actions: Corrective action contained in CAP

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Capt. Kraatz 2/6/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Capt. Kraatz 2/6/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Capt. Kraatz 2/6/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Capt. Kraatz 2/6/15	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.		X		On 2/4/15 at1000 while inventorying keys in Hualapai Control. It was hanging in the back of the key box on a random hook with no label. The male office stated that key set opens the lock box for armory key set and that there are a couple other key sets that don't have tags that they just hang in the box but they were checked out. Capt. Kraatz 2/6/15 DO712 1.3 All keys/key rings including emergency keys shall. 1.3.3 Be stored in such a manner as to: 1.3.3.2 Allow easy determination of the presence or absence of keys/key rings.	2
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 2/4/15 Credit Card HR124E and HR122C were signed out on the Key and Credit Card Control, Form 702-1. However they were signed out under the Key Set # not under the Credit Card section. Capt. Kraatz 2/6/15 DO712 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number. 1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	1
					On 2/4/15 key sets V524 and V532 were signed out to Cerbat and not an employee. Capt. Kraatz 2/6/15 DO702 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number.	

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					1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Capt. Kraatz 2/6/15	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Capt. Kraatz 2/6/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Capt. Kraatz 2/6/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Capt. Kraatz 2/6/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Capt. Kraatz 2/6/15	1
12	Is there a list of emergency key rings and their locations?	X			Capt. Kraatz 2/6/15	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Capt. Kraatz 2/6/15	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Capt. Kraatz 2/6/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Capt. Kraatz 2/6/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Capt. Kraatz 2/6/15	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Capt. Kraatz 2/6/15	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			Capt. Kraatz 2/6/15	2

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Corrective Action Plans for Competency: KEY CONTROL
5 Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor. **Level 2 Amber User: Adam Kraatz Date: 2/6/2015 9:00:17 AM**
Corrective Plan: On 02/10/2015 the key control officer made a new tag and placed it on the hook in the key box for that set of keys. The key control officer has been tasked to conduct a complete check of all key sets within both Hualapai and Cerbat units to ensure that every key set has an attached key tag identifying the key set and number of keys on that set. Anticipated completing of this inspection is March 31, 2015. DW Santiago
Corrective Actions: Corrective Actions as follows: In March the Key Control Officer completed an audit of all facility keys to insure all were in compliance with policy.
6 Upon key or key ring issuance or return, is an entry being made in a log? **Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:01:04 AM**
Corrective Plan: This finding is correct: The finding was briefed with all Lieutenants and with staff regularly assigned to Main Control on 02/06/15. Staff acknowledged that inattention results in mistakes and omissions and that Main Control requires attention to detail. We continue to do regular/daily review of all documentation in Main Control and to address issues as they are noted.
Corrective Actions: Corrective Actions are outlined within the Corrective Action Plan and are ongoing as noted.
6 Upon key or key ring issuance or return, is an entry being made in a log? **Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:02:44 AM**
Corrective Plan: Effective January 19, 2015, Captain Winckler instructed all shift commanders and supervisors to review the Key and Credit Card Control, Form 702-1 to ensure completion and accuracy. They were instructed to review them during post checks and once the paperwork had been submitted. Captain Schwartzkopf, Cerbat, was also advised to instruct his staff that upon taking post, Cerbat Control needs to contact Hualapai Control to advise them of the staff member in possession of the keys. Captain Schwartzkopf sent this instruction out to his staff effective 2/10/15. This will continue to be followed up on.
Corrective Actions: Corrective Actions are outlined within the Corrective Action Plan.

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			Yes. WLB1	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			Yes BBA8	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			Yes. WLB1	1
5	Is the mail-screening process in place effective?	X			Yes. WLB1	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			Yes. WLB1	1

4	Review Post Orders to ensure that local instructions are adequate.	X			Local instructions are adequate. WLB1	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			Yes. WLB1	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			Twice per shift Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Twice per shift Dax3	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			Inclement weather DAX3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			NO Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No Dax3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes Dax3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?		X		Perimeter DCI 2.Are all perimeter fencing, detection systems, sand traps, concertina wire, and other deterrents in good working order with	3

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					no evidence of damage, or exposure to the elements? *****Perimeter*****; No during my tour of the zones on 02/02/2015 it was notice that rains have washed away dirty form the fence line on noman's land leading into the zone alarm area. These wash have left 2 to 3 inche gaps under the the bottom of the fence line(Sector One through Sector Three). Dax3	
15	If possible to observe, are there any missing or displaced fence ties?	X			NO Dax3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			NO Dax3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			NO Dax3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			NO Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			NO Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			YES Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			YES Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			YES Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			NO Dax3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			YES Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			YES Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			YES Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			YES Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			YES Dax3	1
32	Is the electronic system tested at other fixed	X			twice per shift Dax3	1

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	times during the shift? If so, when?					
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			YES Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			YES Dax3	2
36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			YES Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			YES Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			YES Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			no Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			YES Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			YES Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			YES Dax3 Securtiy device, journal and work order. Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

Corrective Action Plans for Competency: PERIMETER
14 Conduct a perimeter check, to look for the following: Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure? **Level 3 Amber User: Abel Dominguez Date: 2/2/2015 2:41:57 PM**
Corrective Plan: On 02/03/15, the work crew booss took his inmate workers and filled in all of the areas along the fence line that were gapped due to rainfall. We will continue to monitor this process especially during times of rainfall.
Corrective Actions: When Kingman prison experiences heavy rains the perimeter is our first priority once rain abates. The day following the perimeter is always repaired immediately.

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes. WLB1	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes. WLB1	1
3	Does staff transmit only communications that are job related?	X			Yes. WLB1	1
4	Are radio operators using profane or vulgar language?	X			No. WLB1	1
5	Are staff using unnecessary conversation on the radio?	X			No. WLB1	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes. WLB1	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes. WLB1	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?		X		Yes. Capt. Kraatz 2/23/15 On 2/18/15 I reviewed approximately 2 weeks worth of Kitchen Journals and found that on 2/2/15 at 0540 the entry stated kitchen workers released but no mention of being strip searched or sent to the strich shack. On 2/9/15 at 0550 the entry stated kitchen workers released but no mention of being strip searched or sent to the strich shack. Capt. Kraatz 2/23/15 [redacted]	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes. Capt. Kraatz 2/23/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?		X		On 2/18/15from approximately 1200 to 1215 I watched 2 male Sgt. performiong pat searches of inmates leaving the chow hall. Neither of them had the inmates remove their hats during the pat searches. Capt. Kraatz 2/23/15 DO708 Searches 1.6 Pat Search 1.6.3.5 If the subject is wearing a hat or jacket, or both, they shall be searched, paying special attention to the: 1.6.3.5.1 Inside rim of hat.	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Capt. Kraatz 2/23/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Capt. Kraatz 2/23/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Capt. Kraatz 2/23/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		On 2/18/15 I reviewed the Unit Search Log for February. On 2/2 at 0220 in the section that says staff name and badge #; 2 badge numbers were missing. On 2/5 at 0228 and 0232 searches completed by section the name in the boxes were marked "7" not an officers name. On 2/8 at 0320 it was marked inmate not present but the section	1

					for the reason the inmate was not present was left blank. On 2/5 at 2332 bunk 3A33 listed in Dorm 3 journal as being searched but was not on the search log. Capt. Kraatz 2/23/15 DO708 708.02 SEARCHES OF INMATES 1.1 Housing Unit Searches 1.1.2.2 If the inmate is not present, two staff members shall be present during the search. 1.1.2.2.1 When a search is conducted without the inmate present, the staff shall document in the Correctional Service Log, and in the unit search log, the explanation of the inmate's absence.	
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Capt. Kraatz 2/23/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Capt. Kraatz 2/23/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Capt. Kraatz 2/23/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Capt. Kraatz 2/23/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Capt. Kraatz 2/23/15	1

Corrective Action Plans for Competency: SEARCHES

1 Are strip/pat searches being conducted pursuant to ADC requirements?
Level 1 Amber User: Adam Kraatz Date: 2/23/2015 7:48:17 AM

Corrective Plan: This finding is correct:
CSL's are reviewed on a daily basis and omissions such as these are noted on the logs, the logs are returned to the Lieutenant(s) and the Lieutenant(s)address issues directly to the staff members responsible. Additionally, training on Correctional Service Logs has been ongoing the month of February with emphasis on staff assigned to the kitchen.

Additional information as required:
Late entries are NOT being placed on the CSL's. Logs have notations placed on them outlining what is missing, they are returned to the Lieutenants, the Lieutenants are utilizing them to provide re-training for the staff member(s)who omitted required information. This started early in February.

Corrective Actions: Corrective actions and additional required information are contained within the Corrective Action Plan. Re-training and training of staff continues.

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3 Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective? **Level 1 Amber User: Adam Kraatz Date: 2/23/2015 7:37:23 AM**
Corrective Plan: Corrective Action Plan as follows: On 02/20/15 I issued direction to all Shift Commanders (Lieutenants) that they would brief this finding with the Sergeants AND provide re-training immediately in the correct methods of conducting pat searches. All Lieutenants have reported back that this has been accomplished as of 02/25/15.
Corrective Actions: Corrective Actions were outlined and completed as noted in the Corrective Action Plan.
8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged? **Level 1 Amber User: Adam Kraatz Date: 2/23/2015 7:44:55 AM**
Corrective Plan: This finding is correct: On 02/20/15 I issued direction that searches on each shift would: 1) be called in to a Supervisor 2) verified by the supervisor that the searches had been placed into the CSL 3) supervisor would be responsible for personally entering all searches conducted that shift into the Unit Search Log
Corrective Actions: Corrective Actions are outlined within the CAP. Daily review of CSL's and Unit Search Log is taking place to track improvement.

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SECURITY DEVICES

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?		X		On 02/11/15 while conducting a tour of Kingman-Hualapai Unit, it was discovered that Day Shift Officers Wolsey and Hyde did not conduct or document the Beginning or Ending Security Device Inspection of Main Control. First log entry for that morning did not start unit 0700 hrs. There were no signs of a page being torn off or skipped page. Per Do 703 Security Device Inspection 1.3 Staff assigned to areas in which security devices are utilized shall conduct a thorough inspection of each security device during their shift and enter "SECURITY DEVICE INSPECTION" in the Correctional Service Log, Form 105-6. Capt Fernandez FBX1 02/11/15	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes Capt Fernandez FBX1 02/11/15	2

	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes Capt Fernandez FBX1 02/11/15	1
4	* Unit Control rooms	X			Yes Capt Fernandez FBX1 02/11/15	1
5	* Security system warning panels	X			Yes Capt Fernandez FBX1 02/11/15	2
6	* Applicable perimeter detection devices	X			Yes Capt Fernandez FBX1 02/11/15	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes Capt Fernandez FBX1 02/11/15	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes Capt Fernandez FBX1 02/11/15	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes Capt Fernandez FBX1 02/11/15	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes Capt Fernandez FBX1 02/11/15	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes Capt Fernandez FBX1 02/11/15	2
12	Is corrective action taken to remedy any	X			Yes Capt Fernandez FBX1 02/11/15	1

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	discrepancies found and reported (DO 703.02)?					
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes Capt Fernandez FBX1 02/11/15	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes Capt Fernandez FBX1 02/11/15	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes Capt Fernandez FBX1 02/11/15	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes Capt Fernandez FBX1 02/11/15	1

	Conduct a perimeter check, to look for the following:					
17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Capt Fernandez FBX1 02/11/15	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No Capt Fernandez FBX1 02/11/15	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO Capt Fernandez FBX1 02/11/15	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Capt Fernandez FBX1 02/11/15	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Capt Fernandez FBX1 02/11/15	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No Capt Fernandez FBX1 02/11/15	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			NO Capt Fernandez FBX1 02/11/15	2
24	Are there any signs of wildlife that threaten fence integrity?	X			NO Capt Fernandez FBX1 02/11/15	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Capt Fernandez FBX1 02/11/15	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Capt Fernandez FBX1 02/11/15	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Capt Fernandez FBX1 02/11/15	2
28	Is the electronic system tested at the beginning of shift?	X			Yes Capt Fernandez FBX1 02/11/15	1
29	Is the electronic system tested at the end of shift?	X			Yes Capt Fernandez FBX1 02/11/15	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			no Capt Fernandez FBX1 02/11/15	1

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31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Twice per shift Capt Fernandez FBX1 02/11/15	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Capt Fernandez FBX1 02/11/15	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes Capt Fernandez FBX1 02/11/15	2

Corrective Action Plans for Competency: SECURITY DEVICES
1 Are security device inspections and deficiencies noted in permanent logs and journals? **Level 1 Amber User: Abel Dominguez Date: 2/12/2015 8:49:27 AM**
Corrective Plan: This finding is correct: Both staff were verbally advised of this finding and both received comments on their Employee Performance Logs regarding this basic requirement. Additionally, on going training of all staff regarding CSL's has been ongoing the month of February.
Corrective Actions: Corrective Actions were outlined within the Corrective Action Plan.

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes BBA8	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Yes in compliance BBA8	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes BBA8	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			Yes BBA8	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes BBA8	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			Yes BBA8	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes BBA8	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes BBA8	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			In compliance. Ladders are properly stored in tool room areas and tool cage(s). WLB1	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes BBA8	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes BBA8	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			There were no ladders in use during this GAR	2
13	Have any tools been misplaced or lost in the past 90 days?	X			No BBA8	2

	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?		X		Yes, however, there are inconsistencies in the inventorying of stored items in sealed container(s) with a numbered break-away lock. Medical staff is currently using a log entitled: Emergency Equipment Shift Checks, to account for items stored inside the man down bag. Written on the log is the number of the break-away lock that's in place. From Feb. 1. – Feb. 3., the log shows "0 locks" where in place to secure	2

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					the bag. (The man down bag requires two numbered break-away locks.) In addition, from Feb. 4. -- Feb. 18., only the last four digits of the break-away lock's 7 digit number is recorded; no inventory was written on the log for Feb. 11., and monthly inspections and inventories for the man down bag aren't indicated. 712.03 MEDICAL TOOL/INSTRUMENT STORAGE 1.4.5 Tools, instruments or other items that are secured in a tamper-proof container, with a numbered break-away lock, shall be listed on the inventory for the area where they are stored. The container shall not be opened and inventoried unless the lock is opened or has been tampered with. Staff conducting inventories shall check the seal of these containers daily and note the results on the appropriate inventory sheet. 1.4.5.1 Where sealed containers are in use, assigned staff shall open the container for inspection and inventory once a month. Once the inventory is complete a new lock shall be used. The new lock number shall be noted on the appropriate inventory documents.	

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Yes BBA8	1
16	Inspect any kitchen tool shadow boards in use.	X			Yes Shadow board are in use BBA8	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes BBA8	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes BBA8	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes BBA8	1

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Corrective Action Plans for Competency: TOOL CONTROL
14 Physically inspect each area where medical and dental tools and/or sharps are stored. Do medical and dental tool and sharp counts match their inventories? **Level 2 Amber User: Leasure Schaulin Date: 2/20/2015 6:38:34 PM**
Corrective Plan: This finding is correct: On 02/23/15 this finding was briefed with the Hualapai Chief of Security. Medical staff are responsible for correctly inspecting, inventorying and logging of the "man down" bags. The Chief of Security met with the Health Services Administrator on 02/25/15 discussed and demonstrated the correct way to inventory and log the breakaway locks.
Corrective Actions: Corrective Actions were outlined within the Corrective Action Plan.

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			Yes BBA8	2
2	Examine the tower facility and operations, including weapon security procedures.	X			Unit does not have a active tower but a yard control that house non lethal ammo the unit is in compliance with required procedures BBA8	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			unit has a yard control no tower however, are in compliance with procedures for weapon storage areas BBA8	1
4	Is staff following the Post Orders for tower operations?	X			Yes BBA8	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes BBA8	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes BBA8	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes. WLB1 Yes BBA8	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes BBA8	1
5	Are the inmates being transported properly accounted for?	X			Yes BBA8	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes. WLB1 Yes BBA8	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes BBA8 Yes. WLB1 Yes. WLB1	1
8	Are searches of transported inmates completed as required?	X			Yes BBA8	1
9	Are inmates transported with escape flyers?	X			Yes. WLB1 Yes BBA8	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			Yes BBA8	1
2	Are the staff requiring and checking identification?	X			Yes BBA8	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			Yes BBA8	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes BBA8	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?		X		Yes BBA8 On 2/24/15 a DCI review was conducted at Hualapai Visitation . Question #17 Is all required visitor/visit information entered in AIMS? DO 911.01, 1.8.1; Finding: Visitor Frank Carillo for inmate [redacted] applied for visitation on 9/22/14. Was sent non payment notice of denial form his previous unit on 10/14/14. Was forward to M59 on 1/6/15. On 1/16/15 comments entered at Kingman stating pending 20 list and payment. On 2/24/15 inmate still pending. COIV Martin Refer to DO 911 1.2.2 Applications received by mail and on-line for adult visitors shall not be processed until the background check fee is received. If payment is not received within 30 days from the date of receipt of the application, the application will be denied. On 2/24/15 a DCI review was conducted at Hualapai Visitation . Question 8: Is written notification provided to the applicant if an application is not approved within 60 days of receipt? DO 911.01, 1.3.7; Finding: Visitor [redacted] visitor for [redacted] applied to visit 11/6/14. On 11/17/14 M59 printed the application. Then on 1/26/15 status was changed from see comments to pending ACJIS. Refer to DO 1.3.7 A properly completed visitation application shall be processed and approved or denied within 60 days of receipt of background check fee or verification of previous payment. If the visitation application cannot be finalized within this time frame, written notification explaining the delay, shall be provided to the applicant within three work days after the expiration period.	1

					On 2/24/15 a DCI review was conducted at Hualapai Visitation . Question 11 Are applications stamped "Received" including the date received on the reverse side? DO 911.01, 1.4.1; Finding: Visitor [redacted] for inmate [redacted] application was not stamped received. COIV Martin Refer to DO 1.4 Processing Visitation Applications - Visitation Staff shall: DO 1.4.1 Stamp the reverse side of the application "RECEIVED," including the date of receipt.	
					On 1/27/2015 a review of Hualapai visitation was conducted. It was noted that the following online applications had been pending since 9/5/2014. I/M [redacted] [redacted] DOB [redacted] [redacted] DOB [redacted] [redacted] DOB [redacted] COIV Martin Refer to DO911 1.3.1 An improper and/or incomplete visiting application shall be returned to the person submitting the application. The potential visitor shall have an opportunity to properly complete the returned visitor application(s) and return it through the mail to the unit where the inmate is assigned. 1.3.7 A properly completed visitation application shall be processed and approved or denied within 60 days of receipt of background check fee or verification of previous payment. If the visitation application cannot be finalized within this time frame, written notification explaining the delay, shall be provided to the applicant within three work days after the expiration period.	
					On 1/27/2015 a review of Hualapai visitation was conducted. It was noted that the following minors where still showing approved as of 2/4/15. I/M [redacted] Minor Child [redacted] DOB [redacted] I/M [redacted] Minor Child [redacted] [redacted] DOB [redacted] COIV Martin Refer to DO911 1.3.5.1 The one-time background check fee will not be applicable to minors. Upon reaching their 18th birthday, an ACIC/NCIC Wants and Warrants check will be run. Minors turning 18 will be required to apply for visitation privileges, and pay the one-time, $25.00 background check fee.	
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			Yes the east side of visitation however the area is monitored by unit main control via	1

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					camera BBA8	
7	Do the number of assigned staff seem adequate?	X			Yes BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			Yes BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes BBA8	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes BBA8	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes BBA8	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			Yes BBA8	2

Corrective Action Plans for Competency: VISITATION

5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made?
Level 1 Amber User: Matthew Martin Date: 2/4/2015 2:23:05 PM

Corrective Plan: This finding is incorrect for Kingman

The applications listed in this finding were originally submitted online by the visitors on 9/5/14 to the inmate's previous unit. The applications were forwarded to Kingman on 1/6/15 and Kingman visitation officers began processing them on 1/8/15, all of which is confirmed by the online time stamp. The application process was not completed by the inmate's previous unit nor forwarded to Kingman in a timely manner.

Corrective Actions: Corrective Actions were not necessary in this incident. ASPC-K-Hualapai visitation were not responsible for the lapse in application processing.

5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made?
Level 1 Amber User: Matthew Martin Date: 2/4/2015 2:29:46 PM

Corrective Plan: This finding is correct

Effective 2/18/15, both of the minor visitors were made inactive and sent out notification they must re-apply as adults, as well as pay the $25.00 background check fee. Visitation officers were reminded to utilize the AIMS batch report for minors turning 18 and make appropriate notifications and inactivations.

Corrective Actions: Corrective Actions were outlined and completed as part of the Corrective Action Plan.

5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made?
Level 1 Amber User: Matthew Martin Date: 2/26/2015 9:07:07 AM

Corrective Plan: This finding is only partially correct
A visitor profile was never created in AIMS by the inmate's previous unit and the application was not forwarded to Kingman until 1/6/15. In essence, this application should have been denied for non-payment at the previous unit and should not have been forwarded to Kingman for processing. The information contained in the above finding is also inaccurate. The visitor was not sent a denial letter from the previous unit as stated, he was sent a reminder of payment letter.
Once Kingman received the application, it should have either been denied for non-payment or not processed at all since it had already exceed the timeframes prior to being forwarded.

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CAP As of 3/2/15, the application for this visitor will be submitted for denial. Visitation staff will ensure that forwarded applications outside of timeframes will be immediately submitted for denial if payment has not been received..
Corrective Actions: Corrective actions are contained within the Corrective Action Plan. Visitation staff have been advised that time frames start when the application is submitted, not when it is received as ASPC-Kingman.
5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made? **Level 1 Amber User: Matthew Martin Date: 2/26/2015 9:16:35 AM**
Corrective Plan: This finding is correct As of 3/2/15, visitation staff have been instructed to ensure that notifications are submitted to visitors if application processing will exceed 60 days.
Corrective Actions: Corrective actions are contained within the Corrective Action Plan.
5 Observe the visitation check-in process. Have visitation incidents been documented properly and relevant AIMS entries made? **Level 1 Amber User: Matthew Martin Date: 2/26/2015 9:21:12 AM**
Corrective Plan: This finding is correct. The application for the mentioned visitor was processed without being stammped. This was corrected on the same day while COIV Martin was present. Visitation staff has been instructed, as of 2/24/15, to ensure that all applications are processed appropriately and completely.
Corrective Actions: Corrective actions are contained within the Corrective Action Plan.

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes DAX3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes DAX3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes DAX3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes DAX3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes DAX3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes DAX3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes DAX3	1
8	Are firearms qualification records current?	X			Yes DAX3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes DAX3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes DAX3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes DAX3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes DAX3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes DAX3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes DAX3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes DAX3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes DAX3	1
17	Are only authorized persons admitted into the armory?	X			Yes DAX3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes DAX3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes DAX3 the DW of complex no major for MTC	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on	X			Yes DAX3	2

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	most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes DAX3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes DAX3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes DAX3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes DAX3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes, unit is in compliance. BBA8	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes, unit post orders are place unit in compliance. BBA8	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes, BBA8	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			Yes, unit is in compliance. BBA8	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes, unit is in compliance. BBA8	1
6	* Required inspection forms	X			Yes, BBA8	1
7	* Frequency of inspections	X			Yes, BBA8	1
8	* Guidelines for checking security features	X			Yes, BBA8	1
9	* Procedure for reporting deficiencies	X			Yes, BBA8	1
10	Are security inspections kept on file?	X			Yes, BBA8	1
11	Is the unit in compliance with its own Post Order on inspections?	X			Yes, unit is in compliance. BBA8	2

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			Yes BBA8	2
2	Does the picture board match the count sheets?	X			Yes BBA8	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			Yes BBA8	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes. WLB1	1

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			Yes time frames are intact BBA8	1
2	Is detention unit sanitation meeting standards?	X			Yes. WLB1 Yes BBA8	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			Yes unit is in compliance BBA8	1
4	Did detention records reflect any curtailments of services?	X			No services have been curtailed during this GAR period. BBA8	1
5	Did detention logs contain, at a minimum, the required information?		X		No. In examining the Individual Inmate Detention Record (IIDR), of inmates housed in CDU on 03/12/2015, I noticed inmates who were marked down as refusing exercise time on March 9th, 10th and 11th, had no explanation as to why written in the comment section located on the back of the IIDR. [redacted]	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			Yes. WLB1 Yes BBA8	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			Yes BBA8	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			Yes. WLB1 Yes BBA8	2

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Corrective Action Plans for Competency: DETENTION
5 Did detention logs contain, at a minimum, the required information? **Level 1 Amber User: Leasure Schaulin Date: 3/18/2015 11:14:27 AM**
Corrective Plan: CAP Effective May 11, 2015 LT. King, detention supervisor, was instructed to ensure that the officers assigned to detention were entering a brief explanation if an inmate refused an activity (shower, recreation, etc.).
Corrective Actions: Corrective action contained in CAP

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes. WLB1	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			Yes. WLB1	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			Yes. WLB1	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			Yes BBA8	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			Proper searches and ID verification completed in accordance with policy. WLB1	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes. WLB1	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes BBA8	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes BBA8	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			No repairs needed for this GAR period	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.		X		Yes, the unit keys are stored to allow for easy determination of the presenceor absence of keys/key rings However,the master inventory hard copy list shows the hotbox keys that no longer exist need to be corrected. ASJ2	2
6	Upon key or key ring issuance or return, is an entry being made in a log?	X			Yes ASJ2	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Yes ASJ2	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			No, there are no take home keys for this unit. ASJ2	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes ASJ2	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes ASJ2	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes ASJ2	1
12	Is there a list of emergency key rings and their locations?	X			Yes ASJ2	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes ASJ2	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes ASJ2	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes, repainting needed starting to fade. ASJ2	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes, repainting needed paint starting to fade. ASJ2	1

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17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes ASJ2	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			No keys have been lost during this GAR period ASJ2	2

Corrective Action Plans for Competency: KEY CONTROL

5 Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.
Level 2 Amber User: Betty Barnes Date: 3/30/2015 5:27:48 AM

Corrective Plan: On Tuesday 03/31/2015 Officer Petersen ran an updated inventory list, and on 04/02/2015 took the updated list to Hualapai unit and placed it in the book.

Once a month Officer Petersen prints out a new updated key inventory list and personal replaces the old inventory with a new one. Officer Petersen also anytime there is any changes during the month he will do one of two things,
1) he will hand write the changes on that page pertaining to that key set,
2) if time allows he will print new sheets and replace them.

The key control officer has been directed that in the future, he will ensure that the current project he is working on is completed, to include all documentation, before moving on to other projects. The key control Supervisor will have to sign-off that the current project is complete before directing the officer to begin a new project.

DW Santiago

Corrective Actions: CAP has been updated with recommended corrective action per DW Santiago.

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			Yes. WLB1	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			Yes BBA8	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			Yes. WLB1	1
5	Is the mail-screening process in place effective?	X			Yes. WLB1	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			Yes. WLB1	1

4	Review Post Orders to ensure that local instructions are adequate.	X			Post Orders Instructions are adequate. WLB1	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			Yes. WLB1	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			Yes perimeter partol Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes on the first hour and at least two hours prior to the end of shift Dax3	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			Yes during inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			no Dax3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes Dax3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			No Dax3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No Dax3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No incident Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			No incident Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes. WLB1	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes. WLB1	1
3	Does staff transmit only communications that are job related?	X			Yes. WLB1	1
4	Are radio operators using profane or vulgar language?	X			No. WLB1	1
5	Are staff using unnecessary conversation on the radio?	X			No. WLB1	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes unit is in compliance. BBA8 Yes. WLB1	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes unit is in compliance. BBA8 Yes. WLB1	2

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SEARCHES

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Capt. Kraatz 3/9/15	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Capt. Kraatz 3/9/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Capt. Kraatz 3/9/15	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Capt. Kraatz 3/9/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Capt. Kraatz 3/9/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Capt. Kraatz 3/9/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		On 3/4/15 Per Capt. Winkler and Sgt. Ortega a Target Cell Search list is not being made each month. Only a random list is being generated. Capt. Kraatz 3/9/15 [redacted] On 3/4/15 I reviewed the search log and all of the CDU service journals for the month of February. They did not reflect that any searches took place for the month of February. Capt. Kraatz 3/9/15 [redacted]	1

					[redacted] On 3/4/15 I reviewed the search logs for the month of February. On 2/11/15 10 searches were the inmate name was left blank. 2/12/15 16 searches completed were the inmate names were left blank. 2/22/15 10 searches were the inmate name was left blank. 2/25/15 7 searches were the inmate name was left blank. For the type of search completed on these searches they were listed as living area and common areas. Some of them had bed locations listed but not inmate names. Capt. Kraatz 3/9/15 DO708 1.3 General Search Requirements 1.3.1 Staff shall document searches of inmate living areas, and any search in which contraband (other than nuisance contraband) is found in the Correctional Service Log, Form 105-6 and unit search log (or other means) to provide a permanent record of searches.	
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?		X		On 2/10/15 the service journal did not reflect that that searches were completed after inmates were moved out of beds [redacted] and [redacted] Capt. Kraatz 3/9/15 [redacted] Capt. Kraatz 3/9/15	1

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10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Capt. Kraatz 3/9/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Capt. Kraatz 3/9/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Capt. Kraatz 3/9/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Capt. Kraatz 3/9/15	1

Corrective Action Plans for Competency: SEARCHES

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 3/9/2015 8:44:54 AM

Corrective Plan: As of March 10, 2015 a Target Search List was and will continue to be generated from the captain's office in conjunction with assigned SSU staff.

Corrective Actions: Corrective action contained in CAP.

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 3/9/2015 8:50:11 AM

Corrective Plan: Corrective Action Plan as follows:
CDU staff were directed by memo and in person by Lt. King that cells would be searched and documented in both the HU 5 CSL and the Unit Search Log whenever an inmate moved into or out of a cell. regular review of the HU CSL and Unit Search Log shows improvement in this area.

Corrective Actions: Corrective action contained in CAP

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 3/9/2015 8:56:24 AM

Corrective Plan: Corrective Action Plan as follows:
We continue to cover this in daily briefings, discuss at Supervisors meetings, review CSL's and Unit Search Log and address individual staff and Supervisors through progressive disciplinary.

In review of the search log, only entries in which names of inmates was not present were of vacant bunks. These searches of vacant bunks are conducted on Graveyard Shift and when an inmate has been transferred or moved. Search logs will be reviewed daily by the Shift Commanders or supervisors to ensure accuracy.

Corrective Actions: Corrective action contained in CAP

9 Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?
Level 1 Amber User: Adam Kraatz Date: 3/9/2015 8:47:18 AM

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Corrective Plan: This finding is correct. We continue to monitor searches in the CSL's and in the Unit Search Log. We address deficiencies individually with the staff who did not log them and with the Supervisors who review documentation. We will continue to monitor this and strive to improve. As this has been an ongoing issue, we will continue to re-train staff and supervisors on the proper journal entries for logging searches of vacated beds. It would be helpful in knowing which staff was responsible for the logs when these findings are made. This way the staff can be re-trained or disciplined (if applicable) for consistent errors.
Corrective Actions: Corrective action contained in CAP

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes WRO1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes WRO1	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes WRO1	1
4	* Unit Control rooms	X			Yes WRO1	1
5	* Security system warning panels	X			Yes WRO1	2
6	* Applicable perimeter detection devices	X			Yes WRO1	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes WRO1	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes WRO1	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes WRO1	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes WRO1	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes WRO1	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes WRO1	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes WRO1	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes WRO1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes twice per shift WRO1	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift WRO1	1
	Conduct a perimeter check, to look for the following:					

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17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes WRO1	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No WRO1	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No WRO1	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No WRO1	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No WRO1	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No WRO1	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No WRO1	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No WRO1	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes WRO1	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes WRO1	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes WRO1	2
28	Is the electronic system tested at the beginning of shift?	X			Yes WRO1	1
29	Is the electronic system tested at the end of shift?	X			Yes WRO1	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Yes twice per shift WRO1	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift WRO1	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes WRO1	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes WRO1	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes Hualapai medical is in compliance. BBA8	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Yes Unit is in compliance. BBA8	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes BBA8	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			Yes BBA8	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes BBA8	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			Yes BBA8	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes BBA8	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes BBA8	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			4 ft ladder used in unit kitchen all others ladders are stored and checked out from complex. BBA8	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes BBA8	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes BBA8	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			No ladder in use during this tour. BBA8	2
13	Have any tools been misplaced or lost in the past 90 days?	X			No BBA8	2
	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			Yes BBA8	2
	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Yes BBA8	1

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16	Inspect any kitchen tool shadow boards in use.	X			Unit in compliance BBA8	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes BBA8	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes BBA8	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes BBA8	1

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			Yes, BBA8	2
2	Examine the tower facility and operations, including weapon security procedures.	X			Unit is in compliance. BBA8	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			Yes, unit is in compliance. BBA8	1
4	Is staff following the Post Orders for tower operations?	X			Yes, BBA8	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes BBA8	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes BBA8	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes BBA8	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes BBA8	1
5	Are the inmates being transported properly accounted for?	X			Yes BBA8	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes BBA8	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes BBA8	1
8	Are searches of transported inmates completed as required?	X			Yes BBA8	1
9	Are inmates transported with escape flyers?	X			Yes BBA8	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			Yes BBA8	1
2	Are the staff requiring and checking identification?	X			Yes BBA8	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			Yes BBA8	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes, per Monitoring Captain. BBA8	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes BBA8	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X				1
7	Do the number of assigned staff seem adequate?	X			Yes BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			Yes BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes BBA8	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes BBA8	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes BBA8	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			Yes BBA8	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes DAX3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes DAX3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes DAX3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes DAX3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes DAX3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes DAX3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes DAX3	1
8	Are firearms qualification records current?	X			Yes DAX3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes DAX3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes DAX3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes DAX3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes DAX3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes DAX3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes DAX3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes DAX3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes DAX3	1
17	Are only authorized persons admitted into the armory?	X			Yes DAX3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes DAX3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes D. W. of operations no major DAX3	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on	X			Yes completed on 03/18/19 DAX3	2

	most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes DAX3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes DAX3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes DAX3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes DAX3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes. WLB1	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes. WLB1	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes. WLB1	1
4	Are emergency contact list for employees and resources readiiy available, in the even of an incident?	X			Yes. WLB1	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes. WLB1	1
6	* Required Inspection forms	X			Yes. WLB1	1
7	* Frequency of inspections	X			Yes. WLB1	1
8	* Guidelines for checking security features	X			Yes - BBA8	1
9	* Procedure for reporting deficiencies	X			Yes. WLB1	1
10	Are security inspections kept on file?	X				1
11	Is the unit in compliance with its own Post Order on inspections?	X				2

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is inmate movement controlled/coordinated by staff?	X				2
2	Does the picture board match the count sheets?	X				1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes. Times are: [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X				1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X				1

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DETENTION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.		X		Inmates [redacted] and [redacted] were issued disciplinary on 03/21/15. The disciplinary reports were given to the coordinator on 04/02/15. No 2A forms were in the packets, justifying an investigation and displinary having been turned in out of time frames. Capt. Winckler was addressed. He advised that he had the 2A's and would turn them into the coordinator.	1
2	Is detention unit sanitation meeting standards?	X				1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X				1
4	Did detention records reflect any curtailments of services?	X				1
5	Did detention logs contain, at a minimum, the required information?		X		No on 4/23/15 I reviewed some of the detention logs and the detention assignment checklists were missing information on medical. [redacted] missing date medical was notified, [redacted] missing medical staff members name that was notified, [redacted] no medical staff embers name, date or time medical notified. Capt. Kraatz 4/27/15 DO804 1.4 Detention Unit Logs - Detention logs shall be maintained to document inmate behavior and other activities outlined on the Individual Inmate Detention Record, Form 804-3. Detention logs shall include, but not be limited to: 1.4.1 Inmate intake information using the Detention Assignment Checklist, Form 804-1. The receiving unit staff shall: 1.4.1.1 Notify Health Services staff within one hour of the inmate being placed in detention. If Health Services staff are not immediately available, notifications shall be made within one hour of Health Services staff coming on duty. This applies to non-corridor facilities only. 1.4.1.2 Document that Health Services staff was notified on the Detention Assignment Checklist in the section labeled "Special Conditions". Documentation shall include the name of the nurse and the date and time the notification took place. 1.4.1.2.1 Health Service communications/visits shall be logged in the affected control room officer's Correctional Service Journal.	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X				1
8	Are random, periodic inmate weifare checks conducted at specified intervals designated, ensuring patterns do not develop.	X				2

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6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?		X		On 4/23/15 Myself and Capt. Arredondo noticed the staff did not strip search the inmate before removing him from the cell. Capt. Kraatz 4/27/15 [redacted]	2

Corrective Action Plans for Competency: DETENTION

1 For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.
Level 1 Amber User: Samuel Arredondo Date: 4/3/2015 4:33:34 PM

Corrective Plan: This finding is correct.
Corrective Action Plan and actions as follows: Captain Winckler had the 2A's in a pile of paperwork on his desk. He, the ADW and the CPS were personally counseled by me about the importance of monitoring all inmates in Detention, insuring the paperwork required for their detention status is reviewed and submitted to correct staff in a timely manner.
Twice weekly reviews of the detention report are completed to insure any corrective actions needed are completed immediately.

All of the shift supervisors and lieutenants were advised that once the 2A forms have been signed, a copy is to be placed in the inmate's detention file. Lt. King has been instructed to ensure, weekly, that the appropriate forms have been placed into the inmate's file.

CPS Rydgren has been instructed to ensure that when an inmate is placed into detention for disciplinary reasons, that a disciplinary report has been logged into AIMS within the first week. If not, she must immediately contact the ADOC DHO to determine if they have received the ticket.

Corrective Actions: Corrective action contained in CAP

5 Did detention logs contain, at a minimum, the required information?
Level 1 Amber User: Adam Kraatz Date: 4/27/2015 7:22:45 AM

Corrective Plan: Corrective action plan as follows:
Daily review of all detention assignment checklists takes place at morning briefings. All staff at that meeting have been advised to pay close attention to any missing information, to note it during the meeting and advise Lt. King. He will then get the correct information, relay it to the CDU staff who will notate/correct it on the assignment checklists and or detention logs.
All Supervisors are tasked to complete detention assignment checklists so this finding was shared with them also.

Corrective Actions:

6 Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?
Level 2 Amber User: Adam Kraatz Date: 4/27/2015 7:25:27 AM

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Corrective Plan: This finding is correct. All detention unit staff has been advised, as of the date of this finding, that they MUST strip search inmates prior to any movement from the cell. The staff were spoken to as a group as the finding did not specify which staff were in violation of this policy.
Corrective Actions: Corrective action contained in CAP

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INGRESS/EGRESS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes. WLB1	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			Yes. WLB1	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			Yes. WLB1	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			Yes. WLB1	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			Proper searches and ID verifications are being completed on those who enter the unit. WLB1	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes. WLB1	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X				3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X				1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X				2
4	Have keys been Inspected for proper function, and repairs or replacement made as needed?	X				1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X				2
6	Upon key or key ring issuance or return, is an entry being made In a log?	X				1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X				2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X				1
9	Review the records of key duplications; are they incompliance with policy?	X				1
10	Are key blanks and key cutting equipment secured when not in use?	X				2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X				1
12	Is there a list of emergency key rings and their locations?	X				1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X				1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X				1
15	Do the names of the staff members present (at time of red seai break and restoration) appear in the Correctional Service Log (or equivalent)?	X				1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a coiored circle, or dot, with the alpha designator stenciled within the circle.	X				1

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17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X				2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X				2

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MAIL/PROPERTY						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are two staff members present when conducting inmate property inventories, when required?	X				1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant Inventory form(s)?	X			Reviewed several inventories. Paperwork is correct. Reviewed inventories. Paperwork is filled out correctly.	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X				1
5	Is the mail-screening process in place effective?	X				1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X				1

4	Review Post Orders to ensure that local instructions are adequate.	X				1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			Complex mail & property scans the outgoing mail.	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X				2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X				1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X				1
4	Is the perimeter being checked at the beginning of shift?	X			Yes. WLB1	1
5	Is the perimeter being checked at the end of shift?	X			Yes. WLB1	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X				1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X				1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			Zone 9 has a static officer post.	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes. WLB1	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No detriment to the performance of perimeter duties is done when checking parking lots for suspicious, idling, or abandoned vehicles. WLB1	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No -ASJ2	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes. -ASJ2	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes -ASJ2	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence	X			No. -ASJ2	3

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	structure?					
15	If possible to observe, are there any missing or displaced fence ties?	X			No. -ASJ2	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO. -ASJ2	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No. -ASJ2	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No. -ASJ2	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No. -ASJ2	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No -ASJ2	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X				1
22	Are perimeter findings being documented appropriately, when they do occur?	X				1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes -ASJ2	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Yes. -ASJ2	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No. -ASJ2	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes. -ASJ2	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes. -ASJ2	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes. WLB1	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes. WLB1	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes. WLB1	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No - BBA8	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes, twice. -ASJ2	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No. -ASJ2	2

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35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes. -ASJ2	2
36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X				3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes. At zone 9. -ASJ2	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes. -ASJ2	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No. -ASJ2	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes. -ASJ2	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X				1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X				2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X				2

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RADIOS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are inventories of radios maintained?	X			Yes. WLB1	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes - BBA8	1
3	Does staff transmit only communications that are job related?	X			Yes. WLB1	1
4	Are radio operators using profane or vulgar language?	X			No - BBA8	1
5	Are staff using unnecessary conversation on the radio?	X			No unnecessary conversations noticed during radio transmissions. WLB1	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes. WLB1	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes. WLB1	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes - BBA8 Per unit Captain	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes - BBA8	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Yes - BBA8	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			There are no inmates assigned outsie of the unit	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes - BBA8	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. WLB1 Yes - BBA8	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?	X			Yes - BBA8	1
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. WLB1	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. WLB1	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes - BBA8	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes - BBA8	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes - BBA8	1

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SECURITY DEVICES						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes. WLB1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes. WLB1	2

	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes BBA8	1
4	* Unit Control rooms	X			Yes BBA8	1
5	* Security system warning panels	X			Yes BBA8	2
6	* Applicable perimeter detection devices	X			Yes BBA8	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes - BBA8	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes - BBA8	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes - BBA8	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes - BBA8	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes - BBA8	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes - BBA8	1
13	is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes - BBA8 Yes. WLB1	1
14	is the exterior/interior perimeter being checked at the end of shift?	X			Yes - BBA8 Yes. WLB1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			No - BBA8	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			No - BBA8	1

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	Conduct a perimeter check, to look for the following:					
17	is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes - BBA8	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No - BBA8	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No - BBA8	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No - BBA8	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No - BBA8	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No - BBA8	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No - BBA8	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No - BBA8	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			unit is in compliance	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes - BBA8	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes - BBA8 Yes. WLB1	2
28	is the electronic system tested at the beginning of shift?	X			Yes. WLB1 Yes - BBA8	1
29	Is the electronic system tested at the end of shift?	X			Yes - BBA8 Yes. WLB1	1
30	is the electronic system tested at other fixed times during the shift? If so, when?	X			No - BBA8	1
31	is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			No - BBA8	1
32	is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes - BBA8	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			There during this GAR period	2

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TOOL CONTROL						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X				2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X				1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?		X		Kitchen - Rubber boots (Class A tools) are not shadowed and are stored in the sally port in the back of the kitchen. Need to be shadowed and secured. Policy: 712 1.3.1.1 Class A tools shall only be used under staff supervision and have their own hanging device and shadow on the board. Class A tools shall be stored in a secured tool room or storage area when not in use.	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X				1
5	Is the Tool Control Officer conducting a daily tool inventory?	X				1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X				1
7	Does the Tool Control Officer document unserviceable tools for removal?	X				1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?		X		Kitchen - Rubber boots (Class A tools) are not shadowed and are stored in the sally port in the back of the kitchen. Need to be shadowed and secured. Policy: 712 1.3.1.1 Class A tools shall only be used under staff supervision and have their own hanging device and shadow on the board. Class A tools shall be stored in a secured tool room or storage area when not in use. Addressed Captain Winckler about the rubber boots in the kitchen not be shadowed. He explained that he as the boots on an equipment inventory instead of tool inventory. Capt. Arredondo following up with policy and will meet again with Capt. Winckler. 712.02 TOOL SECURITY AND STORAGE 1.1 All tools shall be stored on a shadow board in such a manner that their presence or absence can be readily determined. Tools that cannot be adapted to the shadow board shall be stored in a secured area as approved by the Chief of Security. -ASJ2	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X				1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X				1

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11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X				1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X				2
13	Have any tools been misplaced or lost in the past 90 days?	X			No.	2
	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?		X		Medical - Master tool inventory is dated December 2013. Needs to be updated. Stethoscopes don't exist but are still on inventory. Policy: 1.2.3 The Chief of Security over assigned tool areas shall: 1.2.3.1 Maintain a current inventory of all tools assigned to the unit using a Master Tool Inventory, Form 712-5, or the standardized computer-generated inventory report of the same form.	2
	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X				1
16	Inspect any kitchen tool shadow boards in use.	X				1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X				1
	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X				1
	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X				1

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Corrective Action Plans for Competency: TOOL CONTROL
3 Inspect all tool storage areas and review controls and documentation. Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements? **Level 1 Amber User: Samuel Arredondo Date: 4/15/2015 6:45:46 AM**
Corrective Plan: This finding is not correct. Rubber boots are not class A tools. They are designated as equipment, are numbered, are issued utilizing an equipment issue form and are accounted for daily and logged in the kitchen Correctional Service Log.
Corrective Actions: Corrective action contained within the CAP.
8 Inspect all tool storage areas and review controls and documentation. Are Class A and Class B tools properly classified and used/ issued/stored appropriately? **Level 2 Amber User: Samuel Arredondo Date: 4/15/2015 6:46:36 AM**
Corrective Plan: This finding is not correct. Rubber boots are not class A tools, they are equipment. They are accounted for by being numbered, issued utilizing an equipment issue form and accounted for daily in the kitchen Correctional Service Log.
Corrective Actions: Corrective action contained within the CAP
14 Physically inspect each area where medical and dental tools and/or sharps are stored. Do medical and dental tool and sharp counts match their inventories? **Level 2 Amber User: Samuel Arredondo Date: 4/15/2015 6:47:12 AM**
Corrective Plan: Corrective Action Plan and Corrective Actions as follows: The Master Tool Inventory was replaced on 04/15/15 with the correct one. The Master Tool Inventory had been updated prior to this finding and placed in Medical, but staff found an old one in a drawer and utilized it instead. The updated Master Tool Inventory does not have stethoscopes on it. All old/outdated documentation has been removed from the medical area.
Corrective Actions: Corrective action contained within the CAP.

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TOWERS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X				2
2	Examine the tower facility and operations, including weapon security procedures.	X			CO Proctor was assigned to the tower. Post orders and POGO are up to date. Munitions inventory is accurate. Area is clean. -ASJ2	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			Yes. ASJ2.	1
4	Is staff following the Post Orders for tower operations?	X			Yes. ASJ2.	2

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TRANSPORTATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes. -ASJ2	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes. -ASJ2	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes. -ASJ2	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes. -ASJ2	1
5	Are the inmates being transported properly accounted for?	X			Yes. -ASJ2	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes. -ASJ2	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes. -ASJ2	1
8	Are searches of transported inmates completed as required?	X			Yes. -ASJ2	1
9	Are inmates transported with escape flyers?	X			Yes. -ASJ2	1

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VISITATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			Yes	1
2	Are the staff requiring and checking identification?	X			Yes. WLb1 Yes	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			Unable to observe strips due tio gender however, staff were able to speak to the process. Prior entry entered in error Yes MTC are searching inmates and visitors as per policy	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes pat-searches are being conducted properly. Was not able to observer strips due to gender however, staff were adble to speak on the process when asked.	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes BBA8	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			[redacted]	1
7	Do the number of assigned staff seem adequate?	X			yes- BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			Yes BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes BBA8	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes BBA8	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes BBA8	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			Yes BBA8	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X				1
2	Are there enough classes and range times available to support the needs of the institution?	X			Twice per month.	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Those who fail twice at the range will go to remedial training and qualification. -ASJ2.	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X				1
5	Obtain and review the Warden's file of firearm training incidents.	X				1
6	Is firearm training and qualification conducted in compliance with policy?	X				1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X				1
8	Are firearms qualification records current?	X				1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X				1
10	Are DART weapons and required ammunition conveniently available?	X				1
11	Are all DART Team members informed of the pre-designated staging area?	X				1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X				2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes - BBA8	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X				1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X				1
16	Are fully charged fire extinguishers installed in the armory?	X				1
17	Are only authorized persons admitted into the armory?	X				1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X				2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			No Major. Armory CO Arias explained that monthly inventories are conducted with Complex ADW Santiago.	2
20	Conduct a physical count to confirm accuracy of	X				2

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	weapons and munitions counts described on most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X				2
22	Are staff logging red seal numbers at the start and end of each shift?	X				2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X				2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X				1

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes. -ASJ2.	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes. -ASJ2.	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes. -ASJ2.	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			Yes. -ASJ2.	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes. -ASJ2.	1
6	* Required inspection forms	X			Yes. -ASJ2.	1
7	* Frequency of inspections	X			Yes. -ASJ2.	1
8	* Guidelines for checking security features	X			Yes. -ASJ2.	1
9	* Procedure for reporting deficiencies	X			Yes. -ASJ2.	1
10	Are security inspections kept on file?	X			Yes. -ASJ2.	1
11	Is the unit in compliance with its own Post Order on inspections?	X			Yes. -ASJ2.	2

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			Yes. WLB1	2
2	Does the picture board match the count sheets?	X			Yes. WLB1	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?		X		Yes. However, on 05/08/15, the Housing Unit Security Officer prefilled out his count sheet for the 1100 hours formal count. I was advised by the Officer that he prefills out the vacancies prior to the 1100 hours count. During my observation of the 1100 hours count process, the Officer found a discrepancy with the information he had prefilled out on the count sheet. Inmate [redacted], had moved into [redacted] approximately one hour prior to count starting. WLB1	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes. WLB1	1

Corrective Action Plans for Competency: COUNTS/INMATE MOVEMENT
5 Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet? **Level 1 Amber User: Leasure Schaulin Date: 5/12/2015 4:59:33 PM**
Corrective Plan: Corrective action plan as follows: This finding and a review of the policy and post order was conducted via phone briefing for several days following the submission of this finding. All staff have been reminded/advised that counts are one of the most important things we do, that "shortcuts" are not allowed or authorized and that progressive disciplinary will be utilized to address repeat violations.
Corrective Actions:

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			During GAR period, time frames compliance met. WLB1	1
2	Is detention unit sanitation meeting standards?	X			Yes. -ASJ2	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			Compliance during this GAR period is being met. WLB1	1
4	Did detention records reflect any curtailments of services?	X			No. WLB1	1
5	Did detention logs contain, at a minimum, the required information?		X		No. On 05/08/15, during a tour of CDU, I observed numerous refusals (indicated by the letter "R"), of exercise time, marked down on the Inmate Detention Records for May 4th, 5th, 6th, and 7th , with no explanation entered in the comment section. Department Order 704: 1.6. The Individual Inmate Detention Record shall accurately reflect: 1.6.1.1 The date and time of each inmate's exercise, shower, telephone and recreation area used. 1.6.1.2 Whenever a "Y" (indicating "yes") is not marked in an activity column, a brief explanation shall be entered in the restrictions/comment section (such as loss of privileges, inmate refused shower, inclement weather, etc). WLB1	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			Yes. ASJ2	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			Yes. ASJ2	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			Yes. WLB1	2

Corrective Action Plans for Competency: DETENTION

5 Did detention logs contain, at a minimum, the required information?
Level 1 Amber User: Leasure Schaulin Date: 5/12/2015 5:38:58 PM

Corrective Plan:

Corrective Actions:

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes. WLB1	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			Yes. WLB1	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			Yes. WLB1	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			Yes. WLB1	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			Proper searches and ID verifications on both staff and inmate visitors were being completed on 05/05/15.	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes. WLB1	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes. -ASJ2	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes. -ASJ2	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes. -ASJ2	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Yes. -ASJ2	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Yes. -ASJ2	2
6	Upon key or key ring issuance or return, is an entry being made in a log?	X			Yes. -ASJ2	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Yes. -ASJ2	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes. -ASJ2	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes. -ASJ2	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes. -ASJ2	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes. -ASJ2	1
12	Is there a list of emergency key rings and their locations?	X			Yes. -ASJ2	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes. -ASJ2	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes. -ASJ2	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes. -ASJ2	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Colors are faded and need to be repainted. -asj2. Yes, but colors on the emergency key rings are very faded. Capt. Winckler has been advised. -ASJ2	1

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					Follow-up. Emergency key rings have been repainted and a color map was posted under the emergency key list. -ASJ2	
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes. -ASJ2	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			No. None lost. ASJ2	2

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MAIL/PROPERTY

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?		X		This finding is not reflective of this competency but is related to inventories being completed prior to inmate movement to higher custody unit and/or other complexes. On 05/06/2015 the following inmates were transferred to the Cerbat unit without inventories being conducted. [redacted] - BBA8 909.04 PROPERTY INVENTORY 1.1 Assigned staff shall complete an inventory of an inmate's property, using the Inmate Property Inventory, Form 909-4, and when appropriate, the Inmate Property Inventory Supplement, Form 909-1, when the inmate: 1.1.1 Arrives at a Reception Center. 1.1.2 Is transferred from one institution to another institution. 1.1.3 Is transferred from one unit to a unit of a higher custody level. 1.1.4 Is transferred from general population to a segregated population. 1.1.5 Is released from Department custody. 1.1.6 Is assigned to temporary placement. 1.1.7 Escapes. 1.1.8 Is deceased. 1.2 Assigned staff may permit the inmate to pack his/her personal property without a staff member completing an inventory when the inmate is to be transferred between units of the same custody level within the same institution. Property of inmates moving into double-bunked cells shall be searched. Assigned staff shall conduct a visual inspection of the the inmate's property before permitting the items to be packed by the inmate, with a focus on the discovery of suspicious or excessive property.	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of	X			Yes. ASJ2	1

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	each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?					
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			Yes. ASJ2	1
5	Is the mail-screening process in place effective?	X			Yes. ASJ2	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			Yes. -ASJ2	1

4	Review Post Orders to ensure that local instructions are adequate.	X			Yes. ASJ2	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			Yes. ASJ2	1

Corrective Action Plans for Competency: MAIL/PROPERTY
1 Are two staff members present when conducting inmate property inventories, when required? **Level 1 Amber User: Betty Barnes Date: 5/6/2015 11:20:58 AM**
Corrective Plan: Effective 5/20/15, Captain Winckler instructed all shift supervisors and commanders to have security staff complete property inventories for inmates transferring from Hualapai Unit to Cerbat Unit.
Corrective Actions:

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes. ASJ2	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes. ASJ2	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes. ASJ2	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes. ASJ2	1
5	Is the perimeter being checked at the end of shift?	X			Yes. ASJ2	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			Yes. Continuous Perimeter officer. ASJ2.	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Not randomly, but continuously. ASJ2.	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			An officer is posted in Zone 9, due to escape in 2010.	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes. ASJ2.	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No. ASJ2.	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No. ASJ2.	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes. ASJ2	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes. ASJ2	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			No. ASJ2.	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			No. ASJ2.	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No. ASJ2.	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No. ASJ2.	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No. ASJ2.	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No. ASJ2.	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No. ASJ2.	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			ASJ2.	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes. ASJ2.	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes. ASJ2.	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes. ASJ2.	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes. ASJ2.	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No. ASJ2.	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes. ASJ2.	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes. ASJ2.	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes. ASJ2.	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes. ASJ2.	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes. ASJ2.	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No. ASJ2.	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			No. ASJ2.	1
34	Has the electronic system given any false alarms in the last 30 days?	X			Yes. ASJ2. 3 microwaves and the vehicle sally port.	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes. ASJ2. Yes. ASJ2.	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			ASJ2.	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes. ASJ2.	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes. ASJ2.	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No incidents. ASJ2.	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes. Sally ports. ASJ2.	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes. ASJ2.	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			No. ASJ2.	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			ASJ2.	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes. WLB1 Previously noted that the radio inventory was dated 03/19/15. It is now updated (05/22/15). ASJ2	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes. WLB1	1
3	Does staff transmit only communications that are job related?	X			Yes. WLB1	1
4	Are radio operators using profane or vulgar language?		X		RADIOS Yes. On 05/08/15, at approximately 1347 hours, an Officer transmitted over the radio, "Send his ass back." The Officer was referring to an inmate he wanted returned to his location. The inmate had just left the Officer's area prior to him requesting a staff member send the inmate back. This issue was immediately addressed by the Officer's supervisor(s), as well as by the Unit's Chief of Security. WLB1 DEPARTMENT ORDER 104 COMMUNICATION SYSTEM 104.06 OPERATION OF RADIO EQUIPMENT 1.1 Base station operators, hand-held radio operators and any staff member assigned a radio shall, when operating their equipment: 1.1.5 Use language that is neither profane nor vulgar. No. WLB1	1
5	Are staff using unnecessary conversation on the radio?	X			No. WLB1	1
6	Are assigned call numbers used during each radio transmission, except while under ICS?	X			Yes. WLB1	1

Corrective Action Plans for Competency: RADIOS

4 Are radio operators using profane or vulgar language?
Level 1 Amber User: Leasure Schaulin Date: 5/29/2015 8:44:35 PM

Corrective Plan: This was an isolated incident that was addressed and corrected immediately as noted in the finding. Any staff found to be using inappropriate language while operating a radio will be disciplined appropriately.

Corrective Actions:

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes. WLB1	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes. WLB1	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes. -ASJ2.	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes. -ASJ2.	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Yes. -ASJ2.	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes. -ASJ2.	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes. -ASJ2.	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. -ASJ2.	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?	X			Yes. -ASJ2.	1
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. -ASJ2.	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. -ASJ2.	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes. -ASJ2.	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes. -ASJ2.	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes. -ASJ2.	1

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes. -ASJ2	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes. -ASJ2	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes. -ASJ2	1
4	* Unit Control rooms	X			Yes. -ASJ2	1
5	* Security system warning panels	X			Yes. -ASJ2	2
6	* Applicable perimeter detection devices	X			Yes. -ASJ2	2
7	Are security device deficiencies repaired in a timely manner?	X			Window in Dorm 3 and windows in cell 3 in medical are still waiting for the new windows to arrive. -asj2.	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes. -ASJ2	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes. -ASJ2	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit– to include inmate living quarters and activity areas?	X			Yes. -ASJ2	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes. -ASJ2	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes. -ASJ2	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes. -ASJ2	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes. -ASJ2	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			No. -ASJ2	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			No. -ASJ2	1

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	Conduct a perimeter check, to look for the following:					
17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes. ASJ2 Yes. -ASJ2	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No. ASJ2	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO. ASJ2.	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			NO. ASJ2	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			NO. ASJ2	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			NO. ASJ2	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			NO. ASJ2	2
24	Are there any signs of wildlife that threaten fence integrity?	X			NO. ASJ2	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			YES. ASJ2.	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			YES. ASJ2	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			YES. ASJ2.	2
28	Is the electronic system tested at the beginning of shift?	X			YES. ASJ2.	1
29	Is the electronic system tested at the end of shift?	X			YES. ASJ2.	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			NO.ASJ2.	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			No. ASJ2	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes. ASJ2	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes. ASJ2	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X				2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.		X		On 5/14/15 while conducting an inventory of the tools in the Control Tool Box 1 in Hualapai Control I noticed a discrepancy on the Master Tool Inventory. The inventory lists KC15 as a slotted screwdriver but it is a phillips scredriver. The inventory lists KC18 as a phillips screwdriver but it is a standard screwdriver (slotted) Capt. Kraatz 5/15/15 [redacted]	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Upon touring the dry storage area on 05/15/15, I observed the pallet jack which is stored in this area. A master inventory was posted on the wall above the pallet jack, but was dated December 1, 2014. This needs to be updated. I addressed this with Capt. Winckler and will follow up for compliance by 05/22/15. -ASJ2. [redacted]	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?		X		On 5/14/15 I reviewed the 14 days worth of Tool Check-Out forms for May that were in Hualapai Control for the zone rake. 26 of of them were not filled out completely. They were missing dates, times, initials, names, or signatures. Also, 6 of them still had the yellow copy attached. Capt. Kraatz 5/15/15 DO712 712.02 TOOL SECURITY AND STORAGE 1.2 Tool Rooms/Inventories 1.2.1 The Tool Control Officer shall: 1.2.1.1 Ensure that all tools are checked-out and returned using the Tool Check-Out, Form 712-4. The bottom copy shall be provided to the requestor with the tools at the time of check-out.	1
5	Is the Tool Control Officer conducting a daily tool inventory?		X		5/14/15 while conducting a tool inventory in Hualapai Control the HKU tool box (BBQ tool Box) did not have a master tool	1

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					Inventory. The Officer in control contracted the shift commander and a few minutes later the Lt. brought a tool inventory for the tool box but it was from April 2015. Capt. Kraatz 5/15/15 712.02 TOOL SECURITY AND STORAGE 1.2 Tool Rooms/Inventories 1.2.1 The Tool Control Officer shall: 1.2.1.4 Post inventory sheets of the tools stored in each tool storage area.	
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X				1
7	Does the Tool Control Officer document unserviceable tools for removal?	X				1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X				2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			ASJ2.	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Kitchen class A cage - thermometers A1 and A2 need to be repainted. The shadows do not matche the shape of the thermometers. Informed Captain Winckler and will follow up. 712.02 TOOL SECURITY AND STORAGE 1.1 All tools shall be stored on a shadow board in such a manner that their presence or absence can be readily determined. Tools that cannot be adapted to the shadow board shall be stored in a secured area as approved by the Chief of Security. ASJ2.	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			-ASJ2.	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			-ASJ2.	2
13	Have any tools been misplaced or lost in the past 90 days?	X			-ASJ2.	2

	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			-ASJ2.	2

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Yes. -ASJ2.	1
16	Inspect any kitchen tool shadow boards in use.	X			Kitchen Thermometers A1 and A2 and their respective shadows do not match. They need to be repainted to reflect the correct shape. Advised Captain Winckler of this discrepancy and requested it be fixed by Friday, May 22. Captain Arredondo will follow up.	1

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					712.02 TOOL SECURITY AND STORAGE 1.1 All tools shall be stored on a shadow board in such a manner that their presence or absence can be readily determined. Tools that cannot be adapted to the shadow board shall be stored in a secured area as approved by the Chief of Security. Kitchen Thermometers A1 and A2 and their respective shadows do not match. They need to be repainted to reflect the correct shape. Advised Captain Winckler of this discrepancy and requested it be fixed by Friday, May 22. Captain Arredondo will follow up. 712.02 TOOL SECURITY AND STORAGE 1.1 All tools shall be stored on a shadow board in such a manner that their presence or absence can be readily determined. Tools that cannot be adapted to the shadow board shall be stored in a secured area as approved by the Chief of Security. -ASJ2 UPDATE: Thermometer shadows have been repainted and are in a similar shape as per policy. -ASJ2	
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes. ASJ2. Yes. ASJ2.	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes. ASJ2.	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes. ASJ2.	1

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Corrective Action Plans for Competency: TOOL CONTROL
2 Inspect all tool storage areas and review controls and documentation. Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy. **Level 1 Amber User: Adam Kraatz Date: 5/15/2015 2:03:22 PM**
Corrective Plan: On 5/20/15, I reviewed the current Master Tool Inventory in the Control Tool Box. KC15 is now listed as a Phillips screwdriver and KC18 is now listed as a slotted screwdriver.
Corrective Actions:
4 Inspect all tool storage areas and review controls and documentation. Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out? **Level 1 Amber User: Adam Kraatz Date: 5/15/2015 1:33:05 PM**
Corrective Plan:
Corrective Actions:
5 Inspect all tool storage areas and review controls and documentation. Is the Tool Control Officer conducting a daily tool inventory? **Level 1 Amber User: Adam Kraatz Date: 5/15/2015 1:27:18 PM**
Corrective Plan: Upon investigation it was discovered that the master tool inventory was lost during use of the tool cage. The tool control officer has replaced the master tool inventory with a current May inventory. The tool control officer will continue to conduct inspections of the tool areas to ensure proper paperwork is present. In addition he has been directed to conduct a check when the tool cage is removed from the control room for use.
Corrective Actions: Corrective action contained in CAP

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			Yes-BBA8 Yes. -as|2	2
2	Examine the tower facility and operations, including weapon security procedures.	X			as of this GAR period unit is in compliance-BBA8	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			Yes. -as|2 Yes-BBA8	1
4	Is staff following the Post Orders for tower operations?	X			Yes-BBA8 Yes. -as|2	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes. -ASJ2	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes. -ASJ2	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes. -ASJ2	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes. -ASJ2	1
5	Are the inmates being transported properly accounted for?	X			Yes. -ASJ2	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes. -ASJ2	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes. -ASJ2	1
8	Are searches of transported inmates completed as required?	X			Yes. -ASJ2	1
9	Are inmates transported with escape flyers?	X			Yes. -ASJ2	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			Yes- BBA8	1
2	Are the staff requiring and checking identification?	X			Yes- BBA8	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			Yes- BBA8	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes- BBA8	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes- BBA8	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			No - There was a blind spot on the south side of visitation however, this issue has been resolved by the unit by building a platform for the staff. BBA8	1
7	Do the number of assigned staff seem adequate?	X			Yes- BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			Yes- BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes- BBA8	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes- BBA8	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes- BBA8	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			Yes- BBA8	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes- BBA8 Yes-BBA8	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes-BBA8 Yes- BBA8	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes-BBA8 Unit is in compliance with DO510 1.6 - 1.8 Requiring remedial and out of uniform if required	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes-BBA8 Yes- BBA8	1
5	Obtain and review the Warden's file of firearm training incidents.	X				1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes- BBA8 Yes-BBA8	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes facility is in compliance- BBA8 Unit is in compliance	1
8	Are firearms qualification records current?	X			Yes-BBA8 Yes- BBA8	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes-BBA8 Yes- BBA8	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes-BBA8 Yes- BBA8	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes-BBA8	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes- BBA8 Yes-BBA8	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Unit is in compliance-BBA8 Yes post are in compliance- BBA8	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			during this GAR period tour unit is in compliance -BBA8 Yes Unit is incompliance - BBA8	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes-BBA8 Yes- BBA8	1

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16	Are fully charged fire extinguishers installed in the armory?	X			Yes-BBA8 Yes- BBA8	1
17	Are only authorized persons admitted into the armory?	X			Yes- BBA8 Yes-BBA8	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes- BBA8 Yes-BBA8	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Facility does not have a Major it is conducted with the facility DWOP Facility does not have a Major inventories are conducted by the Armorer and Complex DWOP.BBA8	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory.	X			Yes, for this GAR period munitions and weapon count matches - BBA8 Count completed and is accurate -BBA8	2
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes - BBA8 Yes-BBA8	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes - BBA8	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes - BBA8 Yes-BBA8	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes - BBA8	1

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January 2015 KINGMAN CERBAT

ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			yes ebj3/1/22/15	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			yes-post orders at every post ebj3/1/22/15	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			yes ebj3/1-22-15	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			yes-In MainControl and distributed via email	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes DAX3	1
6	* Required inspection forms	X			Yes DAX3	1
7	* Frequency of inspections	X			Yes DAX3	1
8	* Guidelines for checking security features	X			Yes DAX3	1
9	* Procedure for reporting deficiencies		X		On 1/7/15 a review was conducted of Cerbats current program enrollment. It was noted that that the following inmates reflected discrepancies in enrollment program enrollment. [redacted] The listed inmates showed up on the Program Discrepancy Report for both November and December. The CPS was notified of the discrepancy on 12/3/14 and as of 1/5/15 the appropriate corrections had not been completed. There are other inmates listed on the program discrepancy report that need to be corrected. Discrepancies range from dual enrollment to enrolment at a facility other than current location, overlapping dates or missing dates on the DI83 screen. COIV Martin Refer to DO 809 1.5 At a minimum, inmates shall be prioritized to complete Cognitive Restructuring and Re-Entry coursework. These courses, along with the other programs outlined in this Department Order, shall be identified and prescribed based on the inmate's risk and need priorities. 1.5.1 The facilitating program staff member shall record participation and update the AIMS Inmate Program Record screen. (See	1

					the Program Reference Guide) 1.5.2 The designated Education staff member shall record the successful completion of a GED or verification of a High School Diploma/GED on the appropriate AIMS screens for education to include the AIMS Inmate Program Record screen. 1.5.3 Inmates who are confirmed exempt from education shall have the proper information recorded in the appropriate AIMS screens used by education staff. Inmates who meet this criterion shall not be restricted from moving to additional phases if they meet all other applicable criteria. Yes DAX3	
10	Are security inspections kept on file?	x			Yes DAX3	1
11	Is the unit in compliance with its own Post Order on inspections?	x			Yes DAX3	2

Corrective Action Plans for Competency: ADMINISTRATIVE

9 Does the facility have a comprehensive security inspection policy/Post Order? Identifying: * Procedure for reporting deficiencies
Level 1 Amber User: Matthew Martin Date: 1/7/2015 8:47:06 AM

Corrective Plan: The following review was conducted in AIMS with reference to the following inmates:

[redacted]:
Issue:
• Inmate was enrolled in AZCC-COM2 (an Arizona Community College class)at Alhambra (A16) from 1-28-11 to 4-13-11 – whereupon he was transferred to Cerbat (M61)
o No comments were entered
• An entry was made into AIMS stating that the inmate was enrolled in AZCC-COM2 on 4-14-11 and that he completed the class on 5-6-11
o There were no comments made on this entry as well
• There was no entry made for the Group (GR) as this entry was not made at Cerbat
o We know this entry was not made at Cerbat because we do not offer any classes using that code (AZCC-COM2)
o As this facility did not put in the entry, we do not have a group code for that class
Solution:
• We are unsure of the issue with this inmate's record as none of the dates overlap, there are no dates missing, and he is not enrolled at one facility and housed in another
• If the issue is with the Group Code – as this is not a class we offer at ASPC-Kingman – Cerbat – we do not have a Group Code for this class

[redacted]:
Issue:
• We are unsure of the issue with this inmate – he is currently enrolled in M001 – Cultural Diversity with a begin date of 1-22-15 and no completion date as he has not yet completed the course
• There are no overlapping dates with anything he is taking at Cerbat
• There a number of missing start dates from courses he was enrolled in while at Douglas and Safford
• There is one record where is not a group code; however, that record also is from Douglas
Solution:
• As all of the possible discrepancies occurred at other facilities, we are unsure how we could correct them
[redacted]
Issue:

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• We are unsure of the issue with this inmate – he is currently enrolled in E003 – EDUC-GED with a begin date of 9-19-14 and no completion date as he has not yet completed the course • There are no overlapping dates with anything he is taking at Cerbat • There some missing start dates and group codes for classes he took at Safford • There is one class he took at Safford that has a Removal code; however, there are no comments associated with the removal Solution: • As all of the possible discrepancies occurred at other facilities, we are unsure how we could correct them Update 5/7/15 In the future the program administrator will contact the sending units for information that will facilitate the completion of the entries. When the entries are completed in AIMS a statement will be included identifying the reason the AD is necessary.
Corrective Actions: As stated

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			Yes. TOSS	2
2	Does the picture board match the count sheets?	X			Yes	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes DS [redacted] SS - GY -	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			Yes	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes	1

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			Time Frames Intact	1
2	Is detention unit sanitation meeting standards?	X			yes	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			compliant	1
4	Did detention records reflect any curtailments of services?	X			no	1
5	Did detention logs contain, at a minimum, the required information?	X			yes	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			yes	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			yes	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			yes	2

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			Yes	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			Yes	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			compliant	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			yes	2

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KEY CONTROL

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes. Capt. Kraatz 1/15/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes. Capt. Kraatz 1/15/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes. Capt. Kraatz 1/15/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Yes. Capt. Kraatz 1/15/15	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.		X		On 1/8/15 at 0930 in the back room of CDU control sitting on a cardboard box was a duty belt with a set of keys on it. I asked CO Chambers why it was there and she didn't know it was there or who the key were signed out by. CO Chambers took possession of the key set and call Main Control to notify them that she had possession of that key set. Capt. Kraatz 1/9/15 DO702 1.5 Employees Key/Key Ring Responsibilities 1.5.2 Employees shall be responsible for the safe-keeping and control of keys/key rings issued to them until they are formally relinquished and returned to the control area. Yes. Capt. Kraatz 1/15/15	2
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 1/14/15 I reviewed approximately the last 5 days worth of Key and Credit Card Control Logs and on 1/12/15 at 2200 key set C070 did not have received by initials and on 1/13/15 at 1530 key set C003 did not have received by initials. Capt. Kraatz DO702 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number. 1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the	X			Yes. Capt. Kraatz 1/15/15	2

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	appropriate logs by assigned staff?					
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes. Capt. Kraatz 1/15/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes. Capt. Kraatz 1/15/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes. Capt. Kraatz 1/15/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes. Capt. Kraatz 1/15/15	1
12	Is there a list of emergency key rings and their locations?	X			Yes. Capt. Kraatz 1/15/15	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes. Capt. Kraatz 1/15/15	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes. Capt. Kraatz 1/15/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes. Capt. Kraatz 1/15/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes. Capt. Kraatz 1/15/15	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes. Capt. Kraatz 1/15/15	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			No. Capt. Kraatz 1/15/15	2

Corrective Action Plans for Competency: KEY CONTROL

5 Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.
Level 2 Amber User: Adam Kraatz Date: 1/9/2015 8:37:19 AM

Corrective Plan: Staff have been directed to have accountability and have keys / equipment secure and accounted for according to policy. This was implemented immediately.

Corrective Actions: As stated

6 Upon key or key ring issuance or return, is an entry being made in a log?
Level 1 Amber User: Adam Kraatz Date: 1/15/2015 12:13:13 PM

Corrective Plan: Supervisors, and staff have been re-directed to ensure that keys, and equipment issued and returned are properly logged on the appropriate logs for tracking purposes to avoid these issues going forward. Supervisors have also been directed to review all logs daily to ensure they are error free.

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Corrective Actions: As stated

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			Yes	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			yes	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			yes	1
5	Is the mail-screening process in place effective?	X			yes	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes	1

4	Review Post Orders to ensure that local instructions are adequate.	X			Post Orders adequate	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			twice per shift Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			twice per shift Dax3	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			Inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No Dax3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes Dax3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			No Dax3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			NO Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No Dax3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			roaming patrol Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			twice per shift Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No Incident Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			NO Incident Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes ebj3	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			yes ebj3	1
3	Does staff transmit only communications that are job related?	X			yes ebj3/1/22/15	1
4	Are radio operators using profane or vulgar language?	X			No ebj3/1/22/15	1
5	Are staff using unnecessary conversation on the radio?	X			No ebj3/1/22/15	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			yes	1
2	Is staff/inmate access to all control rooms restricted?	X			yes	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?		X		1/8/15 at 0800 and at 0920 the Officer working the spline area by the Commissary was not doing proper pat searches. He wasn't having the inmate remove their hats. He didn't inspect the items the inmates were holding in their hands. He wasn't checking the groin area or any area below the knees. Capt. Kraatz 1/9/15 DO708 1.6 Pat Search 1.6.1 Pat searches shall be performed by staff of the same gender as the subject being searched. Exceptions for inmate searches are listed in section 708.02 of this Department Order. 1.6.2 Pat searches shall be conducted as needed. 1.6.3 When performing a pat search the following method shall be utilized: 1.6.3.1 Prior to proceeding with a pat search, staff shall put on their personal protective equipment gloves. 1.6.3.2 Direct the subject to face away from the staff member, remove any hat or jacket, and direct the subject not to turn around. 1.6.3.3 Direct the subject to remove any object which may poke or stick the staff member doing the search (i.e., tattoo, hypodermic or sewing needles, etc.) 1.6.3.4 If the subject has any personal property on their person, such as a walkman, etc., direct the subject to empty their pockets and hand them to you for inspection. Search each item thoroughly. Set the items down within your view, but out of the reach of the subject. 1.6.3.5 If the subject is wearing a hat or jacket, or both, they shall be searched, paying special attention to the: 1.6.3.5.1 Inside rim of hat. 1.6.3.5.2 Jacket pockets.	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes. Capt. Kraatz 1/9/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Yes. Capt. Kraatz 1/9/15	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes. Capt. Kraatz 1/9/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes. Capt. Kraatz 1/9/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. Capt. Kraatz 1/9/15	1
8	Are housing searches being conducted	X			Yes. Capt. Kraatz 1/9/15	1

	according to policy? Are they conducted at irregular times and logged?					
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. Capt. Kraatz 1/9/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. Capt. Kraatz 1/9/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes. Capt. Kraatz 1/9/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes. Capt. Kraatz 1/9/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes. Capt. Kraatz 1/9/15	1

Corrective Action Plans for Competency: SEARCHES
1 Are strip/pat searches being conducted pursuant to ADC requirements? **Level 1 Amber User: Adam Kraatz Date: 1/9/2015 8:43:28 AM**
Corrective Plan: A training with supervisors and line staff has been completed and documented on a training roster 509-t regarding pat downs.
Corrective Actions: As stated

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes WRO1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes WRO1	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes WRO1	1
4	* Unit Control rooms	X			Yes WRO1	1
5	* Security system warning panels	X			Yes WRO1	2
6	* Applicable perimeter detection devices	X			Yes WRO1	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes WRO1	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes WRO1	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes WRO1	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit– to include inmate living quarters and activity areas?	X			Yes WRO1	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes WRO1	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes WRO1	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes WRO1	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes WRO1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes during the first two hours of shift and 2hours before the end of shift. WRO1	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Twice per shift WRO1	1

	Conduct a perimeter check, to look for the following:

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17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes WRO1	2
18	If possible to observe, are there any missing or displaced fence ties?	X			NO WRO1	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO WRO1	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			NO WRO1	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No WRO1	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No WRO1	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			NO WRO1	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No WRO1	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes WRO1	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes WRO1	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes WRO1	2
28	Is the electronic system tested at the beginning of shift?	X			Yes WRO1	1
29	Is the electronic system tested at the end of shift?	X			Yes WRO1	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Yes WRO1	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes WRO1	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes WRO1	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes WRO1	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes inspected yard, medical, kitchen, and P-Buildings ebj3	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Post Orders compliant with policy	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			yes	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			yes ebj3	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			yes ebj3	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			yes	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			yes	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			yes ebj3-1/26/15	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			no ladders in use this tour- ebj3	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			yes	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			yes	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			No ladders in use this tour ebj3/1-26-15	2
13	Have any tools been misplaced or lost in the past 90 days?	X			No	2
	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			yes	2
	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			compliant ebj3-1/23/15	1

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16	Inspect any kitchen tool shadow boards in use.	X			ebj3 1/23/15	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			yes and pre/post truck ebj3-1/23/15	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			yes	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			yes	1

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A - No towers at Cerbat	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A - No towers at Cerbat Unit	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			N/A - No towers at Cerbat Unit	1
4	Is staff following the Post Orders for tower operations?	X			N/A - No towers at Cerbat Unit	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			yes	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			yes	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			yes	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			yes	1
5	Are the inmates being transported properly accounted for?	X			yes	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			yes	1
7	Are physical restraints being applied correctly on transported inmates?	X			yes	1
8	Are searches of transported inmates completed as required?	X			yes	1
9	Are inmates transported with escape flyers?	X			yes	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X				1
2	Are the staff requiring and checking identification?	X			yes	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			yes, inmates pat/stripped searched per policy. All visitor personal items are searched	2
4	Are staff performing pat-searches and strip-searches properly?	X			pat searches for visitation are performed properly - did not observe strip serches	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			yes	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			walking staff cover the blind area	1
7	Do the number of assigned staff seem adequate?	X			yes	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			yes-unlocked by staff for use and secured after use	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			yes	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			yes yes	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			yes	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes dax3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes DAX3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			remidal range	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes DAX3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes DAX3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes DAX3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes DAX3	1
8	Are firearms qualification records current?	X			Yes DAX3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes DAX3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes DAX3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes DAX3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes DAX3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes DAX3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes DAX3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes DAX3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes DAX3	1
17	Are only authorized persons admitted into the armory?	X			Yes DAX3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes DAX3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes DAX3	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on	X			Yes DAX3	2

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	most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes DAX3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes DAX3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes DAX3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes DAX3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			yes	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			yes reviewed and signed	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			yes	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			yes-main control-emailed to specific staff	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			yes	1
6	* Required inspection forms	X			ebj3 2/23/15	1
7	* Frequency of inspections	X			ebj3 2/23/15	1
8	* Guidelines for checking security features	X			ebj3 2/23/15	1
9	* Procedure for reporting deficiencies	X			ebj3 2/23/15	1
10	Are security inspections kept on file?	X			yes	1
11	Is the unit in compliance with its own Post Order on inspections?	X			yes	2

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			yes - ebj3 2/9/15	2
2	Does the picture board match the count sheets?	X			yes ebj3 2/9/15	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes - observed count dorm 8 dayshift. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			yes ebj3 2/9/15	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			yes ebj3 2/9/15	1

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			time frames intact ebj3 2/9/15	1
2	Is detention unit sanitation meeting standards?	X			yes ebj3 2/9/15	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			Cerbat CDU compliant ebj3 2/9/15	1
4	Did detention records reflect any curtailments of services?	X			no ebj3 2/9/15	1
5	Did detention logs contain, at a minimum, the required information?		X		No. In examining the Individual Inmate Detention Record of inmates being housed in Cerbat CDU on 02/25/15, I observed several refusals marked down for exercise time and phones on 02/24/15 and 02/25/15 with no explanation as to why the inmate refused entered in the comment section on the back of the form. [redacted] On 2/5/15 at 0930 while reviewing the Individual Inmate Detention Records I noticed that on 1/23/15 none of the inmates on A Run had anything marked for the lunch meal on day shift. There wasn't a Y, N, or R marked nor was there an explanation written. There were other shifts and other days that were missing information also. Capt. Kraatz 2/6/15 [redacted]	1

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					[redacted] yes ebj3 2/9/15	
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			yes ebj3 2/9/15	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			yes ebj3 2/9/15	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			yes-two officers present ebj3 3/9/15	2

Corrective Action Plans for Competency: DETENTION
5 Did detention logs contain, at a minimum, the required information? **Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:07:16 AM**
Corrective Plan: Shift commanders / and all reviewing supervisors have been made aware to ensure that proper entries are made on the IDR, to include the fact that the Lunch meal indicator box is marked from the Breakfast / Lunch on the weekends as on the weekend and some holidays they are only a two meal day. Shift commanders are to ensure they make rounds in the detention unit daily and ensure proper documentation is completed on the detention IDR reports. Staff were directed to complete the above action on 02/10/2015. It is in place and being properly conducted on the Detention IDR.
Corrective Actions: As stated
5 Did detention logs contain, at a minimum, the required information? **Level 1 Amber User: Leasure Schaulin Date: 2/27/2015 1:18:35 PM**
Corrective Plan: Staff have been trained to ensure that they are following the LEGEND on the IDR to include when marking an (R) for refusal that they turn to page to and log the reason for the refusal. Documentation has been logged on a 509-t training roster as the COS has requested.
Corrective Actions: As stated

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?		X		yes ebj3-2/2/15 This finding is related to the competency for Ingress/Egress but is not necessarily the finding for question # 1. On 02/24/15 during a check of incoming off site work crews, it was observed that inmates returning from their assigned work areas at Jim Glow trailers and the Complex Maintenance that the inmates appearance did not match their escape flyers and/or ID as per policy.BBA8 705.02 TRANSPORTATION OF INMATES 1.2.3 Ensure the correct identification of all inmates being transported by conducting a comparison of the face, name and Arizona Department of Corrections (ADC) number with the photograph and information on each inmateOs ADC identification card and escape bulletin as the respective inmate gets into the vehicle.	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			yes-reviewed log ebj3-2/2/15	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes ebj3-2/2/15	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes ebj3 2/13/15	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			yes ebj3 2/13/15 yes ebj3 2/13/15	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			yes ebj3-2/2/15	2

Corrective Action Plans for Competency: INGRESS/EGRESS

1 Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?
Level 2 Amber User: Betty Barnes Date: 2/26/2015 3:29:52 PM

Corrective Plan: The Face to ID process is an ongoing effort for the Security staff at the Cerbat Unit. We are as a unit ensuring that all inmates let out the gate prior to transportation are face to ID to escape fliers positively identified for an exact match. All incoming inmates to the unit are also being face to ID to escape flier completed and logged on an IR all discrepancies. We are in constant communication between the Accountability officer / OIU / and ADC monitors to ensure that compliance is met.

Corrective Actions: As stated

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Capt. Kraatz 2/6/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Capt. Kraatz 2/6/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Capt. Kraatz 2/6/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Capt. Kraatz 2/6/15	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Capt. Kraatz 2/6/15	2
6	Upon key or key ring issuance or return, is an entry being made in a log?	X			Capt. Kraatz 2/6/15	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Capt. Kraatz 2/6/15	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Capt. Kraatz 2/6/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Capt. Kraatz 2/6/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Capt. Kraatz 2/6/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?		X		On 2/5/15 at approximately 1130 while testing the emergency key sets for CDU and Medical I found the following discrepancies. The pink set for medical does not have a T key on the set and there are two doors in medical that have a pink T alpha dot on them that I was not able to access. The brown set for CDU does not have a T key on the set and there is one door marked with a brown T that I was not able to access. There were 3 doors in CDU that did not have brown alpha dots designators on the doors. They were the doors in that lead behind the cell in the Detention Unit. Capt. Kraatz 2/6/15 DO702 702.04 EMERGENCY KEY RINGS 1.1 Wardens or their designees shall identify locks and locking devices that affect life, health or safety and designate keys to those areas as emergency keys. 1.5.1 Each door or lock within a building or area having a key on an emergency key ring shall be marked with the color and alpha designator for the key.	1

					1.6 Emergency key rings shall be: 1.6.1 Coded using the standardized "Alpha/Color Dot System" of identification and shall enable staff to access every area of the institution/facility rapidly to respond to a disturbance, fire or any other crisis. 1.7 All doors or locks within a building or area having keys on emergency key rings shall be marked with the color and alpha designator for the key. 1.7.1 Markings shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	
12	Is there a list of emergency key rings and their locations?	X			Capt. Kraatz 2/6/15	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Capt. Kraatz 2/6/15	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Capt. Kraatz 2/6/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Capt. Kraatz 2/6/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.		X		On 2/5/15 at approximately 1130 while testing the emergency key sets for CDU and Medical I found the following discrepancies. The pink set for medical does not have a T key on the set and there are two doors in medical that have a pink T alpha dot on them that I was not able to access. The brown set for CDU does not have a T key on the set and there is one door marked with a brown T that I was not able to access. There were 3 doors in CDU that did not have brown alpha dots designators on the doors. They were the doors in that lead behind the cell in the Detention Unit. Capt. Kraatz 2/6/15 DO702 702.04 EMERGENCY KEY RINGS 1.1 Wardens or their designees shall identify locks and locking devices that affect life, health or safety and designate keys to those areas as emergency keys. 1.5.1 Each door or lock within a building or area having a key on an emergency key ring shall be marked with the color and alpha designator for the key. 1.6 Emergency key rings shall be: 1.6.1 Coded using the standardized "Alpha/Color Dot System" of identification and shall enable staff to access every area of the institution/facility rapidly to respond to a disturbance, fire or any other crisis. 1.7 All doors or locks within a building or area having keys on emergency key rings shall be marked with the color and alpha designator for the key. 1.7.1 Markings shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks		X		On 2/5/15 at approximately 1130 while testing the emergency key sets for CDU and Medical I found the following	2

	"Alpha/Color Dot System" coded?				discrepancies. The pink set for medical does not have a T key on the set and there are two doors in medical that have a pink T alpha dot on them that I was not able to access. The brown set for CDU does not have a T key on the set and there is one door marked with a brown T that I was not able to access. There were 3 doors in CDU that did not have brown alpha dots designators on the doors. They were the doors in that lead behind the cell in the Detention Unit. Capt. Kraatz 2/6/15 DO702 702.04 EMERGENCY KEY RINGS 1.1 Wardens or their designees shall identify locks and locking devices that affect life, health or safety and designate keys to those areas as emergency keys. 1.5.1 Each door or lock within a building or area having a key on an emergency key ring shall be marked with the color and alpha designator for the key. 1.6 Emergency key rings shall be: 1.6.1 Coded using the standardized "Alpha/Color Dot System" of identification and shall enable staff to access every area of the institution/facility rapidly to respond to a disturbance, fire or any other crisis. 1.7 All doors or locks within a building or area having keys on emergency key rings shall be marked with the color and alpha designator for the key. 1.7.1 Markings shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?				Capt. Kraatz 2/6/15	2

Corrective Action Plans for Competency: KEY CONTROL

11 Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?
Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:10:17 AM

Corrective Plan: The key control officer placed a T-key on the emergency key set brown for CDU and pink for Medical.

The key control officer conducted an inspection of the medical unit and found the three doors in question. Officer Petersen located the three doors in CDU, a brown colored circle was painted on the door frames and an alpha dot designator was stenciled within the circle.

In order to ensure that all doors are in compliance, the key control officer was tasked to conduct a complete check of all emergency key sets to ensure that all key sets are in compliance with policy and match the doors and alpha dots at all doors. This check was completed on March 31, 2015.

DW Santiago

Corrective Actions: As stated

16 Does each door or lock within a building or area have a key on an emergency key ring marked with the

color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle. **Level 1 Amber User: Adam Kraatz Date: 2/6/2015 9:08:31 AM**
Corrective Plan: On 02/10/2015 The key control officer placed a T-key on the emergency key set brown for CDU and pink for Medical. On 02/10/2015 The key control officer conducted an inspection of the medical unit and found the three doors in question. Officer Petersen located the three doors in CDU, a brown colored circle was painted on the door frames and an alpha dot designator was stenciled within the circle. The key control officer has been tasked to conduct a complete check of all emergency key sets within both Hualapai and Cerbat units and Complex to ensure that every key set are in compliance with policy and match the doors and alpha dots at all doors. Anticipated completing of this inspection is March 31, 2015 DW Santiago
Corrective Actions: As stated
17 Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded? **Level 2 Amber User: Adam Kraatz Date: 2/6/2015 9:08:43 AM**
Corrective Plan: On 02/10/2015 The key control officer placed a T-key on the emergency key set brown for CDU and pink for Medical. On 02/10/2015 The key control officer conducted an inspection of the medical unit and found the three doors in question. Officer Petersen located the three doors in CDU, a brown colored circle was painted on the door frames and an alpha dot designator was stenciled within the circle. The key control officer has been tasked to conduct a complete check of all emergency key sets within both Hualapai and Cerbat units and Complex to ensure that every key set are in compliance with policy and match the doors and alpha dots at all doors. Anticipated completing of this inspection is March 31, 2015 DW Santiago
Corrective Actions: As stated

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MAIL/PROPERTY

	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			yes ebj3 2/11/15	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			yes - reviewed 16 random property files ebj3 2/11/15	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?		X		On 2/25/15 while reviewing Mail and Property in detention 1 TV and 2 fans were located on the contraband shelf with no documentation on the items. When staff were questioned about the items thay stated that the inmate was released and it broken. Refer to DO909 909.07 CONTRABAND/UNAUTHORIZED/UNCLAIMED PROPERTY SEIZURE AND DISPOSITION 1.1 Staff who discovers contraband shall: 1.1.3 Submit an Inmate Property/Contraband/Disposition Tracking form, or an Inmate Bank Receipt, Form 905-9, through their immediate supervisor to the Contraband Control Officer. 1.1.4 Secure the contraband in the appropriate container, such as a paper envelope, box, vial or other container. 1.1.5 Seal the container with evidence tape and write their initials, date and time across the end of the tape. 1.1.6 Obtain a case number and write the case number on the container. 1.1.7 Complete the Contraband Control/Chain of Evidence section of the Inmate Property/Contraband/Disposition Tracking form, attach a copy of the form to the container, and begin to record the chain of evidence. 1.1.8 Complete an Information Report. yes ebj3 2/11/15	1
5	Is the mail-screening process in place effective?	X			yes ebj3/2-11-15	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes ebj3-2/11/15	1

4	Review Post Orders to ensure that local instructions are adequate.	X			reviewed and adequate for Cerbat 2/11/15	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes ebj3-2/11/15	1

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Corrective Action Plans for Competency: MAIL/PROPERTY
3 Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property? **Level 1 Amber User: Matthew Martin Date: 2/25/2015 3:01:45 PM**
Corrective Plan: Staff have been properly trained to ensure that unclaimed property is properly documented and designated to the proper area for storage and future destruction. This is being followed up on by supervisors during rounds of the institution.
Corrective Actions: As stated

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			No twice per shift Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			[redacted]	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			NO DAX3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No Dax3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			Yes Dax3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			NO Dax3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			No Dax3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			Yes Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No incident involving a weapon. Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			No Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes BBA8	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes BBA8	1
3	Does staff transmit only communications that are job related?	X			Yes BBA8	1
4	Are radio operators using profane or vulgar language?	X			No BBA8	1
5	Are staff using unnecessary conversation on the radio?	X			No, BBA8	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			yes ebj3-2/2/15	1
2	Is staff/inmate access to all control rooms restricted?	X			yes ebj3/2-2-15	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?		X		No. On 2/19/15 from approximately 0450 to 0515 while I was in the dining halls observing feeding there wasn't any additional staff members inside or outside the chow hall performing pat searches of inmates leaving the chow hall. Capt. Kraatz 2/23/15 [redacted] : On 2/25/15 while I was in the dining hall observing feeding there wasn't any additional staff members inside or outside the chow hall performing pat searches of inmates leaving the chow hall. COIV Martin 2/25/15 [redacted]	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Capt. Kraatz 2/23/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?		X		Capt. Kraatz 2/23/15 On 2/23/15 at approximately 0450 to 0515 while obseving feeding in both dining halls inmates were allowed to bring in personal food purchased from commisary and cups. They were also allowed to leave wih their personal food and cups. Capt. Kraatz 2/23/15 [redacted]	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Capt. Kraatz 2/23/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Capt. Kraatz 2/23/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Capt. Kraatz 2/23/15	1
8	Are housing searches being conducted	X			Capt. Kraatz 2/23/15	1

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	according to policy? Are they conducted at irregular times and logged?					
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Capt. Kraatz 2/23/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Capt. Kraatz 2/23/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Capt. Kraatz 2/23/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Capt. Kraatz 2/23/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Capt. Kraatz 2/23/15	1

Corrective Action Plans for Competency: SEARCHES
1 Are strip/pat searches being conducted pursuant to ADC requirements? **Level 1 Amber User: Adam Kraatz Date: 2/23/2015 8:07:45 AM**
Corrective Plan: Staff have been notified to be on post, supervisors will tour the chow halls regularly and ensure that staff are in place and observe that proper pat downs are being completed. Should staff be re-assigned elsewhere then the supervisors will fill in for the re-assigned staff member.
Corrective Actions: As stated
1 Are strip/pat searches being conducted pursuant to ADC requirements? **Level 1 Amber User: Matthew Martin Date: 2/25/2015 3:03:04 PM**
Corrective Plan: Staff are to be on post for pat downs for all chow movement, supervisors will tour the area to ensure that staff are where they need to be for this movement and ensure that proper pat downs are being conducted. Supervisors will ensure that if staff have been re-assigned that they themselves fill in completing pat downs.
Corrective Actions: As stated
3 Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective? **Level 1 Amber User: Adam Kraatz Date: 2/23/2015 8:16:21 AM**
Corrective Plan: Inmates will not be allowed to take commissary food items into the chow hall and the staff will strictly enforce this directive. Inmate will not be allowed to to remove food from the chow hall. This is to include bottles, and cups. Supervisors will ensure they monitor this going forward for compliance with this directive.
Corrective Actions: As stated.

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes FBX1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes FBX1	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes FBX1	1
4	* Unit Control rooms	X			Yes FBX1	1
5	* Security system warning panels	X			Yes FBX1	2
6	* Applicable perimeter detection devices	X			Yes FBX1	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes FBX1	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?		X		On 02/12/15, while reviewing the Security Device monthly report from the Chief of Security, it was discovered that the reports submitted to the Chief of Security did not have specific information requested per DO 703. The information reports did not have the Security Device Work Order and the Correctional Journal did not have the Security Device Work Order written in the entry. This was discovered on multiple reports. PER DO 703-Security/Facility Inspections 1.3 Staff assigned to areas in which security devices are utilized shall conduct a thorough inspection of each security device during their shift and enter "SECURITY DEVICE INSPECTION" in the Correctional Service Log, Form 105-6. 1.3.1 Deficiencies needing immediate attention shall be immediately reported to the Shift Commander. All deficiencies and the action taken to resolve them shall be documented in the Correctional Service Log and cross-referenced with an Information Report, Form 105-2, and Maintenance Work Order Request, Form 403-2, if applicable. 1.3.1.3 Information Report numbers shall be written in the Correctional Service Log and on the corresponding Maintenance Work Order Request form Capt Fernandez FBX1, 02/12/15	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes FBX1	1

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10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes FBX1	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes FBX1	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes FBX1	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes FBX1	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes FBX1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Twice per shift FBX1	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			constant patrol FBX1	1

	Conduct a perimeter check, to look for the following:					
17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes FBX1	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No FBX1	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No FBX1	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			NO FBX1	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			NO FBX1	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			NO FBX1	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No FBX1	2
24	Are there any signs of wildlife that threaten fence integrity?	X			NO FBX1	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes FBX1	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes FBX1	1

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27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes FBX1	2
28	Is the electronic system tested at the beginning of shift?	X			Yes FBX1	1
29	Is the electronic system tested at the end of shift?	X			Yes FBX1	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No FBX1	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Twice per shift FBX1	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes FBX1	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes FBX1	2

Corrective Action Plans for Competency: SECURITY DEVICES

8 At a minimum, are the following checked? Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?
Level 1 Amber User: Abel Dominguez Date: 2/17/2015 5:45:35 PM

Corrective Plan: Direction on submitting a Security Device IR / Work order has been generated to include to following.

Security Device submission will require the IR to be logged on the area service journal, and include completion of the IR to the shift commander. The Work order will be generated and relayed to the area reporting the security Device Discrepancy along with the Work order # generated by the facili-works program utilized at ASPC-K-Cerbat.

A complete packet to include the original IR, Copy of the Service journal with required entries including the IR# and the WO# will be ensured to be on the Service Journal when submitted.

This will be reviewed by the shift commander prior to being forwarded to the COS.

Corrective Actions: As stated.

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?		X		yes- Tool Check Out Form 712-4 utilized No. On 02/25/15, at approximately 1040 hours, during a tour of Cerbat's Kitchen, I observed kitchen tools that had been used by AM Kitchen workers earlier in the day still secured to preparation tables on the back dock of the kitchen. The tables had already been cleaned, and the Kitchen Security Officer when questioned by COIV Martin stated that he was just coming to get the tools as we were exiting the back dock. The tools that were secured to tables were a rolling pin, 6x3 chopper, and a whisk. [redacted] DEPARTMENT ORDER:718 – TOOL CONTROL SECURITY OFFICER 1.3 Categories 1.3.1 Class A tools present an inherent safety or security risk. Examples include files, knives,saw blades and grinders. 1.3.1.1 Class A tools shall only be used under staff supervision and have their own hanging device and shadow on the board. Class A tools shall be stored in a secured tool room or storage area when not in use. WLB1	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X				1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Inspected shadowboards in P Buildings, Kitchen, and Tool Cage	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			yes	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			yes	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			yes	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			yes	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			yes	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			No ladders in use during this tour	1

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10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			yes	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			yes	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			ebj3 2/23/15	2
13	Have any tools been misplaced or lost in the past 90 days?	X			no	2
	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			ebj3 2/23/15	2
	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			ebj3 2/23/15	1
16	Inspect any kitchen tool shadow boards in use.	X			ebj3 2/23/15	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			ebj3 2/23/15	1
	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			ebj3 2/23/15	1
	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			ebj3 2/23/15	1

Corrective Action Plans for Competency: TOOL CONTROL

1 Inspect all tool storage areas and review controls and documentation. Is the process of tool issuance and return in accordance with policy requirements?
Level 2 Amber User: Leasure Schaulin Date: 2/27/2015 12:34:16 PM

Corrective Plan: Staff have been directed that when not in use tools will be secured in the proper area _IE_ tool cage or designated area. Tools will be secured as soon as possible and without delay.

Corrective Actions: As stated

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A - no towers at Cerbat Unit	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			N/A	1
4	Is staff following the Post Orders for tower operations?	X			N/A	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			yes ebj3 2/13/15	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			yes- ebj3-2/13/15	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			yes ebj3-2/13/15	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			yes ebj3-2/13/15	1
5	Are the inmates being transported properly accounted for?		X		yes ebj3 2/13/15 On 2/25/15 while reviewing Count Movement it was noted that inmate Ibarra 265636 ID was located in Count Movement hangin from a sign that said Hospital. When staff were questioned they stated they were unsure as to why the ID was there. I was told that they called the Capt and were told that the sending unit retains the ID when inmates are sent to the hospital. COIV Martin Refer to DO705 1.2 Transporting staff shall: 1.2.1 Transport inmates as assigned. 1.2.2 Have copies of current escape bulletins in their possession for all inmates being transported. Photographs on escape bulletins shall be current and of sufficient quality to identify the inmate. 1.2.3 Ensure the correct identification of all inmates being transported by conducting a comparison of the face, name and Arizona Department of Corrections (ADC) number with the photograph and information on each inmate's ADC identification card and escape bulletin as the respective inmate gets into the vehicle. 1.2.7 Conduct a count, matching the name and ADC number from the inmate's ADC identification card and escape bulletin, to each inmate as they board the vehicle. Inmate(s) shall be seated in the secure caged section of the vehicle. 705.08 TRANSPORTATION OF RECORDS AND PROPERTY 1.1.1.1 Transportation Officers shall use the escape bulletin, travel orders and inmate ADC identification card to ensure identification of each inmate being transported, as outlined in section 705.06 of this Department Order.	2

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					1.1.1.2 Transportation Officers shall leave the escape bulletin and inmate ADC identification card for each transferred inmate at the receiving institution.	
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			yes ebj3-2/13/15	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes BBA8	1
8	Are searches of transported inmates completed as required?	X			Yes BBA8	1
9	Are inmates transported with escape flyers?		X		Yes, however, on 02/24/15 inmates from Jim Glow and Complex Maintenance were found to have been allowed out of the sallyport with escape flyers that did not match the inmates appearance and/or ID.BBA8 705.02 TRANSPORTATION OF INMATES 1.2.3 Ensure the correct identification of all inmates being transported by conducting a comparison of the face, name and Arizona Department of Corrections (ADC) number with the photograph and information on each inmate's ADC identification card and escape bulletin as the respective inmate gets into the vehicle.	1

Corrective Action Plans for Competency: TRANSPORTATION

5 Are the inmates being transported properly accounted for?
Level 2 Amber User: Matthew Martin Date: 2/25/2015 3:12:42 PM

Corrective Plan: All staff / Supervisors have been advised that all inmates who leave the gate will have in possession the inmate ID, be positively ID to escape flier prior to departing from the facility. This is to include inmates being transported to hospital duty.

Corrective Actions: As stated

9 Are inmates transported with escape flyers?
Level 1 Amber User: Betty Barnes Date: 2/26/2015 9:45:32 PM

Corrective Plan: Supervisors and the sally port officer have been instructed to ensure that all inmates transporting off the facility / going to work / and going out the sally port gate match 100% to the inmate ID / Escape flier. Should inmates not match or could verification not be made the sally port officer will contact the shift commander and report this issue. The inmate will not be allowed out until the discrepancy is corrected and all match 100%.

Corrective Actions: As stated

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			yes ebj3/2/13/15 Yes BBA8	1
2	Are the staff requiring and checking identification?	X			yes ebj3-2/13/15 Yes BBA8	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			visitors are not searched-inmate searches compliant with policy requirements Yes BBA8	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes BBA8 yes - observed only pat searches ebj3-2/13/15	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			yes ebj3-2/13/15 Yes BBA8	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			[redacted]	1
7	Do the number of assigned staff seem adequate?	X			yes ebj3-2/13/15 Yes BBA8	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes ebj3-2/13/15 Yes BBA8	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes BBA8 yes ebj3-2/13/15	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			Yes BBA8 yes, reviewed log ebj3-2/13/15	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			yes-reviewed log ebj3-2/13/15 Yes BBA8	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			yes ebj3-2/13/15 Yes BBA8	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes DAX3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes Dax3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes Dax3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes Dax3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes Dax3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes Dax3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?			X	716.04 FIREARMS/CHEMICAL AGENTS - CHECK OUT/RETURN AND EXCHANGE DO 1.1.2 Firearms and ammunition shall be issued only to authorized personnel presenting proper Department Identification and a current Firearms Qualification Card, Form 510-2. Specific responsibilities and duties 1.2 Have in possessions during duty hours the following items, as Applicable: 1.2.1 MTC ID Card 1.2.2 Driver license 1.2.3 Current weapons card 1.2.4 Current armed on unarmed card On 02/24/2015 during inspections of weapons it was noticed CO Eugene Vandyne did not have his MTC ID card and was given a 9mm with 45 rounds, Shotgun with rounds and a state vehicle. DAX3	1
8	Are firearms qualification records current?	X			Yes Dax3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes Dax3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes Dax3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes Dax3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes Dax3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes Dax3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes Dax3	1

15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes Dax3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes Dax3	1
17	Are only authorized persons admitted into the armory?	X			Yes Dax3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes Dax3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes Dax3 with DW of complex MTC has no Major	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory.	X			Yes Dax3	2
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes Dax3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes Dax3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes Dax3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes Dax3	1

Corrective Action Plans for Competency: WEAPONS/DART

7 Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?
Level 1 Red User: Abel Dominguez Date: 2/24/2015 4:54:44 PM

Corrective Plan: The Chief of security was made aware that officer Vandyne had arrived to the facility without his MTC ID card on hand. It was assumed that this officer was assuming post on the unit. Prior to entry it was instructed to the ingress officer to verify all other cards to include Guard Cards, Weapons Qualification card and State drivers license. The ingress officer was also instructed to ensure that Officer Vandyne was to be issues a visitor pass when entering. Later the main control officer called back and notified that this above listed officer was going to assume responsibilities on the perimeter post. In the confusion of direction they made the determination that this officer was allowed to be on post without this his MTC ID.
Re-direction was given upon notification.

Corrective Actions: As stated

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes, unit is in compliance. BBA8	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			Yes,unit is in compliance and PO available for review. BBA8	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			Yes, BBA8	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			Yes, BBA8	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			Yes, BBA8	1
6	* Required inspection forms	X			Yes, BBA8	1
7	* Frequency of inspections	X			Yes, BBA8	1
8	* Guidelines for checking security features	X			Yes, BBA8	1
9	* Procedure for reporting deficiencies		X		Yes, BBA8 On 3/09/15 Contract Beds Bureau received grievance number M61-009-015 from Cerbat Grievance Coordinator regarding missing property of inmate [redacted] The inmate claims missing items stemming from movement on 11/26/14 from M59 to M61. The inmate initiated the grievance on 1/28/15. Two months after movement and the claim of missing items. COIV Martin Refer to DO802 802.02 INFORMAL COMPLAINT RESOLUTION 1.1 Inmates shall attempt to resolve their complaints through informal means including, but not limited to, discussion with staff in the area most responsible for the complaint or through the submission of an Inmate Informal Complaint Resolution, Form 802-11. 1.2 In the event an inmate is unable to resolve their complaint through informal means, he/she may submit an Informal Complaint on an Inmate Informal Complaint Resolution form to the Correctional Officer (CO) III in their respective unit. The Informal Complaint must be submitted within ten workdays from the date of the action which caused the complaint. The inmate shall attach copies of all documentation to support his/her complaint.	1

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10	Are security inspections kept on file?	x			Yes, BBA8	1
11	Is the unit in compliance with its own Post Order on inspections?	x			Yes, BBA8	2

Corrective Action Plans for Competency: ADMINISTRATIVE

9 Does the facility have a comprehensive security inspection policy/Post Order? Identifying: * Procedure for reporting deficiencies
Level 1 Amber User: Matthew Martin Date: 3/16/2015 2:34:33 PM

Corrective Plan: Inmate [redacted] was allowed to submit the informal and formal grievance due to the inmate attempting to informally resolve the issue. When the inmate could not informally resolve the issue the inmate was allowed to proceed with the formal grievance process. The inmate was allowed to proceed with the grievance process even though the date was passed the 10 working days time frame due to the inmate continually attempting to informally resolve the complaint. Effective immediately no inmates will be allowed to submit a formal grievance if the informal complaint is not submitted within ten working days of the date of the incident. Due to the nature of the grievance the issue has been resolved.

On 4/6/15 Mr. Credio recommended the inmate receive a reimbursement for the lost property items. The grievance was received and forwarded to the Hualapai Unit on 4/29/15 for processing of the reimbursement. The inmate received a refund on 5/20/15.

Corrective Actions: As stated

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			Yes EBJ3	2
2	Does the picture board match the count sheets?	X			Yes EBJ/3 3/4/15	1
4	Are Formal Counts being conducted on each shift?At what times?	X			Yes [redacted] EBJ/3 - 3/4/15	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			Yes EBJ3/3/4/15	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes EBJ/3 3/4/15	1

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			ebj3 3/19/15	1
2	Is detention unit sanitation meeting standards?	X			yes ebj3 3/19/15	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			ebj3 3/19/15	1
4	Did detention records reflect any curtailments of services?		X		On 3/5/15 while reviwing the IIDR's in CDU I discovered that on swing shift on 2/26/15 a line was drawn through the shower time, exercise time and razor portion of the IIDR instead of it having a Y,N,R or times. Capt. Kraatz 3/5/15 [redacted]	1
5	Did detention logs contain, at a minimum, the required information?	X			yes ebj3 - 3/19/15	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			yes ebj3-3/19/15	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			yes ebj3-3/19/15	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			yes ebj3 3/19/15	2

Corrective Action Plans for Competency: DETENTION

4 Did detention records reflect any curtailments of services?
Level 1 Amber User: Adam Kraatz Date: 3/9/2015 9:30:24 AM

Corrective Plan: Thorough training with all staff to include CDU staff has been conducted and recorded on a 509-t training roster. The COS is monitoring this on a daily basis as well the Sergeants and Lieutenants on daily rounds in the detention unit. It has been clearly reported to all staff that only the LEGEND on the IDR will be utilized when completing the CDU detention recorders.

Corrective Actions: As stated

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			yes ebj3/3-19-15	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			yes ebj3-3/19/15	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes ebj3-3/19/15	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes ebj3-3/19/15	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			ebj3-3/19/15	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?		X		yes ebj3-3/19/15 No on 03/31/2015 at approximately 03:25 I Capt. Dominguez was not directed to pass my food items through metal detector. Items were looked at but not hand wand or open. DAX3 DO 513.021.5 Food and drink items shall be carried by the owner through the metal detector.	2

Corrective Action Plans for Competency: INGRESS/EGRESS

6 Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?
Level 2 Amber User: Abel Dominguez Date: 3/31/2015 5:00:58 AM

Corrective Plan: This issue has been addressed with the officer responsible, and been covered in the daily briefing with line staff as well as supervisors to ensure that proper protocol is upheld and staff know duties assigned to them on post.

Corrective Actions: As stated

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes Dax3 03/27/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes Dax3 03/27/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes DAX3 03/27/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?	X			Yes DAX3 03/27/15	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Yes DAX3 03/27/15	2
6	Upon key or key ring issuance or return, is an entry being made in a log?	X			Yes DAX3 03/27/15	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?	X			Yes DAX3 03/27/15	2
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes DAX3 03/27/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes DAX3 03/27/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes DAX3 03/27/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes DAX3 03/27/15	1
12	Is there a list of emergency key rings and their locations?	X			Yes DAX3 03/27/15	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes DAX3 03/27/15	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes DAX3 03/27/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes DAX3 03/27/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes DAX3 03/27/15	1

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17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes DAX3 03/27/15	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			Yes DAX3 03/27/15	2

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			yes ebj3 yes ebj3	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			yes ebj3 yes ebj3	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			yes ebj3 yes ebj3	1
5	Is the mail-screening process in place effective?	X			yes ebj3/	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes ebj3	1

4	Review Post Orders to ensure that local instructions are adequate.	X			reviewed and adequate ebj3/m61 Reviewed/adequate ebj3	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes ebj3	1

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			Yes Dax3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			Constant perimeter patrol Dax3	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			[redacted]	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			during inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No DAX3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No DAX3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			YES DAX3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			YES DAX3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			NO DAX3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			NO DAX3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			NO DAX3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			NO DAX3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			NO DAX3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			NO DAX3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			NO DAX3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			YES DAX3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			YES DAX3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			YES DAX3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			YES DAX3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			YES DAX3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			NO DAX3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			YES DAX3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			YES DAX3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			YES DAX3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			YES DAX3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			YES DAX3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Constant perimeter patrol DAX3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			YES Twice per shift DAX3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No DAX3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			YES DAX3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			YES DAX3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			YES DAX3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			YES DAX3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No DAX3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			YES DAX3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			YES DAX3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			NO Incident DAX3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No DAX3	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			yes ebj3	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			yes ebj3	1
3	Does staff transmit only communications that are job related?	X			yes ebj3	1
4	Are radio operators using profane or vulgar language?	X			no ebj3	1
5	Are staff using unnecessary conversation on the radio?	X			no ebj3	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes Dax3	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes Dax3	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?		X		No. On 3/5/15 I reviewed the Jounals from the kitchen and discovered on 2/25, 2/22, 2/12, 2/1, 2/19, and 2/10 from 22 to 0230 journals did not reflect that inmates were patted down or strip searched when leaving. The journal from the next shift starting at 0230 reflected that there were inmates in the kitchen when they arrived on post. Capt. Kraatz 3/9/15 [redacted]	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Capt. Kraatz 3/9/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?		X		Capt. Kraatz 3/9/15 No. On 3/5/15 from about 1015 to 1030 I observed the feeding of the lunch meal. There was a staff member conducting pat searches as inmates left the dinning hall of the North kitchen but he wasn't having inmates remove their hats or jackets. On the East side there wasn't any staff mebers conducting pat searches. Capt. Kraatz 3/9/15 [redacted]	1

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					[redacted] DO708 1.6 Pat Search 1.6.3.2 Direct the subject to face away from the staff member, remove any hat or jacket, and direct the subject not to turn around.	
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Capt. Kraatz 3/9/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Capt. Kraatz 3/9/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Capt. Kraatz 3/9/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		No. On 3/5/15 I reviewed the unit search log and discovered several discprepancies. Several blank spaces. Inmates marked as being not present but no explanation. Inmate names and staff names listed as "?". several cases where it wasn't marked if the inmate was present or not. Random or target nat marked. Dangerous contraband found and IR# listed as "?". Capt. Kraatz 3/9/15 DO708 1.3 General Search Requirements 1.3.1 Staff shall document searches of inmate living areas, and any search in which contraband (other than nuisance contraband) is found in the Correctional Service Log, Form 105-6 and unit search log (or other means) to provide a permanent record of searches.	1
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Capt. Kraatz 3/9/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Capt. Kraatz 3/9/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Capt. Kraatz 3/9/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Capt. Kraatz 3/9/15	1

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4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Capt. Kraatz 3/9/15	1

Corrective Action Plans for Competency: SEARCHES
1 Are strip/pat searches being conducted pursuant to ADC requirements? **Level 1 Amber User: Adam Kraatz Date: 3/9/2015 9:03:16 AM**
Corrective Plan: Review of the kitchen service journal is currently being conducted and followed up on by shift commanders as well as the COS during service log review. If discrepancies are observed where staff are not completing this as instructed then the formal disciplinary process is being initiated.
Corrective Actions: As stated
3 Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective? **Level 1 Amber User: Adam Kraatz Date: 3/9/2015 9:15:42 AM**
Corrective Plan: Staff have been advised that at all feeding times they will be on post to conduct pat downs / compliance and not assigned to another task at this time. Supervisors will tour that chow halls to ensure that compliance and pat down officers are in place conducting proper pat downs or fill in in the place of re-assigned staff to ensure that pat downs are completed every meal time. Staff and supervisors have also been directed to ensure that no outside food/ drinks/ property is brought into the chow hall nor shall any food items be removed with the exception of lunch time meals which are taken by the inmate population back to the housing unit.
Corrective Actions: As stated
8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged? **Level 1 Amber User: Adam Kraatz Date: 3/9/2015 9:07:33 AM**
Corrective Plan: Supervisors have been tasked with a deeper review of the search logs to ensure that they are properly filled out and completed prior to submission for logging into the corrections unit search log. Discrepancies are logged and sent to appropriate shift commanders for re-training, and corrective action to include the disciplinary process if needed.
Corrective Actions: As stated

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes WRO1	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes WRO1	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes WRO1	1
4	* Unit Control rooms	X			Yes WRO1	1
5	* Security system warning panels	X			Yes WRO1	2
6	* Applicable perimeter detection devices	X			Yes WRO1	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes WRO1	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes WRO1	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes WRO1	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit– to include inmate living quarters and activity areas?	X			Yes WRO1	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes WRO1	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes WRO1	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes WRO1	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes WRO1	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes twice per shift WRO1	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes Twice per shift WRO1	1
	Conduct a perimeter check, to look for the following:					

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17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes WRO1	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No WRO1	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No WRO1	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No WRO1	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No WRO1	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No WRO1	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No WRO1	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No WRO1	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes WRO1	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes WRO1	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes WRO1	2
28	Is the electronic system tested at the beginning of shift?	X			Yes WRO1	1
29	Is the electronic system tested at the end of shift?	X			Yes WRO1	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Yes twice per shift WRO1	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes Twice per shift WRO1	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes WRO1	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes WRO1	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes ebj3-3/16/15	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Post Orders compliant with policy ebj3-3/16/15	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes ebj3/3/16/15	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			Yes ebj3/3-16-15	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes ebbj3-3/16/15	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?		X		On 3/5/15 the flashlights in CDU were not color coded or engraved. Capt. Kraatz 3/9/15 DO712 1.2.1.5 Permanently engrave/stamp and color-code all tools, prior to placing them on the master tool inventory, to identify the tool control areas or the unit to which they are assigned. Tools that cannot be engraved/stamped or color-coded without damage or violating health code standards shall be stored in a readily inventoried and secured area. Only the Tool Control Officer shall mark tools.	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes ebj3-3/16/15	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes ebj3-3/16/15	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			ebj3/m61 - 3/24/15	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes ebj3-3/16/15	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes ebj3-3/16/15	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			no ladders in use on this tour tool inventory/storage location compliant ebj3/m61 3/24/15	2
13	Have any tools been misplaced or lost in the past 90 days?	X			No ebj3/m61 - 3/24/2015	2

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	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			yes ebj3/m61	2

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Reviewed ebj3/m61 3/24/15	1
16	Inspect any kitchen tool shadow boards in use.	X			Inspected ebj3/m61 3/24/15	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			yes/logged in journal ebj3/m61 3/24/15	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			yes ebj3/m61 3/24/15	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes ebj3-3/16/15	1

Corrective Action Plans for Competency: TOOL CONTROL
6 Inspect all tool storage areas and review controls and documentation. Has the Tool Control Officer permanently engraved/stamped and color-coded all tools? **Level 1 Amber User: Adam Kraatz Date: 3/9/2015 9:18:31 AM**
Corrective Plan: Flashlights in CDU have been engraved, color coded and properly inventoried to comply with this finding, and was completed on 03/10/2015 and verified by the Cerbat COS.
Corrective Actions: As stated

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A-no towers at Cerbat Unit	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			N/A	1
4	Is staff following the Post Orders for tower operations?	X			N/A	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes. EBJ3-03/05/2015	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes. EBJ3/M61 - 03/05/2015	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes. EBJ3/M61	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes. EBJ3/M61	1
5	Are the inmates being transported properly accounted for?	X			Yes. EBJ3/M61 - 03/05/2015	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes. EBJ3/M61 - 03/05/2015	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes. EBJ3/M61 - 03/05/2015	1
8	Are searches of transported inmates completed as required?	X			Yes. EBJ3/M61 - 03/05/2015	1
9	Are inmates transported with escape flyers?	X			Yes. Inmate, inmate ID, escape flyer checked at entrance to Sallyport. Inmates must match photos on ID and escape flyers to gain access to sallyport and released to work. EBJ3/M61 - 03/05/2015	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			yes ebj3-3/25/15	1
2	Are the staff requiring and checking identification?	X			yes ebj3	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			yes ebj3	2
4	Are staff performing pat-searches and strip-searches properly?	X			Yes Dax3 observed work crew returing and process on intake. Dax3	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes. EBJ/3-3/5/15	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			[redacted]	1
7	Do the number of assigned staff seem adequate?	X			Yes. EBJ/3-3/5/15	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes ebj3	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			Yes EBJ3/M61	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			yes ebj3	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			Yes ebj3	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			Yes EBJ/3-3/05/15	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes DAX3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes DAX3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes DAX3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes DAX3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes DAX3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes DAX3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes DAX3	1
8	Are firearms qualification records current?	X			Yes DAX3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes DAX3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes DAX3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes DAX3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes DAX3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes DAX3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes DAX3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes DAX3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes DAX3	1
17	Are only authorized persons admitted into the armory?	X			Yes DAX3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes DAX3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			Yes D.W. of operations no major DAX3	2

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20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory.	X			Yes DAX3 Yes completed 03/18/15 DAX3	2
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes DAX3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes DAX3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes DAX3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes DAX3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are required posts and positions filled/posted with appropriately qualified personnei?	X			yes ebj3	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?		X		During tour on 04/21/2015 it was notice By Capt Dominguez and COIII Esterline that the kitchen door leading into east yard chow hall dining area was open and the east door leading form the chow hall dining area to the east yard was open. There was no lock door from the east yard to the kitchen prep area. [redacted] 703.01 SECURITY DEVICE INSPECTION EFFECTIVE DATE: 03/06/2013 703 Definition: SECURITY DEVICE - Any apparatus whose function is to restrict entry to or exit from a specific area or location, such as a gate, fence, locking mechanism or alarm system. For the purpose of this Order, security device is; electronic or keyed locking 703 mechanism, security doors, windows or gates, bars, screens, fences, stun and stun lethal fences, microwave, video and communication systems, areas of restricted inmate access (e.g., sand traps/perimeter drag zones) and any other system designed specifically to restrict inmate access and provide custody control of the inmate population. 1.7.4 When touring/inspecting, at a minimum, check for security device issues, review Correctional Service Journals and verify fire/safety, security device and housing unit inspections are documented and deficiencies identified, check for maintenance issues, walls in need of repainting, trash on the yard and sanitation. Upon notification of fire/safety or security device deficiencies, ensure corrective action is implemented as soon as possible. Speak with staff regarding security concerns, the work environment and any other pertinent issues. Randomly speak with inmates regarding issues / concerns. Also conduct ICS, DART and fire drills Dax3	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			yes ebj3	1
4	Are emergency contact iist for employees and resources readily available, in the even of an incident?	X			yes-in main control and emailed ebj3	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:

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5	* Post to be inspected	X			yes ebj3	1
6	* Required inspection forms	X			yes ebj3	1
7	* Frequency of inspections	X			yes ebj3	1
8	* Guidelines for checking security features	X			yes ebj3	1
9	* Procedure for reporting deficiencies	X			yes ebj3	1
10	Are security inspections kept on file?	X			yes ebj3	1
11	Is the unit in compliance with its own Post Order on inspections?	X			yes ebj3	2

Corrective Action Plans for Competency: ADMINISTRATIVE
2 Are there Post Orders for every security officer post? If so, are they available for review at their respective post? **Level 1 Amber User: Abel Dominguez Date: 4/22/2015 4:10:22 PM**
Corrective Plan: This security breach was addressed with all Cerbat supervisors via face to face briefings or E-Mail 04/21/2015. Supervisors and administrative staff will continue to check and redirect as needed any issue such as this during the security inspections during their daily assignments.
Corrective Actions: As stated

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is inmate movement controlled/coordinated by staff?	X			Yes Dax3	2
2	Does the picture board match the count sheets?	X			yes ebj3	1
4	Are Formal Counts being conducted on each shift?At what times?	X			yes. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			yes ebj3	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes Dax3	1

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DETENTION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X				1
2	Is detention unit sanitation meeting standards?	X				1
3	Examine the IO's and PO's and determine compliance with policy requirements.		X		04/01/15 during day shift, staff had one door open, with no staff present, between the two runs. [redacted]	1
4	Did detention records reflect any curtailments of services?	X				1
5	Did detention logs contain, at a minimum, the required information?	X				1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X				1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X				2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?		X		During day shift on 04/01/15, staff had the door between the two runs open with no staff present. [redacted]	2

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Corrective Action Plans for Competency: DETENTION
3 Examine the IO's and PO's and determine compliance with policy requirements. **Level 1 Amber User: Samuel Arredondo Date: 4/3/2015 4:51:25 PM**
Corrective Plan: Staff as well as supervisors have been directed to ensure that this door remains secured in CDU. It is being addressed, in the daily briefing, and checked upon during supervisor rounds in CDU. Since this incident this door has not been left unsecured without staff present.
Corrective Actions: As stated
6 Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders? **Level 2 Amber User: Samuel Arredondo Date: 4/3/2015 4:52:26 PM**
Corrective Plan: Detention staff have been directed to ensure that the door between the two detention runs is to be secured at all times unless staff are present at the door. Since this incident the door has not been found unsecured.
Corrective Actions: As stated

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INGRESS/EGRESS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			yes ebj	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			yes ebj	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes ebj3	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes ebj3	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X				1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes Dax3 yes Dax3	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes Dax3	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes Dax3	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes Dax3	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?		X		No on 04/14/2015 it was notice that keyset # CO84 had a broken key and documentation was not found or the piece of the missing key in key box. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.2.2 Inspected monthly for proper function. 1.2.2.1 Repair or replacement of keys/key rings shall be completed as needed and documented on Locksmith Work Order, Form 702-6.	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Yes Dax3	2
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 04/14/2015 it was noticed that keyset CO42 was not signed out but was missing from key box. Shortly after control room officer located keys set CO 42 on the yard. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 14. Are keys stored in a manner to prevent inmate access when they are not in the possession of a staff member or other authorized person and provide for an exact accounting for all to include present location and possessors? DO 702.02, 1.3.3.1 and 1.3.3.3; DAX3	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?		X		On 04/14/2015 it was noticed that keyset CO42 was not signed out but was missing from key box. Shortly after control room officer located keys set CO 42. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 14. Are keys stored in a manner to prevent inmate access when they are not in the possession of a staff member or other authorized person and provide for an exact	2

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					accounting for all to include present location and possessors? DO 702.02, 1.3.3.1 and 1.3.3.3;	
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes Dax3	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes Dax3	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes Dax3	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes Dax3	1
12	Is there a list of emergency key rings and their locations?	X			Yes Dax3	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes Dax3	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes Dax3	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes Dax3	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes Dax3	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes Dax3	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			Yes Dax3	2

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Corrective Action Plans for Competency: KEY CONTROL
4 Have keys been inspected for proper function, and repairs or replacement made as needed? **Level 1 Amber User: Abel Dominguez Date: 4/14/2015 5:37:09 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the keys found broken, and staff have been reminded to inspect all keys as they log on service journals daily. If key discrepancies are found they are to notify a supervisor, and complete the proper documentation to include an IR, and lock smith work order for submission.
Corrective Actions: As stated
6 Upon key or key ring issuance or return, is an entry being made in a log? **Level 1 Amber User: Abel Dominguez Date: 4/14/2015 5:25:33 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the key checkout process and accountability procedures dictated. Supervisors have been tasked to ensure that key accountability is a top priority and to observed the counting procedures on their assigned shifts. This will be closely monitored.
Corrective Actions: As stated
7 Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff? **Level 2 Amber User: Abel Dominguez Date: 4/14/2015 5:26:12 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the key checkout process and accountability procedures dictated. Supervisors have been tasked to ensure that key accountability is a top priority and to observed the counting procedures on their assigned shifts. This will be closely monitored.
Corrective Actions: As stated

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MAIL/PROPERTY						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are two staff members present when conducting inmate property inventories, when required?	X			yes ebj3	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the reievant Inventory form(s)?	X			yes ebj3	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?		X		yes ebj3 On 4/21/15 in Dorm 7 in the cabinet in the officers station there was a MTC uniform hat in the unsecured cabinet. In Dorm 6 there was a siezed inmate ice chest and several pieces of orange clothes. The swing shift officer said he wasn't sure what that was and that day shift had left it there without any paperwork. Capt. Kraatz 4/27/15 DO513 1.3 Supervisors shall routinely inspect employee work areas to ensure all personal property is authorized and appropriate for a prison environment and is properly recorded in the personal property file maintained by the Chief of Security. DO909 909.07 CONTRABAND/UNAUTHORIZED/UNCLAIMED PROPERTY SEIZURE AND DISPOSITION 1.1.3 Submit an Inmate Property/Contraband/Disposition Tracking form, or an Inmate Bank Receipt, Form 905-9, through their immediate supervisor to the Contraband Control Officer.	1
5	Is the mail-screening process in place effective?	X			yes ebj3	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes ebj3	1

4	Review Post Orders to ensure that local instructions are adequate.	X			ebj3	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes ebj3	1

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Corrective Action Plans for Competency: MAIL/PROPERTY
3 Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property? **Level 1 Amber User: Adam Kraatz Date: 4/27/2015 7:08:10 AM**
Corrective Plan: Staff have been directed to ensure that all posts are in proper order, and all inmate forfeit property is documented properly and delivered to the proper areas. Staff have been addressed about securing property at the officer station and re-directed to ensure that all officer property is properly secured or in possession at all times while on duty, or being relieved.
Corrective Actions: As stated

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PERIMETER						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			yes ebj3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			yes ebj3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			yes ebj3	1
4	Is the perimeter being checked at the beginning of shift?	X			yes ebj3	1
5	Is the perimeter being checked at the end of shift?	X			yes ebj3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			[redacted]	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X				1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			only during inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			yes ebj3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			NO two perimeter patrols one on perimeter second one rover. Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			no ebj3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			yes ebj3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			yes ebj3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			no ebj3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			no ebj3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			no ebj3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			no ebj3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			no ebj3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			Yes on a work crew buggie advised MTC Captain this is not allowed. Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			no ebj3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			ebj3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes check on 04/09/15 Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			no ebj3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			yes ebj3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Yes during inclement weather Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			NO incident Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			yes ebj3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			NO incident Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			yes ebj3	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			yes ebj3	1
3	Does staff transmit only communications that are job related?	X			yes ebj3	1
4	Are radio operators using profane or vulgar language?	X			No ebj3	1
5	Are staff using unnecessary conversation on the radio?	X			NO Dax3	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			yes ebj3	1
2	Is staff/inmate access to all control rooms restricted?		X		yes ebj3 This gar finding is not for this Competency but does fall under Inmate Disciplinary. Received three inmate disciplinary 21 days late the incident took place on 03/19/15 at 17:30 hours. All three tickets were written incorrectly. [redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate [redacted] was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:09 hours. I/M [redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate [redacted] was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:14 hours. I/M [redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate [redacted] was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:14 hours. DO 803.03 FILING AND DISPOSITION OF DISCIPLINARY REPORTS DO 1.3.9 The Inmate Disciplinary Report shall include any of the following that apply: DO 1.3.9.1 A description and location of any physical evidence. DO 1.3.9.2 A description of any force used by the inmate or staff. DO 1.3.9.3 Any immediate corrective action taken. DO 1.3.9.4 Any unusual inmate behavior. 1.3.9.5 Witnesses. DAX3 04/09/15	2

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Corrective Action Plans for Competency: INMATE REGULATIONS/INMATE DISCIPLINE
2 Is staff/inmate access to all control rooms restricted? **Level 2 Amber User: Abel Dominguez Date: 4/9/2015 1:39:34 PM**
Corrective Plan: Training is being conducted with staff to ensure proper disciplinary when written is done according to this policy. A thorough review of all disciplinary is being conduced at the Lieutenants level to include the Chief of Security to ensure that this issue is properly handled and errors on disciplinary reports are kept to a minimum or sent back for corrections and followed up on within time frames.
Corrective Actions: As stated

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SEARCHES						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes.Capt. Kraatz 4/24/15	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			yes. Capt. Kraatz 4/24/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?		X		No on 4/22/15 at 1430 while observing the gate officer pat down inmates returning from outside work crews he did not have the inmates remove their hats or search the hats. Capt. Kraatz 4/24/15 DO708 1.6 Pat Search 1.6.3 When performing a pat search the following method shall be utilized: 1.6.3.2 Direct the subject to face away from the staff member, remove any hat or jacket, and direct the subject not to turn around. 1.6.3.5 If the subject is wearing a hat or jacket, or both, they shall be searched, paying special attention to the: 1.6.3.5.1 Inside rim of hat.	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes. Capt. Kraatz 4/24/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes. Capt. Kraatz 4/24/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. Capt. Kraatz 4/24/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		No On 4/22/15 I reviewed the journal in Dorm 10 and the following searches were logged in the journal. [redacted] on 4/20/15 at 0939, [redacted] on 4/20/15 at 0955, and [redacted] on 4/20/15 at 1843 but when I went to shift command the Sgt. should me the unit seach log on the computer and it didn't show those bunks had been searched yet. Capt. Kraatz 4/24/15 DO708 1.3 General Search Requirements 1.3.1 Staff shall document searches of inmate living areas, and any search in which contraband (other than nuisance contraband) is found in the Correctional Service Log, Form 105-6 and unit search log (or other means) to provide a permanent record of searches.	1
					No. On 4/22/15 I reviewed the journal in Dorm and and the movement sheets. The movement sheet for 4/21/15 shows there were two moves in Dorm 8 inmate [redacted] and inmate [redacted] The journal does not show those bunks were searched when the inmates moved. Capt. Kraatz 4/24/15	

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					[redacted]	
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. Capt. Kraatz 4/24/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. Capt. Kraatz 4/24/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes. Capt. Kraatz 4/24/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes. Capt. Kraatz 4/24/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes. Capt. Kraatz 4/24/15	1

Corrective Action Plans for Competency: SEARCHES

3 Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:21:21 AM

Corrective Plan: Staff have been addressed and will ensure that hats are removed as work crews return to the facility for pat down. Complex staff will assist with the return of the crews as this will aid in correction of this issue. This will be monitored by supervisors and administration staff.

Corrective Actions: As stated

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:28:06 AM

Corrective Plan: Supervisors and staff have been directed to coordinate searches and ensure that proper logging is taking place. All searches are assigned at the shift commander level, and tracked on the search report. Supervisors will ensure that all assigned searches are correctly logged on this report and coordinated with line staff for completion.

Corrective Actions: As stated

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:35:03 AM

Corrective Plan: Staff and supervisors have been directed to ensure that searches of vacated bunks are completed as soon as the bunk is vacated by the present occupant and logged in the service journals. This will be monitored by all supervisors. All movement coordinated by the accountability officer will have the following documentation in the e-mail.

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Staff will search all vacated bunks after inmate has departed for movement / transfer / prior to any inmate taking assignment to a new bunk area. Shift sergeant will ensure that searches are completed.
Corrective Actions: As stated

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SECURITY DEVICES						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes Dax3 yes dax3	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes Dax3	2

	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes Dax3	1
4	* Unit Control rooms	X			Yes Dax3	1
5	* Security system warning panels	X			Yes Dax3	2
6	* Applicable perimeter detection devices	X			Yes Dax3	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes Dax3 Longest sdi open is sence 02/16/15	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes Dax3	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes Dax3	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes Dax3	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes Dax3	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes Dax3	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes Dax3	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes Dax3	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes patrol officer assigned Dax3	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift Dax3	1

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	Conduct a perimeter check, to look for the following:					
17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
18	If possible to observe, are there any missing or displaced fence ties?	X			NO Dax3	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No Dax3	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			Yes during tour the maintance buggie had inmate clothing in it and it was unsecured, brought to Captians attention. Dax3	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
28	Is the electronic system tested at the beginning of shift?	X			Yes Dax3	1
29	Is the electronic system tested at the end of shift?	X			Yes Dax3	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No Dax3	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shit Dax3	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes Dax3	2

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TOOL CONTROL						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes Dax3	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Yes Dax3	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes Dax3	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?		X		On 04/18/2015 it was notice that form 712-4 (tool check-out) was incomplete there was no name for Tool control officer or signature both area's were blank. 712.02 TOOL SECURITY AND STORAGE DO 1.2 Tool Rooms/Inventories DO 1.2.1 The Tool Control Officer shall: DO 1.2.1.1 Ensure that all tools are checked-out and returned using the Tool Check-Out, Form 712-4. The bottom copy shall be provided to the requestor with the tools at the time of check-out. Dax3	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes Dax3	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			Yes Dax3	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes Dax3	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes Dax3	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			Yes Dax3	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes Dax3	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes Dax3	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			Yes Dax3	2
13	Have any tools been misplaced or lost in the past 90 days?	X			NO Dax3	2

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	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			Yes Dax3	2

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Yes Dax3	1
16	Inspect any kitchen tool shadow boards in use.	X			Yes Dax3	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes Dax3	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes Dax3	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes Dax3	1

Corrective Action Plans for Competency: TOOL CONTROL
4 Inspect all tool storage areas and review controls and documentation. Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out? **Level 1 Amber User: Abel Dominguez Date: 4/21/2015 2:34:39 PM**
Corrective Plan: Staff signing out tools have been directed to ensure that 712-4 tool forms are completed properly. Supervisors on rounds are to spot check these areas and address any issues with responsible staff failing to completed the form correctly. This will be followed up and closely monitored.
Corrective Actions: As stated

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TOWERS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A - no towers at cerbat unit ebj3/m61	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A ebj3/m61	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			N/A ebj3/m61	1
4	Is staff following the Post Orders for tower operations?	X			N/A ebj3/m61	2

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TRANSPORTATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes Dax3	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes Dax3	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes Dax3	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes Dax3	1
5	Are the inmates being transported properly accounted for?	X			Yes Dax3	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes Dax3	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes Dax3	1
8	Are searches of transported inmates completed as required?	X			Yes Dax3	1
9	Are inmates transported with escape flyers?	X			Yes Dax3	1

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VISITATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			yes ebj3	1
2	Are the staff requiring and checking identification?	X			yes ebj3	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			ebj3	2
4	Are staff performing pat-searches and strip-searches properly?	X			observed pat searches - yes ebj3	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes ebj3	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			monitored by walking staff ebj3	1
7	Do the number of assigned staff seem adequate?	X			yes ebj3	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes ebj3	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			yes-unlocked for each use ebj3	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			yes ebj3	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			yes ebj3	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			yes ebj3	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes Dax3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes Dax3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes Dax3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes Dax3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			Yes Dax3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes Dax3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes Dax3	1
8	Are firearms qualification records current?	X			Yes Dax3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes Dax3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes Dax3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes Dax3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes Dax3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes Dax3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes Dax3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes Dax3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes Dax3	1
17	Are only authorized persons admitted into the armory?	X			Yes Dax3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes Dax3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			No major on unit check competed with Complex D.W. Warden Dax3	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on	X			Yes Dax3	2

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	most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes Dax3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes Dax3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X				2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes Dax3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are required posts and positions filled/posted with appropriately qualified personnei?	X			yes ebj3	2
2	Are there Post Orders for every security officer post? If so, are they availabie for review at their respective post?		X		During tour on 04/21/2015 it was notice By Capt Dominguez and COIII Esterline that the kitchen door leading into east yard chow hall dining area was open and the east door leading form the chow hall dining area to the east yard was open. There was no lock door from the east yard to the kitchen prep area. [redacted] 703.01 SECURITY DEVICE INSPECTION EFFECTIVE DATE: 03/06/2013 703 Definition: SECURITY DEVICE - Any apparatus whose function is to restrict entry to or exit from a specific area or location, such as a gate, fence, locking mechanism or alarm system. For the purpose of this Order, security device is; electronic or keyed locking 703 mechanism, security doors, windows or gates, bars, screens, fences, stun and stun lethal fences, microwave, video and communication systems, areas of restricted inmate access (e.g., sand traps/perimeter drag zones) and any other system designed specifically to restrict inmate access and provide custody control of the inmate population. 1.7.4 When touring/inspecting, at a minimum, check for security device issues, review Correctional Service Journals and verify fire/safety, security device and housing unit inspections are documented and deficiencies identified, check for maintenance issues, walls in need of repainting, trash on the yard and sanitation. Upon notification of fire/safety or security device deficiencies, ensure corrective action is implemented as soon as possible. Speak with staff regarding security concerns, the work environment and any other pertinent issues. Randomly speak with inmates regarding issues / concerns. Also conduct ICS, DART and fire drills Dax3	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			yes ebj3	1
4	Are emergency contact list for employees and resources readily availabie, in the even of an incident?	X			yes-in main control and emailed ebj3	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:

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5	* Post to be inspected	X			yes ebj3	1
6	* Required inspection forms	X			yes ebj3	1
7	* Frequency of inspections	X			yes ebj3	1
8	* Guidelines for checking security features	X			yes ebj3	1
9	* Procedure for reporting deficiencies	X			yes ebj3	1
10	Are security inspections kept on file?	X			yes ebj3	1
11	Is the unit in compliance with its own Post Order on inspections?	X			yes ebj3	2

Corrective Action Plans for Competency: ADMINISTRATIVE
2 Are there Post Orders for every security officer post? If so, are they available for review at their respective post? **Level 1 Amber User: Abel Dominguez Date: 4/22/2015 4:10:22 PM**
Corrective Plan: This security breach was addressed with all Cerbat supervisors via face to face briefings or E-Mail 04/21/2015. Supervisors and administrative staff will continue to check and redirect as needed any issue such as this during the security inspections during their daily assignments.
Corrective Actions: As stated

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is inmate movement controlled/coordinated by staff?	X			Yes Dax3	2
2	Does the picture board match the count sheets?	X			yes ebj3	1
4	Are Formal Counts being conducted on each shift?At what times?	X			yes. [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			yes ebj3	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes Dax3	1

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DETENTION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X				1
2	Is detention unit sanitation meeting standards?	X				1
3	Examine the IO's and PO's and determine compliance with policy requirements.		X		04/01/15 during day shift, staff had one door open, with no staff present, between the two runs. [redacted]	1
4	Did detention records reflect any curtailments of services?	X				1
5	Did detention logs contain, at a minimum, the required information?	X				1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X				1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X				2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?		X		During day shift on 04/01/15, staff had the door between the two runs open with no staff present. [redacted]	2

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Corrective Action Plans for Competency: DETENTION
3 Examine the IO's and PO's and determine compliance with policy requirements. **Level 1 Amber User: Samuel Arredondo Date: 4/3/2015 4:51:25 PM**
Corrective Plan: Staff as well as supervisors have been directed to ensure that this door remains secured in CDU. It is being addressed, in the daily briefing, and checked upon during supervisor rounds in CDU. Since this incident this door has not been left unsecured without staff present.
Corrective Actions: As stated
6 Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders? **Level 2 Amber User: Samuel Arredondo Date: 4/3/2015 4:52:26 PM**
Corrective Plan: Detention staff have been directed to ensure that the door between the two detention runs is to be secured at all times unless staff are present at the door. Since this incident the door has not been found unsecured.
Corrective Actions: As stated

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INGRESS/EGRESS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			yes ebj	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			yes ebj	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes ebj3	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes ebj3	1
5	Randomiy observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X				1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			Yes Dax3 yes Dax3	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Yes Dax3	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Yes Dax3	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Yes Dax3	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?		X		No on 04/14/2015 it was notice that keyset # CO84 had a broken key and documentation was not found or the piece of the missing key in key box. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.2.2 Inspected monthly for proper function. 1.2.2.1 Repair or replacement of keys/key rings shall be completed as needed and documented on Locksmith Work Order, Form 702-6.	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Yes Dax3	2
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 04/14/2015 it was noticed that keyset CO42 was not signed out but was missing from key box. Shortly after control room officer located keys set CO 42 on the yard. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 14. Are keys stored in a manner to prevent inmate access when they are not in the possession of a staff member or other authorized person and provide for an exact accounting for all to include present location and possessors? DO 702.02, 1.3.3.1 and 1.3.3.3; DAX3	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff?		X		On 04/14/2015 it was noticed that keyset CO42 was not signed out but was missing from key box. Shortly after control room officer located keys set CO 42. 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.3.3.3 Provide an exact accounting for all institution/unit keys to include present locations and possessors. 14. Are keys stored in a manner to prevent inmate access when they are not in the possession of a staff member or other authorized person and provide for an exact	2

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					accounting for all to include present location and possessors? DO 702.02, 1.3.3.1 and 1.3.3.3;	
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Yes Dax3	1
9	Review the records of key duplications; are they incompliance with policy?	X			Yes Dax3	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Yes Dax3	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Yes Dax3	1
12	Is there a list of emergency key rings and their locations?	X			Yes Dax3	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Yes Dax3	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Yes Dax3	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Yes Dax3	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Yes Dax3	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Yes Dax3	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			Yes Dax3	2

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Corrective Action Plans for Competency: KEY CONTROL
4 Have keys been inspected for proper function, and repairs or replacement made as needed? **Level 1 Amber User: Abel Dominguez Date: 4/14/2015 5:37:09 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the keys found broken, and staff have been reminded to inspect all keys as they log on service journais daily. If key discrepancies are found they are to notify a supervisor, and complete the proper documentation to include an IR, and lock smith work order for submission.
Corrective Actions: As stated
6 Upon key or key ring issuance or return, is an entry being made in a log? **Level 1 Amber User: Abel Dominguez Date: 4/14/2015 5:25:33 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the key checkout process and accountability procedures dictated. Supervisors have been tasked to ensure that key accountability is a top priority and to observed the counting procedures on their assigned shifts. This will be closely monitored.
Corrective Actions: As stated
7 Are keys/key rings inventoried at the beginning and ending of each shift and documented on the appropriate logs by assigned staff? **Level 2 Amber User: Abel Dominguez Date: 4/14/2015 5:26:12 AM**
Corrective Plan: Key control room staff have been directed to follow policy regarding the key checkout process and accountability procedures dictated. Supervisors have been tasked to ensure that key accountability is a top priority and to observed the counting procedures on their assigned shifts. This will be closely monitored.
Corrective Actions: As stated

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MAIL/PROPERTY						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are two staff members present when conducting inmate property inventories, when required?	X			yes ebj3	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant Inventory form(s)?	X			yes ebj3	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?		X		yes ebj3 On 4/21/15 in Dorm 7 in the cabinet in the officers station there was a MTC uniform hat in the unsecured cabinet. In Dorm 6 there was a siezed inmate ice chest and several pieces of orange clothes. The swing shift officer said he wasn't sure what that was and that day shift had left it there without any paperwork. Capt. Kraatz 4/27/15 DO513 1.3 Supervisors shall routinely inspect employee work areas to ensure all personal property is authorized and appropriate for a prison environment and is properly recorded in the personal property file maintained by the Chief of Security. DO909 909.07 CONTRABAND/UNAUTHORIZED/UNCLAIMED PROPERTY SEIZURE AND DISPOSITION 1.1.3 Submit an Inmate Property/Contraband/Disposition Tracking form, or an Inmate Bank Receipt, Form 905-9, through their immediate supervisor to the Contraband Control Officer.	1
5	Is the mail-screening process in place effective?	X			yes ebj3	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes ebj3	1

4	Review Post Orders to ensure that local instructions are adequate.	X			ebj3	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes ebj3	1

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Corrective Action Plans for Competency: MAIL/PROPERTY
3 Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property? **Level 1 Amber User: Adam Kraatz Date: 4/27/2015 7:08:10 AM**
Corrective Plan: Staff have been directed to ensure that all posts are in proper order, and all inmate forfeit property is documented properly and delivered to the proper areas. Staff have been addressed about securing property at the officer station and re-directed to ensure that all officer property is properly secured or in possession at all times while on duty, or being relieved.
Corrective Actions: As stated

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			yes ebj3	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			yes ebj3	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			yes ebj3	1
4	Is the perimeter being checked at the beginning of shift?	X			yes ebj3	1
5	Is the perimeter being checked at the end of shift?	X			yes ebj3	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			[redacted]	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			[redacted]	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			only during inclement weather Dax3	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			yes ebj3	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			NO two perimeter patrols one on perimeter second one rover. Dax3	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			no ebj3	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			yes ebj3	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			yes ebj3	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			no ebj3	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			no ebj3	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			no ebj3	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			no ebj3	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			no ebj3	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			Yes on a work crew buggie advised MTC Captain this is not allowed. Dax3	2
20	Are there any signs of wildlife that threaten fence integrity?	X			no ebj3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			ebj3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes check on 04/09/15 Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			no ebj3	2
27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			yes ebj3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Yes during inclement weather Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			No Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2

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36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			NO incident Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			yes ebj3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			NO incident Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No Dax3	2

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RADIOS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Are inventories of radios maintained?	X			yes ebj3	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			yes ebj3	1
3	Does staff transmit only communications that are job related?	X			yes ebj3	1
4	Are radio operators using profane or vulgar language?	X			No ebj3	1
5	Are staff using unnecessary conversation on the radio?	X			NO Dax3	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			yes ebj3	1
2	Is staff/inmate access to all control rooms restricted?		X		yes ebj3 This gar finding is not for this Competency but does fall under Inmate Disciplinary. Received three inmate disciplinary 21 days late the incident took place on 03/19/15 at 17:30 hours. All three tickets were written incorrectly. I/M [redacted] #[redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] #[redacted] was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate Castro was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:09 hours. I/M[redacted] # [redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] # [redacted]was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate [redacted]was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:14 hours. I/M[redacted] #[redacted] 02b Assault on inmate On 03/19/15 approximately 17:30 hours an ICS was initiated in Dorm 2A-pod by Officer Wynn # 1442 after observing an assaulted inmate. Inmate [redacted] A #[redacted] was observed by Officer Wynn at the housing unit of the assaulted inmate and camera footage confirmed his involvement. Inmate [redacted]was verbally placed on report by officer Willett # 1422 on 03/19/15 at 23:14 hours. DO 803.03 FILING AND DISPOSITION OF DISCIPLINARY REPORTS DO 1.3.9 The Inmate Disciplinary Report shall include any of the following that apply: DO 1.3.9.1 A description and location of any physical evidence. DO 1.3.9.2 A description of any force used by the inmate or staff. DO 1.3.9.3 Any immediate corrective action taken. DO 1.3.9.4 Any unusual inmate behavior. 1.3.9.5 Witnesses. DAX3 04/09/15	2

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Corrective Action Plans for Competency: INMATE REGULATIONS/INMATE DISCIPLINE
2 Is staff/inmate access to all control rooms restricted? **Level 2 Amber User: Abel Dominguez Date: 4/9/2015 1:39:34 PM**
Corrective Plan: Training is being conducted with staff to ensure proper disciplinary when written is done according to this policy. A thorough review of all disciplinary is being conduced at the Lieutenants level to include the Chief of Security to ensure that this issue is properly handled and errors on disciplinary reports are kept to a minimum or sent back for corrections and followed up on within time frames.
Corrective Actions: As stated

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes.Capt. Kraatz 4/24/15	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			yes. Capt. Kraatz 4/24/15	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?		X		No on 4/22/15 at 1430 while observing the gate officer pat down inmates returning from outside work crews he did not have the inmates remove their hats or search the hats. Capt. Kraatz 4/24/15 DO708 1.6 Pat Search 1.6.3 When performing a pat search the following method shall be utilized: 1.6.3.2 Direct the subject to face away from the staff member, remove any hat or jacket, and direct the subject not to turn around. 1.6.3.5 If the subject is wearing a hat or jacket, or both, they shall be searched, paying special attention to the: 1.6.3.5.1 Inside rim of hat.	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes. Capt. Kraatz 4/24/15	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes. Capt. Kraatz 4/24/15	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes. Capt. Kraatz 4/24/15	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?		X		No On 4/22/15 I reviewed the journal in Dorm 10 and the following searches were logged in the journal. [redacted] 4/20/15 at 0939. [redacted] on 4/20/15 at 0955, and [redacted] n 4/20/15 at 1843 but when I went to shift command the Sgt. should me the unit seach log on the computer and it didn't show those bunks had been searched yet. Capt. Kraatz 4/24/15 DO708 1.3 General Search Requirements 1.3.1 Staff shall document searches of inmate living areas, and any search in which contraband (other than nuisance contraband) is found in the Correctional Service Log, Form 105-6 and unit search log (or other means) to provide a permanent record of searches.	1
					No. On 4/22/15 I reviewed the journal in Dorm and and the movement sheets. The movement sheet for 4/21/15 shows there were two moves in Dorm 8 inmate [redacted] and inmate Poage. The journal does not show those bunks were searched when the inmates moved. Capt. Kraatz 4/24/15	

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					[redacted]	
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes. Capt. Kraatz 4/24/15	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes. Capt. Kraatz 4/24/15	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes. Capt. Kraatz 4/24/15	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes. Capt. Kraatz 4/24/15	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?	X			Yes. Capt. Kraatz 4/24/15	1

Corrective Action Plans for Competency: SEARCHES

3 Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:21:21 AM

Corrective Plan: Staff have been addressed and will ensure that hats are removed as work crews return to the facility for pat down. Complex staff will assist with the return of the crews as this will aid in correction of this issue. This will be monitored by supervisors and administration staff.

Corrective Actions: As stated

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:28:06 AM

Corrective Plan: Supervisors and staff have been directed to coordinate searches and ensure that proper logging is taking place. All searches are assigned at the shift commander level, and tracked on the search report. Supervisors will ensure that all assigned searches are correctly logged on this report and coordinated with line staff for completion.

Corrective Actions: As stated

8 Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?
Level 1 Amber User: Adam Kraatz Date: 4/24/2015 7:35:03 AM

Corrective Plan: Staff and supervisors have been directed to ensure that searches of vacated bunks are completed as soon as the bunk is vacated by the present occupant and logged in the service journals. This will be monitored by all supervisors. All movement coordinated by the accountability officer will have the following documentation in the e-mail.

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Staff will search all vacated bunks after inmate has departed for movement / transfer / prior to any inmate taking assignment to a new bunk area. Shift sergeant will ensure that searches are completed.
Corrective Actions: As stated

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes Dax3 yes dax3	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes Dax3	2
	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes Dax3	1
4	* Unit Control rooms	X			Yes Dax3	1
5	* Security system warning panels	X			Yes Dax3	2
6	* Applicable perimeter detection devices	X			Yes Dax3	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes Dax3 Longest sdi open is sence 02/16/15	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes Dax3	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes Dax3	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit--to include inmate living quarters and activity areas?	X			Yes Dax3	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes Dax3	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes Dax3	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes Dax3	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes Dax3	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes patrol officer assigned Dax3	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Yes twice per shift Dax3	1

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	Conduct a perimeter check, to look for the following:					
17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
18	If possible to observe, are there any missing or displaced fence ties?	X			NO Dax3	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence Inspection?	X			No Dax3	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No Dax3	2
23	Was there a presence or any signs of tools, clothing, or contraband Items in proximity to the perimeter at time of inspection?	X			Yes during tour the maintance buggie had inmate clothing in it and it was unsecured, brought to Captians attention. Dax3	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
28	Is the electronic system tested at the beginning of shift?	X			Yes Dax3	1
29	Is the electronic system tested at the end of shift?	X			Yes Dax3	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No Dax3	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes twice per shit Dax3	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes Dax3	2

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TOOL CONTROL						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			Yes Dax3	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			Yes Dax3	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			Yes Dax3	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?		X		On 04/18/2015 it was notice that form 712-4 (tool check-out) was incomplete there was no name for Tool control officer or signature both area's were blank. 712.02 TOOL SECURITY AND STORAGE DO 1.2 Tool Rooms/Inventories DO 1.2.1 The Tool Control Officer shall: DO 1.2.1.1 Ensure that all tools are checked-out and returned using the Tool Check-Out, Form 712-4. The bottom copy shall be provided to the requestor with the tools at the time of check-out. Dax3	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			Yes Dax3	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			Yes Dax3	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			Yes Dax3	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			Yes Dax3	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			Yes Dax3	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			Yes Dax3	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			Yes Dax3	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			Yes Dax3	2
13	Have any tools been misplaced or lost in the past 90 days?	X			NO Dax3	2

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	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			Yes Dax3	2

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			Yes Dax3	1
16	Inspect any kitchen tool shadow boards in use.	X			Yes Dax3	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			Yes Dax3	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			Yes Dax3	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			Yes Dax3	1

Corrective Action Plans for Competency: TOOL CONTROL
4 Inspect all tool storage areas and review controls and documentation. Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out? **Level 1 Amber User: Abel Dominguez Date: 4/21/2015 2:34:39 PM**
Corrective Plan: Staff signing out tools have been directed to ensure that 712-4 tool forms are completed properly. Supervisors on rounds are to spot check these areas and address any issues with responsible staff failing to completed the form correctly. This will be followed up and closely monitored.
Corrective Actions: As stated

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TOWERS						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A - no towers at cerbat unit ebj3/m61	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A ebj3/m61	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			N/A ebj3/m61	1
4	Is staff following the Post Orders for tower operations?	X			N/A ebj3/m61	2

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TRANSPORTATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			Yes Dax3	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			Yes Dax3	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			Yes Dax3	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			Yes Dax3	1
5	Are the inmates being transported properly accounted for?	X			Yes Dax3	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			Yes Dax3	1
7	Are physical restraints being applied correctly on transported inmates?	X			Yes Dax3	1
8	Are searches of transported inmates completed as required?	X			Yes Dax3	1
9	Are inmates transported with escape flyers?	X			Yes Dax3	1

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VISITATION						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			yes ebj3	1
2	Are the staff requiring and checking identification?	X			yes ebj3	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			ebj3	2
4	Are staff performing pat-searches and strip-searches properly?	X			observed pat searches - yes ebj3	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			Yes ebj3	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X			monitored by walking staff ebj3	1
7	Do the number of assigned staff seem adequate?	X			yes ebj3	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes ebj3	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			yes-unlocked for each use ebj3	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			yes ebj3	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			yes ebj3	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			yes ebj3	2

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WEAPONS/DART						
	Performance Measure (Description)	**Grn**	**Amb**	**Red**	**Notifications**	**Level**
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes Dax3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes Dax3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Yes Dax3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes Dax3	1
5	Obtain and review the Warden's file of firearm training Incidents.	X			Yes Dax3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes Dax3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes Dax3	1
8	Are firearms qualification records current?	X			Yes Dax3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes Dax3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes Dax3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes Dax3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes Dax3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes Dax3	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes Dax3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes Dax3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes Dax3	1
17	Are only authorized persons admitted into the armory?	X			Yes Dax3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes Dax3	2
19	Is the Armorer conducting monthly Inventories of all weapons and munitions with their Major?	X			No major on unit check competed with Complex D.W. Warden Dax3	2
20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on	X			Yes Dax3	2

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	most recent inventory.					
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes Dax3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes Dax3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X				2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes Dax3	1

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ADMINISTRATIVE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are required posts and positions filled/posted with appropriately qualified personnel?	X			Yes BBA8	2
2	Are there Post Orders for every security officer post? If so, are they available for review at their respective post?	X			yes ebj3	1
3	Are logs established and maintained at security officer duty post(s) or otherwise/elsewhere as needed/required?	X			yes ebj3	1
4	Are emergency contact list for employees and resources readily available, in the even of an incident?	X			yes - hard copy in main control ebj3/m81	1

	Does the facility have a comprehensive security inspection policy/Post Order? Identifying:					
5	* Post to be inspected	X			yes ebj3	1
6	* Required inspection forms	X			Yes BBA8	1
7	* Frequency of inspections	X			Yes BBA8	1
8	* Guidelines for checking security features	X			Yes BBA8	1
9	* Procedure for reporting deficiencies	X			Yes BBA8	1
10	Are security inspections kept on file?	X			Yes BBA8	1
11	Is the unit in compliance with its own Post Order on inspections?	X			Yes BBA8	2

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COUNTS/INMATE MOVEMENT						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is inmate movement controlled/coordinated by staff?	X			yes ebj3	2
2	Does the picture board match the count sheets?	X			yes ebj3	1
4	Are Formal Counts being conducted on each shift?At what times?		X		Yes but on 05/29/2015 during 11:00 formal count it was notice no Supervisor was in accountability to verify count or completion as housing unit officer called in count. 701.04 INMATE COUNTS DO 1.1.2.3 Reported to unit Accountability Officers or in the absence of the Accountability Officer, the responsible officer as designated by the Shift Commander. DO 1.1.2.4 Verified by unit Shift Commanders. [redacted] DO 1.4.2 Initiate actions to resolve discrepancies when all assigned inmates are not accounted for by any of the following: DO 1.4.2.1 Recalculating counts. DO 1.4.2.2 Recounting inmates. DO 1.4.2.3 Conducting emergency counts. DO 1.4.2.4 Declaring escapes. Yes [redacted]	2
5	Do the formal counts include physical ID card to face check and are they recorded on the appropriate AIMS count sheet?	X			yes ebj3	1
6	Is there documentation (information and significant information reports) supporting any emergency counts?	X			Yes-previous - no emergency counts as of this date for May 2015 ebj3 5/7/15	1

Corrective Action Plans for Competency: COUNTS/INMATE MOVEMENT

4 Are Formal Counts being conducted on each shift?At what times?
Level 2 Amber User: Abel Dominguez Date: 5/29/2015 1:06:14 PM

Corrective Plan: A shift commander will be in Accountability for all formal counts. If in the absence of a shift commander a supervisory staff will be present. All counts will be conducted according to ADC policy. Shift supervisors failing to be present in accountability for formal count will be subject to disciplinary actions. Lt. Fisher have been made aware of this policy and will abide by the directive....

Corrective Actions:

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DETENTION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	For inmates who are under investigation - examine all records and make a determinations as to whether or not time frames are intact.	X			Yes Dax3	1
2	Is detention unit sanitation meeting standards?	X			yes ebj3	1
3	Examine the IO's and PO's and determine compliance with policy requirements.	X			ebj3	1
4	Did detention records reflect any curtailments of services?	X			no ebj3	1
5	Did detention logs contain, at a minimum, the required information?	X			yes ebj3	1
7	Did correctional officers conduct a general sanitation/ security inspection of the detention unit during each shift?	X			yes ebj3	1
8	Are random, periodic inmate welfare checks conducted at specified intervals designated, ensuring patterns do not develop.	X			Yes Dax3	2

6	Observe the opening of cell and run doors. Did the staff follow the applicable Post Orders?	X			yes ebj3	2

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INGRESS/EGRESS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is staff assigned responsibility for each post that serves as an entry/exit point for the secure perimeter of a Unit?	X			yes ebj3	2
2	Is assigned staff maintaining a log of every person entering/exiting the secure perimeter of the Unit?	X			yes ebj3	1
3	Are individuals seeking entry/exit to/from a secure Unit having their identity verified with at least one form of picture ID issued by a governmental entity, i.e., drivers license, passport, state identification card, employer identification cards, etc?	X			yes ebj3	2
4	Are ID cards of non-ADC employees being held at the entry/exit point and a temporary ID card being issued?	X			yes ebj3	1
5	Randomly observe staff and other persons entering the unit to ensure proper searches and ID verifications are completed.	X			proper searches and ID verification conducted ebj3	1
6	Is all personal property being cleared through the metal detector, to include all food items, and be inspected prior to the person being permitted entry into the unit?	X			yes ebj3	2

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KEY CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Is a master key inventory maintained that specifies key numbers, location of the lock/locking device, the number of keys available for each lock/locking device, key rings and the number of keys on each ring.	X			Capt. Kraatz 5/13/15	3
2	Do rings of keys have a tag attached that is stamped with the number of keys on the ring.	X			Capt. Kraatz 5/13/15	1
3	Is a monthly inspection and inventory of keys/key rings, including emergency keys/key rings and locking devices, conducted?	X			Capt. Kraatz 5/13/15	2
4	Have keys been inspected for proper function, and repairs or replacement made as needed?		X		On 5/13/15 while inspecting keys in Main Control key set CO48 have keys #3900, 2DA1-2 and 2DA1-4 that are worn and unreadable. Myself, Capt. Dominguez, and Sgt. Phillips could not identify which keys were which since the numbers were wore off. Capt. Kraatz 5/13/15 702.02 KEY INVENTORY, STORAGE, ISSUANCE AND INSPECTIONS 1.1 Wardens and Deputy Wardens shall ensure master key inventories are maintained specifying the following: 1.1.1 Key and key tag numbers.	1
5	Are all keys/key rings coded and stored in such a manner as to allow easy determination of the presence or absence of keys/key rings?. The key control system shall provide an exact accounting for all institution/unit keys to include present location and possessor.	X			Capt. Kraatz 5/13/15	2
6	Upon key or key ring issuance or return, is an entry being made in a log?		X		On 5/13/15 key set CO44 was signed in at 1000 on the Key and Credit Card Control Log but was not in the key box at 1345. The female Officer in Control stated that she forgot to log that key set out that it went back at 1000 on 5/13/15. Capt. Kraatz DO702 1.4 Issuing and Returning of Keys and Key Rings - Assigned central control and/or main control room employees shall document the following entries on the Key and Credit Card Control, Form 702-1: 1.4.1 Key/key ring number. 1.4.2 Date of issue and return. 1.4.3 Name of employee or other authorized person to whom the key/key ring was issued. 1.4.4 Initials of the staff member who issued keys and/or key rings. 1.4.5 Name of the staff member or other authorized person returning keys/key rings. 1.4.6 Initials of the staff member to whom the key/key ring was returned.	1
7	Are keys/key rings inventoried at the beginning and ending of each shift and documented on the	X			Capt. Kraatz 5/13/15	2

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	appropriate logs by assigned staff?					
8	Are keys/key rings that are permanently issued to a specific employee signed for on the Receipt of Permanent Issue Keys/Key Rings?	X			Capt. Kraatz 5/13/15	1
9	Review the records of key duplications; are they incompliance with policy?	X			Capt. Kraatz 5/13/15	1
10	Are key blanks and key cutting equipment secured when not in use?	X			Capt. Kraatz 5/13/15	2
11	Have Wardens or their designees identified locks and locking devices that affect life, health or safety and designated keys to those areas as emergency keys?	X			Capt. Kraatz 5/13/15	1
12	Is there a list of emergency key rings and their locations?		X		On 5/13/15 while inspecting the emergency keys on the yellow key set, the "B" key has identifying numbers and letters on it. It still shows ASSA, V-10 and 274 on the key. Capt. Kraatz 5/13/15 DO702 1.8 Individual keys shall be identified by having the alpha designator for the door each key fits engraved on the key. Manufacturer numbers shall be removed from the key and shall not be used to identify the key. Manufacturer numbers shall be maintained in the master key inventory.	1
13	Are two staff present when a red seal is broken to retrieve an emergency key set?	X			Capt. Kraatz 5/13/15	1
14	Are two staff present when the emergency key set is returned and a new seal is put in place?	X			Capt. Kraatz 5/13/15	1
15	Do the names of the staff members present (at time of red seal break and restoration) appear in the Correctional Service Log (or equivalent)?	X			Capt. Kraatz 5/13/15	1
16	Does each door or lock within a building or area have a key on an emergency key ring marked with the color and alpha designator for the key? The marking shall consist of a colored circle, or dot, with the alpha designator stenciled within the circle.	X			Capt. Kraatz 5/13/15	1
17	Are officers able to open the locks and locking devices that affect life, health or safety with the emergency key ring? If not, are keys and locks "Alpha/Color Dot System" coded?	X			Capt. Kraatz 5/13/15	2
18	Has any key(s) been lost or misplaced, and if so, did the staff member discovering the loss immediately notify their supervisor, initiate a search for the key, and submit an Information Report, Form 105-2, to the shift supervisor?	X			Capt. Kraatz 5/13/15	2

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Corrective Action Plans for Competency: KEY CONTROL
4 Have keys been inspected for proper function, and repairs or replacement made as needed? **Level 1 Amber User: Adam Kraatz Date: 5/13/2015 4:19:00 PM**
Corrective Plan: This issue has been resolved and will be followed closely when conducting the monthly key inspection / function test. Daily staff will ensure that a full inspection of keys are completed upon issue / return to combat this issue from persisting.
Corrective Actions: As stated
6 Upon key or key ring issuance or return, is an entry being made in a log? **Level 1 Amber User: Adam Kraatz Date: 5/13/2015 4:20:07 PM**
Corrective Plan: Staff have been directed to ensure that keys are properly accounted for and inventoried properly as policy dictates. Supervisors will review all key / equipment issue logs for completion and full accountability for every shift. During the shift keys are returned to control, and staff may forget to inventory properly.This is why we do a beginning and end of shift key inventory to ensure that all keys and equipment are accounted for prior to a shift change. Going forward staff forgetting to complete this inventory or sign in equipment or keys will be subject to the disciplinary process and closely monitored by shift commanders.
Corrective Actions:
12 Is there a list of emergency key rings and their locations? **Level 1 Amber User: Adam Kraatz Date: 5/13/2015 4:25:28 PM**
Corrective Plan: This issue has been resolved on 05/19/2015 by the complex key officer. During the monthly review of the key inspection / function test this will be thoroughly reviewed by staff conducting the inspection and report findings to the shift commander for correction. Upon discovery of a key discrepancy an IR is generated and forwarded to the Chief of Security to be read in the morning meeting and corrective action taken with the Complex key officer. Upon completion of the found discrepancy the Complex key officer will notify the Chief of Security.
Corrective Actions:

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MAIL/PROPERTY						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are two staff members present when conducting inmate property inventories, when required?	X			yes ebj3	1
2	Are staff conducting another inventory in those instances of an inmate not packing their personal property, and indicate the receipt of each individual item by cross-checking in the "Receiving" column of the relevant inventory form(s)?	X			yes ebj3	1
3	Are records maintained of the disposition of all contraband, physical evidence, unauthorized property and unclaimed property?	X			yes ebj3	1
5	Is the mail-screening process in place effective?		X		5/5/15, An envelope stamped IR Approval was sent from Kingman Complex Mailroom (211705) to inmate [redacted] at PV Complex. Envelope returned for Unauthorized Correspondence". dt08/14 comments on 01/22/15 document the recipient is no longer approved to receive any IR communication. ebj3 914.04.1.3 - Inter-relational communication shall not contain communications with or on behalf of any other inmates that do not have inter-relational mail approval.	1
7	Is legal mail being received, handled, logged, and delivered as required by policy?	X			yes	1

4	Review Post Orders to ensure that local instructions are adequate.	X			yes ebj3	1
6	Are staff scanning or reading up to 10% of outgoing mail?	X			yes ebj3 yes ebj3	1

Corrective Action Plans for Competency: MAIL/PROPERTY

5 Is the mail-screening process in place effective?
Level 1 Amber User: Betty Esterline Date: 5/5/2015 8:46:14 AM

Corrective Plan: The mailroom staff have been directed that they shall check AIMS to ensure that both the sender and recipient inmates are IR approved before forwarding any mail. In the past they were only checking the sending inmate from Kingman.

DW H Santiago

Corrective Actions: As statred

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PERIMETER						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are staff in compliance with the Post Orders for the operation of the perimeter and associated posts?	X			yes ebj3 Yes Dax3 05/13/15	2
2	Does the Post Order include instructions on: 1) how to conduct a physical perimeter security check; 2) how to conduct an electronic alarm system test, if so equipped; 3) how to document perimeter findings?	X			Yes Dax3 05/13/15	1
3	Are staff familiar with the Post Orders related to inmate escape, and ADC policy requirements in the event of such an incident?	X			Yes Dax3 05/13/15	1
4	Is the perimeter being checked at the beginning of shift?	X			Yes Dax3 05/13/15	1
5	Is the perimeter being checked at the end of shift?	X			Yes Dax3 05/13/15	1
6	Is the perimeter being checked at other fixed times during the shift? If so, when?	X			Constant perimeter patrol Dax3 05/13/15	1
7	Is the perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Constant perimeter patrol Dax3 05/13/15	1
8	Is perimeter security enhanced beyond normal practices for relevant incidents? What sort of incidents lead to enhanced perimeter?	X			NO Dax3 05/15/15	2
9	Does the perimeter officer also bear responsibility for checking parking lots for suspicious, idling, or abandoned vehicles? (Yes/No)	X			Yes Dax3 05/13/15	1
10	If so, does such parking lot detail detrimentally impact performance of primary duties on the perimeter?	X			No Dax3 05/13/15	1
11	Have there been any signs, reports, or indications of any success or attempt to penetrate the perimeter for the purpose of entering prison grounds? (Yes/No)	X			No Dax3 05/13/15	2
12	Are there procedures in place to deter unauthorized visitors from entering prison grounds via perimeter access? Do they seem adequate?	X			yes Dax3 05/13/15	3
	Conduct a perimeter check, to look for the following:					
13	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3 05/13/15	2
14	Are there any obvious structural weaknesses, gaps, holes, or other signs of missing/damaged/displaced/tampered fence structure?	X			No Dax3 05/13/15	3

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15	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3 05/13/15	1
16	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3 05/13/15	2
17	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3 05/13/15	1
18	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3 05/13/15	1
19	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?		X		On 05/13/2015 while on perimeter inspection with MTC Sgt. Phillips we noticed one inmate in no man's land behind building 2 with no escort and about 50 feet of water hose. His crew boss was located between building 2 and 3 near the gate that opens into the main North yard. No visual contact with the inmate while behind the building. DO 712.02 TOOL SECURITY AND STORAGE 1.3 Categories - Tools shall be divided into a minimum of two categories in accordance with Attachments A and B. Only the minimal number of tools shall be on hand in the unit. 1.3.1 Class A tools present an inherent safety or security risk. Examples include files, knives, saw blades and grinders. 1.3.1.1 Class A tools shall only be used under staff supervision and have their own hanging device and shadow on the board. Class A tools shall be stored in a secured tool room or storage area when not in use. 1.5.1 Tools shall be issued to staff or inmates supervised by staff at the direction of the Chief of Security. Dax3 05/13/2015	2
20	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
21	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
22	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
23	Is the perimeter officer an armed post? (Yes/No)	X			Yes Dax3	2
24	If the perimeter officer is an armed post, does the perimeter officer have a current weapons qualification card?	X			Yes Dax3	1
25	Does the unit have a drivable perimeter? (Yes/No)	X			Yes Dax3	2
26	Are non-staff vehicles permitted on the perimeter? (excluding other law enforcement and/or emergency response vehicles)	X			yes Dax3	2

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27	Are signs posted directing non-staff vehicles from driving on the perimeter?	X			yes Dax3	1
28	Are there vehicle turnarounds on the perimeter at (approx) 400-yard intervals?	X			Yes Dax3	1
29	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
30	Is the electronic system tested at the beginning of shift, and shown to be operational?	X			Yes Dax3	1
31	Is the electronic system tested at the end of shift, and shown to be operational?	X			Yes Dax3	1
32	Is the electronic system tested at other fixed times during the shift? If so, when?	X			Constant perimeter patrol Dax3	1
33	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Twice per shift Dax3	1
34	Has the electronic system given any false alarms in the last 30 days?	X			NO Dax3	2
35	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2
36	If there is a service contract, has the vendor been timely in responding to service calls for alarm system failure?	X			Yes Dax3	3
37	Is weapons exchange for the perimeter officer done on the perimeter? (Yes/No)	X			Yes Dax3	1
38	Is there a clearing barrel available to the perimeter officer at the time of weapons exchange?	X			Yes Dax3	1
39	During the last 30 days has there been any incident involving weapons on the perimeter, and if so, was appropriate paperwork completed?	X			No Dax3	1
40	Are there any locking mechanisms associated with the physical perimeter (fence gates, sally ports, etc.)? (Yes/No)	X			Yes Dax3	2
41	Are the keys for the perimeter locking mechanisms being handled appropriately?	X			Yes Dax3	1
42	Has there been any incident involving perimeter locking mechanism failures or loss of keys during the last 30 days, and if so, was appropriate paperwork completed?	X			No Dax3	2
43	Did any such incident require enhanced perimeter security and result in appropriate corrective action?	X			No incident Dax3	2

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Corrective Action Plans for Competency: PERIMETER
19 Conduct a perimeter check, to look for the following: Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection? **Level 2 Amber User: Abel Dominguez Date: 5/13/2015 10:12:05 AM**
Corrective Plan: Staff have been directed to ensure that policy regarding class "A" tools are followed and a review with all shift commanders has been completed. This has been covered in the daily briefing and staff will ensure that the policy is followed. While an inmate is in "No man's land" or while a class "A" tool is in use a constant visual will be maintained by a staff member. Any future incidents of this nature by any staff member will result in formal discipline.
Corrective Actions:

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RADIOS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are inventories of radios maintained?	X			Yes Dax3	1
2	Are staff monitoring and appropriately responding to radio transmissions?	X			Yes Dax3	1
3	Does staff transmit only communications that are job related?	X			Yes Dax3	1
4	Are radio operators using profane or vulgar language?	X			No Dax3	1
5	Are staff using unnecessary conversation on the radio?	X			No Dax3	1
6	Are assigned call numbers used during each radio transmission, except while under ICS?	X			Yes Dax3	1

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INMATE REGULATIONS/INMATE DISCIPLINE						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security officer posts located in or immediately adjacent to inmate living areas to permit officers to see or hear and respond promptly to emergency situations?	X			Yes Dax3 yes ebj3	1
2	Is staff/inmate access to all control rooms restricted?	X			Yes Dax3 yes ebj3	2

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SEARCHES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are strip/pat searches being conducted pursuant to ADC requirements?	X			Yes Dax3	1
2	Are strip searches conducted in a physical setting where inmates do not have ready opportunity to conceal or transfer contraband?	X			Yes Dax3	1
3	Evaluate staff compliance with the specific steps required for strip/pat searches. Are they effective?	X			Yes Dax3	1
5	Are all inmates whose work or program duties are outside the perimeter of the assigned unit strip-searched each time the inmate returns to the unit?	X			Yes Dax3	2
6	Are thorough searches performed on all vehicles entering or exiting the secure perimeter of the unit?	X			Yes Dax3	2
7	Do staff members conduct searches whenever they have reason to believe inmates or visitors are concealing contraband?	X			Yes Dax3	1
8	Are housing searches being conducted according to policy? Are they conducted at irregular times and logged?	X			Yes Dax3	1
9	Are pat searches of inmates conducted by staff members of the same gender as the inmate, when feasible?	X			Yes Dax3	1
10	Are employees and contractors who cannot clear the metal detector or hand wand being pat-searched prior to being allowed entry to the unit?	X			Yes Dax3	1
11	Are visitors who cannot clear the metal detector on the first attempt, and fail the hand wand screening during the second attempt, then asked to leave the facility and denied visitation for the day?	X			Yes Dax3	1
12	Determine if hand scanners and metal detectors are in use and functional. Are the settings correct? Are staff ensuring that people entering the facility are clearing the detectors or being pat searched?	X			Yes Dax3	1

4	Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area?		X		Yes Dax3 On 05/26/2015 during strip searches of Cerbat Administration porters it was notice that strip searches were being completed in East Visitation strip room. When walking through the hall way I notice two strip searches being completed. Both inmate were at the back of the room with no barrier between them. Both inmate had their socks and boxers on and were never instructed to remove them. The window in the strip room	1

					leading into the hallways was never covered and if the inmates would have been stripped properly they would have had no privacy from each other or out of sight from anyone passing through the hallway. 708 1.7 Strip Search 1.7.1.1 If reason exists for a strip search to be done immediately, the Shift Commander or Duty Officer may authorize the use of a private area other than the designated strip room. 1.7.2 When performing a strip search the following method shall be utilized. The staff member shall direct the subject to: 1.7.2.1 Empty all pockets and place possessions in an area inaccessible to the subject during the search. 1.7.2.2 Remove all clothing and place in an area inaccessible to the subject during the search. 1.7.3 The staff member shall thoroughly inspect clothing before returning to the subject. Dax3	

Corrective Action Plans for Competency: SEARCHES
4 Is a staff member of the same gender as the person being strip-searched conducting the strip search in a professional manner and in a private area? **Level 1 Amber User: Abel Dominguez Date: 5/29/2015 11:36:36 AM**
Corrective Plan: The strip out procedures have been addressed by supervisors to ensure no more that one inmate is being striped out at a time on either side of the room provided. This will alleviate any issues with an inmates privacy. This procedure will be monitored by supervisory staff.
Corrective Actions:

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SECURITY DEVICES						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Are security device inspections and deficiencies noted in permanent logs and journals?	X			Yes Dax3	1
2	Are deficiencies of a serious nature reported to the shift supervisor immediately, to include completion of work order and information report?	X			Yes Dax3	2

	At a minimum, are the following checked?					
3	* Ingress/egress points and gates that control significant internal inmate traffic	X			Yes Dax3	1
4	* Unit Control rooms	X			Yes Dax3	1
5	* Security system warning panels	X			Yes Dax3	2
6	* Applicable perimeter detection devices	X			Yes Dax3	2
7	Are security device deficiencies repaired in a timely manner?	X			Yes Dax3 02/13/15 Camera not working waiting on parts.	2
8	Does the Chief of Security or designee submit a monthly report of any deficiencies and action taken to their supervisor or their supervisor's designee (DO 703.01)?	X			Yes Dax3	1
9	Review weekly/monthly reports of security devices and determine if they were forwarded to the Warden or Deputy Warden	X			Yes Dax3	1
10	In addition to formal inspections, are Deputy Wardens, Associate Deputy Wardens and Chiefs of Security (or equivalent) spending a minimum of ten hours per week (to equal an average of two hours per day) touring their unit– to include inmate living quarters and activity areas?	X			Yes Dax3	2
11	Is the institution staff completing Form 703-1P to document tours/inspections?	X			Yes Dax3	2
12	Is corrective action taken to remedy any discrepancies found and reported (DO 703.02)?	X			Yes Dax3	1
13	Is the exterior/interior perimeter being checked at the beginning of the shift?	X			Yes Dax3	1
14	Is the exterior/interior perimeter being checked at the end of shift?	X			Yes Dax3	1
15	Is the exterior/interior perimeter being checked at other fixed times during the shift? If so, when?	X			Yes twice per shift Dax3	1
16	Is the exterior/interior perimeter being checked at random times during the shift? If so, how often (routinely)?	X			Constant perimeter patrol Dax3	1

	Conduct a perimeter check, to look for the following:

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17	Is the fence firmly affixed to the uprights, properly aligned and undamaged, maintaining perimeter integrity?	X			Yes Dax3	2
18	If possible to observe, are there any missing or displaced fence ties?	X			No Dax3	1
19	Are there any signs of ground displacement (natural or man-made) to enable passage under the fence?	X			No Dax3	2
20	Are there any structures, obstacles, or other impediments (natural or man-made) that impede vision or line-of-sight of fence inspection?	X			No Dax3	1
21	Do any structures (natural or man-made, temporary or permanent) exist that are physically close enough to the perimeter to jeopardize security or create an escape risk?	X			No Dax3	1
22	Was there a presence or any signs of unexplained man-made or vehicle tracks on the perimeter at time of inspection?	X			No Dax3	2
23	Was there a presence or any signs of tools, clothing, or contraband items in proximity to the perimeter at time of inspection?	X			No Dax3	2
24	Are there any signs of wildlife that threaten fence integrity?	X			No Dax3	1
25	Observe actual perimeter operations and determine compliance with written instruction.	X			Yes Dax3	1
26	Are perimeter findings being documented appropriately, when they do occur?	X			Yes Dax3	1
27	Does the perimeter have any electronic sensing system? (Yes/No)	X			Yes Dax3	2
28	Is the electronic system tested at the beginning of shift?	X			Yes Dax3	1
29	Is the electronic system tested at the end of shift?	X			Yes Dax3	1
30	Is the electronic system tested at other fixed times during the shift? If so, when?	X			No Dax3	1
31	Is the electronic system tested at random times during the shift? If so, how often (routinely)?	X			Yes Twice per shift Dax3	1
32	Is the electronic system covered under a service/repair/ maintenance contract? (Yes/No)	X			Yes Dax3	2
33	Have alarm system failures been properly documented, with appropriate notifications?	X			Yes Dax3	2

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TOOL CONTROL						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Inspect all tool storage areas and review controls and documentation.					
1	Is the process of tool issuance and return in accordance with policy requirements?	X			yes ebj3	2
2	Obtain copies of the Post Orders for tool control and tool room operations. Evaluate this document to ensure it is in compliance with the policy.	X			compliant with policy ebj3	1
3	Are all tools stored on a shadow board in such a manner that their presence or absence can be readily determined? Are those tools that cannot be adapted to the shadow board stored in a secured area in accordance with policy requirements?	X			yes ebj3	1
4	Is the Tool Control Officer ensuring that all tools are checked-out and returned using the Tool Check-Out?	X			yes ebj3	1
5	Is the Tool Control Officer conducting a daily tool inventory?	X			yes ebj3	1
6	Has the Tool Control Officer permanently engraved/stamped and color-coded all tools?	X			yes ebj3	1
7	Does the Tool Control Officer document unserviceable tools for removal?	X			yes ebj3	1
8	Are Class A and Class B tools properly classified and used/ issued/stored appropriately?	X			yes ebj3	2
9	Review tool inventories and determine the type of ladders in use and their storage location.	X			no ladders in use during this tour. Storage includes kitchen toolroom, P-3, Complex. ebj3	1
10	Do silhouettes/shadows closely mirror the outline of each tool to ensure quick inspection of the shadow board?	X			yes ebj3	1
11	Are tools out for repair replaced by a tool chit or laminate card with the tool number or type of tool?	X			yes ebj3	1
12	If ladders are in use, physically inspect the usage and ensure that supervision is present or that the ladder is properly secured.	X			Yes Dax3	2
13	Have any tools been misplaced or lost in the past 90 days?	X			NO Dax3	2

	Physically inspect each area where medical and dental tools and/or sharps are stored.					
14	Do medical and dental tool and sharp counts match their inventories?	X			Yes Dax3	2

	Physically inspect each area where kitchen tools are stored.					
15	Review kitchen tool logs to ensure staff are checking tools out correctly.	X			ebj3	1

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16	Inspect any kitchen tool shadow boards in use.	X			ebj3	1
17	Are kitchen staff conducting kitchen tool inventories at the start and end of each shift? Before and after each meal?	X			yes ebj3	1

	Observe at least one inventory being conducted.					
18	Are all tools/utensils used in the kitchen cabled or chained (attached to the handle), and locked in order that they may be secured to the preparation tables?	X			yes ebj3	1

	Inspect all kitchen tool control/storage areas.					
19	Are all serving/dispensing tools used in the dining room cabled or chained (attached to the handle), and locked in order that they may be secured to the serving table or salad/condiment bar?	X			yes ebj3	1

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TOWERS						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Review the Post Orders for any security towers in the complex.					
1	Does the post order require careful comparison between the individual requesting entry and the identification card of the individual requesting entry?	X			N/A-no towers at Cerbat Unit ebj3/m61	2
2	Examine the tower facility and operations, including weapon security procedures.	X			N/A ebj3	2
3	Are orders and procedures for tower operation equivalent to other weapon storage areas?	X			n/a ebj3	1
4	Is staff following the Post Orders for tower operations?	X			n/a ebj3	2

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TRANSPORTATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Was a Movement Authorization, Form 705-1P, or an Inmate Movement Report, Form 705-2P, as appropriate, prepared and approved as necessary?	X			yes ebj3	1
2	Do staff perform strip searches of all inmates prior to and after transport?	X			yes ebj3	1
3	Are the transportation vehicles appropriate to the task and in good operational order?	X			yes ebj3	1
4	Are the transportation runs being properly staffed (correct number of officers, with current weapons qualifications)?	X			yes ebj3	1
5	Are the inmates being transported properly accounted for?	X			yes ebj3	2
6	Do staff ensure that all inmates are being placed in appropriate restraints for their custody level and classification? (Restraints are not required when transporting a single minimum-custody inmate.)	X			yes ebj3	1
7	Are physical restraints being applied correctly on transported inmates?	X			yes ebj3	1
8	Are searches of transported inmates completed as required?	X			yes ebj3	1
9	Are inmates transported with escape flyers?	X			yes ebj3	1

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VISITATION						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
	Observe the visitation check-in process.					
1	Are visitors prohibited from visiting more than one inmate during visitation, or visiting with another inmate's visitors, unless the inmates are immediate family members of the visitors, and the visitors are approved to visit both inmates?	X			yes ebj3	1
2	Are the staff requiring and checking identification?	X			yes ebj3/m61	1
3	Are visitors and inmates being searched in accordance with policy requirements?	X			yes ebj3	2
4	Are staff performing pat-searches and strip-searches properly?	X			yes ebj3	1
5	Have visitation incidents been documented properly and relevant AIMS entries made?	X			yes ebj3	1
6	Are there any blind spots or other areas that lend themselves to inappropriate behavior?	X				1
7	Do the number of assigned staff seem adequate?	X			yes - extra staff assigned for food visits ebj3	1
8	Are the staff able to conduct supervision and searches in an effective manner without compromising security?	X			yes ebj3	1
9	Are inmate and visitor restrooms controlled by visitation staff?	X			yes ebj3	1
10	Do Shift Commanders tour the visitation areas at least once per shift during the scheduled visiting hours?	X			yes ebj3	1
11	Do On-Site Duty Officers conduct a check of visitation areas at least once during scheduled visiting hours?	X			yes ebj3	1
12	Are staff computer terminals in the visitation area secured from both inmate and visitor access?	X			yes ebj3	2

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WEAPONS/DART						
	Performance Measure (Description)	Grn	Amb	Red	Notifications	Level
1	Does the unit maintain a list of COs who have not qualified with handgun? Not qualified with shotgun? Unfamiliar with gas gun?	X			Yes Dax3 Yes Dax3	1
2	Are there enough classes and range times available to support the needs of the institution?	X			Yes Dax3	1
3	What is the procedure in place to address situations where an employee has failed to qualify?	X			Remedial then out of uniform Dax3	1
4	Does the Firearms Instructor ensure that at least one Firearms Instructor and one Range Safety Officers are assigned per shooting session.	X			Yes Dax3	1
5	Obtain and review the Warden's file of firearm training incidents.	X			No incidents Dax3	1
6	Is firearm training and qualification conducted in compliance with policy?	X			Yes Dax3	1
7	Review a sample of Firearms Qualification Cards requested from officers assigned to armed posts?	X			Yes Dax3 05/02/15 searched perimeter weapons card and ID, Guard cards.	1
8	Are firearms qualification records current?	X			Yes Dax3	1
9	Are weapons issued only to officers with current Firearms Qualification Cards	X			Yes Dax3	1
10	Are DART weapons and required ammunition conveniently available?	X			Yes Dax3	1
11	Are all DART Team members informed of the pre-designated staging area?	X			Yes Dax3	1
12	Review records and determine if regular inventories by the armorer and supervisory staff are conducted as required.	X			Yes Dax3	2
13	Visually inspect all armed posts to ensure weapons availability.	X			Yes Dax3 completed on 05/02/15	1
14	Verify that all weapons stored at armed posts are in plain sight and that inventories are taken and recorded as required.	X			Yes Dax3	1
15	Does the Armorer establish and maintain a system of checks and standards to ensure that firearms were maintained and in functional condition?	X			Yes Dax3	1
16	Are fully charged fire extinguishers installed in the armory?	X			Yes Dax3	1
17	Are only authorized persons admitted into the armory?	X			Yes Dax3	1
18	Is the Armorer conducting weekly inventories of all weapons and munitions with their supervisor?	X			Yes Dax3	2
19	Is the Armorer conducting monthly inventories of all weapons and munitions with their Major?	X			No Major D.W. conducts monthly inventories Dax3	2

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20	Conduct a physical count to confirm accuracy of weapons and munitions counts described on most recent inventory.	X			Completed on 05/02/15 by Capt. Dominguez and MTC	2
21	Are appropriate weapons storage areas sealed with a numbered red seal?	X			Yes Dax3	2
22	Are staff logging red seal numbers at the start and end of each shift?	X			Yes Dax3	2
23	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time any red seal is broken?	X			Yes Dax3	2
24	Is an Information Report and unit/institution Correctional Service Log (or equivalent) entry being completed at the time of after-hours access to any weapons storage locker, describing the circumstances of the access?	X			Yes Dax3	1

ARIZONA DEPARTMENT OF CORRECTIONS

INSPECTOR GENERAL BUREAU

INSPECTIONS UNIT

ASP-Kingman Annual Inspection (November 17 – 19, 2014)

January 5, 2015

Executive Summary
ASP – Kingman

COMPLEX OVERVIEW:

ASP-Kingman provides housing for an average population of 3500 convicted male felons at level II and Level III units.

AUDIT SCOPE:

The inspection conducted Insert from November 17, 2014 through November 20, 2014 included Complex, Cerbat and Hualapai units.

INSPECTION METHODOLOGY:

With Data Collection Instruments, (DCI's) the Inspections Unit inspected twenty-eight competencies.

INSPECTIONS TEAM:

The Inspections team consisted of 6 members of the Inspection's Unit.

INSPECTOR	COMPETENCIES
ASO II Ron Abbl	Key Control, Maintenance, Perimeters & SDI and Searches
ASO II David Houser	Detention, Inmate Regulations, Inmate Work Activities (WIPP), and Transportation
ASO II Jeff Lewis	Administration, Health Services, Legal Access, Staff Grooming, Training, and Weapons/DART
ASO II Meriah Perry	Classification, Accountability, Inmate Letters and Tools
ASO II Larry Ridge	Food Service, Inmate Disciplinary, Radios, Substance Abuse
ASO II Barbara Savage	Inmate Grievances, Records & Court Actions, Mail & Property, Religious Activities and Visitation
All Inspectors	Review Staff Grooming, Ingress/Egress, Inmate Regulations, and GAR issues related to each inspector's competencies.

RECAP OF FINDINGS:

Units	Questions Asked	Findings	Percentage of Compliance
Complex	414	18	95.7%
Cerbat	643	74	88.5%
Hualapai	630	66	89.5%
Total Questions	**1687**	**158**	**90.6%**

Complex

Inmate Discipline

1. If a sanction includes restitution, are appropriate actions taken to ensure the inmate pays the restitution? DO 803.07, 1.14.1.1-1.14.1.1.5; (22)
Finding: Four inmates were sanctioned restitution through the disciplinary system but were not charged the restitution through inmate banking. [redacted] 11/18/2014

Inmate Records Information/Court Actions

2. Upon receipt of the Return Receipt from the Clerk of the Court, was the Inmate's AIMS file updated appropriately with the date on the return receipt entered in the Detainer/Warrant History screen in the Agreement Date field? DO 901.03, 1.2.6; (9)
Finding: The date on the return receipt from the Clerk of the Court was not updated on the Detainer/Warrant History screen (DT03) for [redacted] 11/19/2014

3. Does the OIU Manager ensure the AIMS DT08-CT screen is annotated, (and DT08-87, if an untried detainer), based on the paperwork returned with the inmate (i.e., minute entry or other official document provided by the sending court authority) regarding next court date, pleas agreement, sentencing information, etc.? DO 901.04, 1.7.4; (15)
Finding: The untried detainers are annotated on the DT08-08 screen instead of the DT08-87 screen as required by policy. Inmate reviewed was [redacted] 11/19/2014

4. Are new photographs taken of each inmate every five years of incarceration? DO 901.05, 1.1.5; (18)
Finding: Fifty-two inmates at the Cerbat Unit and Forty-six at the Hualapai Unit, whose photos are older than five years, are listed on the Inmate Photo Taken Reports dated 10/30/14. 11/19/2014

Complex

5. Does the daily population information which is reported to the Offender Services Bureau by 0730 include the following bed designations: General Population/Rated, Temporary General Population, Medical/Mental Health/Rated, Temporary Medical/Mental Health, Outside Count, Special Use/Unrated, Temporary Special use/Unrated, Total Operating Capacity, Red-lined medical hold information and Scheduled Releases for that day and through the end of the next five days? DO 701.01, 1.1.5 through 1.1.5.1.10; (22)
Finding: On October 3rd, the daily population information was not reported by 0730 hours to OSB as stated in an email from Wendy Guin to Jason Gary and Rick Sullivan. 11/19/2014

Key Control

6. Do employees with permanently issued keys/key rings complete the Receipt of Permanent Issue Keys/Key Rings, Form 702-5? 702.02, 1.5.1, (17)
Finding: The Complex Key Control Officer advised there were 46 key sets with multiple keys and an unknown number of hot box keys with individual keys assigned as take home key sets at ASP - Kingman. The file presented during the inspection does not have adequate documentation to ensure all take home keys sets are documented and approved on a Receipt of Permanent Issue Keys/Key Rings, Form 702-5. Additionally, the key control officer had binder clips full of completed Receipt of Permanent Issue Keys/Key Rings from prior years, but could not positively state if he had a Receipt of Permanent Issue Keys/Key Rings for each of the take home key sets. 11/19/2014

Mail and Property

7. Are all requests from persons advising the Warden or Deputy Warden of not wishing to receive mail from an inmate documented in AIMS? DO 914.01, 1.1.5; (1)
Finding: The Complex mailroom does not have copies of all of the requests from persons wishing to not receive mail from an inmate and the documentation in AIMS does not always include the name of the person the inmate is restricted from writing. (Cerbat - [redacted] 11/18/2014

Complex

8. Does the CO III forward copies of the approved Request to Communicate with an Incarcerated Family Member, Form 915-3 to both the respective Mail/Property rooms at the sending and receiving institutions, and note all approvals/denials on AIMS (DT08 14)? DO 914.04, 1.6, 1.9.1, 1.9.4 & 1.9.5; (11)
Finding: The Complex Mailroom does not have copies of all of the approved Request to Communicate with an Incarcerated Family Member, Form 915-3 nor does the Cerbat & Hualapai Property rooms have all of the forms. 11/18/2014

Searches

9. Are searches of inmate living areas and any search where other than nuisance contraband is found, documented in a service journal and in a unit search log? DO 708.01, 1.3.1; (1)
Finding: A search log is not being maintained for the complex area searches, citing there is no need for a search log because no contraband has been located. 11/19/2014

10. [redacted]

Staff Grooming

11. Are all jackets observed to have department patches on both shoulders, a replica of the breast badge over the left breast pocket and the officer's last name embroidered over the right breast pocket? DO 503.03, 1.2.9 through 1.2.9.3;(12)
Finding: Jackets observed using the name plates from the shirts rather than having the names embroidered over the right breast pocket or not having anything on the right breast. 11/17/2014

Complex

Tools

12. Are tools appropriately classified in accordance with Attachments A & B of DO 712? DO 712.01, 1.3; (2)
Finding: There following tools are not listed on the master tool inventory per attachments A & B in DO 712 as such; the search mirror and Maglight flashlight at traffic control, the forklift in ACI and the maintenance shop, the thirteen fifty foot water hoses located at the waste water plant. 11/19/2014

13. Are inventory sheets placed in all areas where tools are stored to include where surplus tools are kept? DO 712.02, 1.2.1.4; (6)
Finding: The inventory for the water key P-01 stored in the pump house by complex had not been updated since September 01, 2014 11/19/2014

14. Are tools stored on a shadow board with shadow closely resembling the outline of each tool and the tool number written next to the shadow? DO 712.02, 1.4.1 and PO 23 4.1; (11)
Finding: Located in a cage on the west side of the office at the waste water treatment plant is a large water key and a wheel barrel without shadows. 11/19/2014

15. [redacted]

Training

16. Have all Department employees and designated health staff taken Introduction to Incident Command System (IS-100), and National Incident Management Systems (NIMS), An Introduction (IS-700a) training once? DO 509-05, 1.6.1 - 1.6.1.2; (10)
Finding: Per the training staff, this requirement is currently in the process of being completing but was not 100% complete at the time of the audit. 11/19/2014

Complex

17. Is there documentation to verify all staff and inmates currently assigned to work in the kitchen have been trained on personal cleanliness/hygiene, as well as sanitary preparation of food, food storage, serving meals, and the care and maintenance of equipment? DO 912.02, 1.1; (18)
Finding: Trinity does not have training documentation for all inmates assigned to both Hualapai and Cerbat kitchens. Of the training documents provided not, all of the forms include the signatures of the inmates to show the training has been completed and not all of the packets have been signed by a trainer who completed the training. 11/19/2014

18. Have visitation staff received proper training to consist of 40 hours of training consisting of 16 hours of classroom and 24 hours of OJT using the Visitation Officer OJT Check Sheet, Form 509-22? DO 911.07, 1.2.3; (19)
Finding: Not all staff currently assigned to visitation have completed the required 40 hours of training. 11/19/2014

Cerbat

Administration

19. Are the minutes from the Correctional Officer's meeting posted on the unit bulletin board? DO 112.03, 1.1; (12)
Finding: No meeting minutes were observed posted on the unit bulletin board. 11/17/2014

20. Does the post have a copy of a current, applicable Post Order (5/15/13 or later) available for staff to review? DO 101.05, 1.8, GAR; (35)
Finding: The "Wheels for the world" tool room has no current applicable Post Orders (PO23). 11/18/201

21. Are orientations documented on the appropriate AIMS screen to include PREA orientations? DO 704.16, 1.4; DO 125.02, 1.4; (59)
Finding: During a review of 1% of the Cerbat population, 12 inmates were found to not have entries in the DT08 screen of orientation since arriving at Cerbat unit. Those inmates are [redacted]

Classification

22. Are "Do not house with" reviews being conducted and documented during each classification action? DO 801.15, 1.4; (21)
Finding: On 10/10/2014, the unit completed a classification action on [redacted] **and there is no documentation to show a "Do not house with" review was completed. 11/13/2014**

23. Once verification that a sibling or parent/child is incarcerated, does a staff members submit "Do not house with" memo to Central Office Classification for AIMS DI37 0 entry? DO 801.15, 1.14 .1; (23)
Finding: In review of the DT04 14 comments and the DI37 screens the unit has multiple inmates who were verified as being related to another male inmate within the custody of the Arizona Department of Corrections and no DI37 entries have been made for example; [redacted]

24. Was all the steps of the initial Protective Custody Review Process completed and documented on the DT08 6 50 screens? DO 805.02, 1.1-1.1.5; (25)
Finding: On 09/22/2014, [redacted] **requested protection and there was no PC hold documented in the DT08 PC. 11/17/2015**

Cerbat

25. Was the information gathered and forwarded to the unit Deputy Warden or designee within five workdays from the Deputy Warden completing the Unit Administrator Protective Custody Review Form 805-2? DO 805.04, 1.4; (30**)**
Finding: On 10/10/2014 the 805 packet for [redacted] was forwarded to the CPS/SSU and not returned until 10/20/2014 without any extension granted by the unit Deputy Warden. 11/17/2014

26. If a request for additional information documented in the AIMS DT08 50 comments by PCU, was the information provided within five workdays of the request? DO 805.06, 1.2.3; (33)
Finding: On 11/07/2014 the 805 packet for [redacted] was returned to the unit by PCU for additional information and as of 11/17/2014, the unit still had not returned the required information to PCU. 11/17/2014

Detention

27. Does the shift commander ensure all involved staff members submit reports by the end of shift, review the reports and complete the Use of Force Checklist form and ensure all reports and the Use of Force Checklist are submitted through the chain of command? DO 804.05, 1.6 - 1.6.1.3, (16)
Finding: Use of Force for [redacted] July 11, 2014, packet has a statement from only one responder when the Use of Force has many responders listed. 11/17/2014

Food Service

28. Are all inmate workers inspected for personal hygiene, open sores, or cuts before allowed to perform duties in the kitchen? TM 912.01, 1.1.3 & 1.1.3.1; (3)
Finding: On 10/28/14 at 1826, five inmates arrived to the kitchen for work. There was no hygiene, open sore or cut inspection documented in the journal. On 10/28/14 at 1957, there were no inmates in the kitchen. No inmates were documented as arriving to the kitchen for work after this time. At 0120, there were seven inmates documented as being strip searched and departing the kitchen. These inmates were not reported as arriving for work or to have had a hygiene, open sore or cut inspection completed. 11/17/2014

Cerbat

29. Does CFSS monitor compliance with restricted diets by using the Restricted Diet Roster and monitoring pickup of restricted diets by completing an Evaluation of Diet (Non-Compliance) form 912-4 and maintain documentation of meals actually served to the inmates who have been prescribed a restricted diet? TM 912.07, 1.10 - 1.10.3; (15)
Finding: In reviewing the diet rosters and the Evaluation of Diet (Non-Compliance) 912-4 forms, it was observed there were 11 inmates who have missed more than five meals in a seven day period. No action has been taken to have the inmates removed from the diet. At the time of the inspection of 1520, two inmates had signed for the dinner meal on 11/17/14 which has not been served yet. 11/17/2014

30. [redacted]

31. Is the current week for the ADC 6 cycle menu visible and posted in the dining room with the current week visible? PO 19 3.1.3; (34)
Finding: There is no six week menu with the current week visibly displayed in the East dinning hall. 11/17/2014

32. [redacted]

33. [redacted]

Cerbat

34. Are Master Inventory Sheets consisting of Master Tool Inventory, Form 712-5 or the standardized computer-generated inventory report of the same form placed in all areas where tools are stored to include where surplus tools are kept? DO 712.02, 1.2.1.4, DO 712.02, 1.2.3.1, GAR; (54)
Finding: The kitchen has a hydraulic floor jack which is listed on attachment B as a class "B" tool. It is stored in the back dock area of the kitchen. The floor jack is not listed on the units Master Tool Inventory, nor is it engraved, shadowed, or checked out on a tool check out form when in use. 11/17/2014

35. Are MSDS Sheets maintained in the institution warehouse, the designated staff member's office, and wherever the products are stored? DO 712.05, 1.1.4; (67)
Finding: The unit was missing the MSDS sheet for the Solid Power XL. They did have the MSDS for "Solid Power" but not for the Solid Power XL. It was corrected that day. 11/17/2014

36. Are Restricted Products controlled by limiting access to staff only, by ensuring staff supervision over inmates using products, and by securing the products in locked containers, vessels or cabinets when the products are not in use? DO 712.05, 1.2; (68)
Finding: The Solid Power XL for the dish machine is not able to be properly secured. It has a cable over the top access flap running down the front of the dispenser and locked behind the bottom feed tube to attempt to secure the chemical container inside the dispenser. The cable can be removed by removing the feed tube which allows access to the chemical and defeating the container. 11/17/2014

Health Service

37. Are any set of multiple tools/instruments counted as one item with the individual items in the set noted on the container inventory and attached to the outside of the container? DO 712.03 1.2.4; (12)
Finding: An Otoscope set consisting of 12 pieces is being inventoried as one kit and there is no list of individual items attached to the outside of the container. 11/18/2014

38. Are health services staff conducting a tool inventory and portable disposal container inventory at the beginning and end of each health services shift? DO 712.03, 1.5; (19)
Finding: No inventories of the portable disposal containers are being conducted. 11/18/2014

Cerbat

39. Did the officer note the results of the inventory in the post Correctional Service Log initial the inventory form(s) and notify the shift commander? DO 712.03, 1.5.2 & PO 15, 1.6.1 - 1.6.3; (21)
Finding: Tool inventories are conducted twice daily on swing and graveyard shift. Several entries only reflect a sharps count being conducted not a tool inventory. 11/17/2014

40. Are inmates required to submit an Inmate Letter, Form 916-1, to Medical Records staff (or to other Health Services staff designated to perform the medical records functions) to request access to their Medical Record? DO 1104.02, 1.1 - 1.1.2; (27)
Finding: HNR's are being allowed for inmates to request a review of their medical records. 11/18/2014

Inmate Accountability/Movement

41. [redacted]

42. Are all external movements entered into AIMS by the end of each shift? DO 701.01, 1.1.4; (9)
Finding: On 10/02/2014 and 10/03/2014, the unit did not enter all external movements by the end of shift causing an issue with the complex numbers not being called to Central Office. 11/18/2014

43. [redacted]

44. Do inmate escape flyers have a frontal and profile digital photograph of the inmate? DO 901.08, 1.1.2.1; (26)
Finding: In review of the escape fliers for the unit the following inmates only had a front facing picture with the escape fliers; Ross #279944, Guzman #286340 and Fortner #288004. 11/17/2014

Cerbat

45. When it is observed that an inmate has changed appearance, do program staff and/or Special Security Unit staff notify the institution OIU for updating the AIMS record and designated MPI staff to create a new escape flyer? DO 901.08, 1.1.3; (28)
Finding: On 11/18/2014 the off site work crews were being released from the Cerbat sally port with appearances not matching their ADC identification cards or escape fliers; [redacted]

Inmate Discipline

46. Are class C violations disposed of within ten work days of the filing date of the violation? DO 803.05, 1.1.1; (12)
Finding: [redacted] was written on 6/23/14. It was due on 7/2/14. [redacted] was transferred to Lewis Complex on 8/14/14. It was dismissed due to time frames according to AIMS on 8/1/14. The disciplinary log shows the inmate was found guilty of a minor on 7/1/14. The Disciplinary Captain changed to log to reflect what AIMS reports. 11/17/2014

47. Are disciplinary hearings held within seven workdays after the date the violation was filed; if not was a Postponement Memorandum supplied explaining the reasons a continuance is needed? DO 803.07, 1.4; (19)
Finding: In reviewing the Disciplinary log and AIMS, it was observed there were three inmates who had tickets dismissed due to time frames. [redacted] which was written on 9/19/14 and was due on 9/30/14. He was transferred to Tucson Complex on 9/30/14. It was dismissed on 10/8/14. [redacted] was written on 9/27/14 and was due on 10/7/14. He was transferred to Lewis Complex on 10/7/14. It was dismissed on 10/8/14. [redacted] was written on 10/15/14. It was due on 10/24/14. He was transferred to Eyman Complex on 10/21/14. It was dismissed on 10/27/14. 11/17/2014

Inmate Regulations

48. Are inmates in compliance with hair grooming requirements? DO 704.01 - 704.02, (1)
Finding: Lt Schwartzkopf and I, while conducting a 704 inspection noticed many inmates out of compliance with hair grooming requirements; inmates needing to put their hair up in a pony tail, inmates with sideburns too long, shaping their beards while having a shaving waiver and mustaches over the top of the lip and extending below the corners of the mouth. 11/17/2014

Cerbat

49. Are inmates in compliance with identification card and clothing requirements? DO 704.03 - 704.05, (2)
Finding: Lt Schwartzkopf and I, while conducting a 704 inspection noticed many inmates out of compliance with identification card and clothing requirements; inmates not tucking in their t-shirts, and not displaying ID cards while out of their living areas. 11/17/2014

50. Are inmates in compliance with housing unit regulations? DO 704.06, 1.1 through 1.7.5, (3)
Finding: LT Schwartzkof and I while conducting a 704 inspection noticed many inmates out of compliance with housing unit regulations; inmates not dressed, more than four legal boxes, clothes lines, empty containers being kept for storage of other items, and appliances left on while inmates where not in living area. 11/17/2014

Inmate Work Activities WIPP

51. Do inmates work (actual work assignment, not to include program hours) more than 40 hours per week, usually six to eight hours per day if so did the Regional Operations Director authorize any exceptions? (Inmates assigned to Wild land Fire Crews or other labor contract based assignments (e.g. ACI or IGAs) which specifically allow it, are exempt from this requirement and may work in excess of 40 hours per week) DO 903.01, 1.2.7, (5)
Finding: [redacted] worked 44 hours, [redacted] worked 56 hours, the first week of pay period 9, 10/11/2014 - 10/24/2014; [redacted] worked 42 hours, inmate #128122 worked 51 [redacted] worked 43 hours, the second week of pay period 9, all with no authorization for overtime. 11/17/2014

52. Do the work program supervisors maintain accurate, written attendance logs, time sheets, work evaluations, etc.? DO 903.01, 1.3, (9)
Finding: [redacted] total hours worked was 80 hour worked for pay period 10, 10/25/2015 - 11/07/2014 his hours recoded each day adds up to 82. 11/17/2014

53. Do the supervisors and inmates sign the evaluations? DO 903.06, 1.4.2, (20)
Finding: [redacted] did not sign their WIPP sheet for their evaluation period 10/11/2014 - 10/24/2014. 11/17/2014

Cerbat

Mail and Property

54. Does the Warden or Deputy Warden review/approve the disposal list and determine a disposal date for all forfeited items? DO 909.07, 1.8.7 & 1.8.8; (51)
Finding: The memo for the forfeited items destroyed on 02/21/14 was not signed by the Deputy Warden. 11/18/2014

55. Does the destruction committee verify all forfeited items listed in the Inmate Property/Contraband Tracking Form, 909-6 are included and checked off as they are disposed of or destroyed? DO 909.07, 1.8.10; (53)
Finding: The Lieutenant who is part of the Destruction Committee does verify each item listed on the Inmate Property/Contraband Tracking, Form-909-6 but does not go with the other committee members to actually observe the destruction of the items. 11/18/2014

56. Are inmate property files set up in four part folders with Side 1 - any required photocopies; Side 2 - inmate property inventories; Side 3 - state issue property records including property received and Side 4 - property release forms? DO 909.10, 1.5 - 1.5.4; (57)
Finding: The following Property Files had paperwork filed in the wrong sections: [redacted] State Issue filed in section 2, [redacted] Property Received in Section 4. 11/18/2014

Maintenance

57. Do all vehicle operators possess an Operator's Vehicle Qualification Card, Form 405-6, or a Commercial Driver's License (CDL) if required? DO 405.04 1.1.; (33)
Finding: [redacted] did not possess an Operator's Vehicle Qualification Card, Form 405-6 when he was assigned to operate the fork lift at Cerbat Unit's ACI work area. 11/19/2014

58. Is training documented on Inmate Driver Training Curriculum, Form 903-12 for each inmate approved for on-site driver status? DO 903.04 1.3.3.6 through 1.3.1.6.1; (35)
Finding: Inmate Driver Training Curriculum, Form 903-12 was in use for [redacted] who operates the ACI forklift on the Cerbat Unit. 11/19/2014

Cerbat

Perimeters and Security Device Inspections

59. [redacted]

Searches

60. Are searches of inmate living areas and any search where other than nuisance contraband is found, documented in a service journal and in a unit search log? DO 708.01, 1.3.1; (1)

Finding: Searches, where other than nuisance contraband is located, are not always correctly documented in the Cerbat Unit Search Log. Examples are as follows: At 1633 hours on 8/8/2014, Staff initiated the ICS when they discovered [redacted] with a black tar-like substance. They issued disciplinary action to the inmate and placed the contraband into the CIU Evidence Locker. Entries for the discovery of the contraband could not be found in the applicable correctional Journal and the Cerbat Unit search log during the inspection. Captain Gary was present when this observation was made. At 0830 on 8/5/2014, Staff initiated the ICS when they discovered [redacted] with a black tar-like substance during a random pat search. They notified the CIU, placed the contraband into the CIU Evidence Locker, issued disciplinary action to the inmate, and escorted him to the Health Unit for urinalysis. Entries for the discovery of the contraband could not be found in the applicable correctional Journal and the Cerbat Unit search log during the inspection. Captain Gary was present when this observation was made. 11/18/2014

Cerbat

61. [redacted]

62. When a search is conducted without the inmate present, is the search conducted by two staff members with an explanation of the inmate's absence documented in the correctional journal and the unit search log? DO 708.02, 1.1.2.2.1; (30)
Finding: While reviewing the Cerbat Unit Search Log, there were searches documented where the inmate was not present but no explanation of his absence in the applicable Correctional Journal. The journal also did not indicate who the two officers were conducting the search. Captain Gary was present when this observation was made. 11/18/2014

Substance Abuse

63. Are strip searches effective, adequate, thorough and in compliance with current ADC policy? DO 708.01, 1.7 - 1.7.3; (13)
Finding: The staff member who was observed conducting the strip search did not inspect inside the inmates inner ears, nor did he have the inmate run his hands through his hair to inspect that area. When conducting the strip search, the officer was checking inside the inmate's mouth. The inmate stated to the officer that he had "Chew" in his gum line. The officer did not have the inmate remove the tobacco from his jaw to inspect both the inside of the inmate's gums or the alleged tobacco product. 11/17/2014

Tools

64. Are tools appropriately classified in accordance with Attachments A & B of DO 712? DO 712.01, 1.3; (2)
Finding: The unit currently does not list the inspections mirror located in the sally port at Cerbat as a class "B" tool as per DO 712 Attachment B. 11/19/2014

65. Is an accurate daily tool inventory conducted and documented in the tool room Correctional Service Log? DO 712.02, 1.2.1.3; (5)
Finding: There are multiple areas throughout the unit where tools are stored and are not being inventoried daily and documented in the Correctional Service Log, i.e. barbers boxes listed as Class B tools stored in the Sergeant's Office. 11/18/2014

Cerbat

Transportation

66. Was a positive face, name, and ADC number to escape bulletin comparison completed before the inmate was placed in the transportation vehicle? DO 705.06, 1.2.3, (3)
Finding: Inspector Abbl noted during the morning of November 18, 2014 work crew bound for Bullhead City there was not a positive face; name and ADC number to escape bulletin comparison conducted on each inmate prior to boarding the vehicle. 11/18/2014

Visitation

67. Do all files have a current notarized letter from the authorized person for each child brought in by a third party? DO 911.01, 1.1.3.3.2; (4)
Finding: The notarized letter submitted to authorize [redacted] to bring minor visitor [redacted] in to visit [redacted] is an authorization for [redacted] to consent to medication treatment for the child, there is no authorization in the letter for the child to be brought inside a prison into visit an inmate. Minor visitor [redacted] is also linked to [redacted] but there is no notarized letter in the inmate's visitation file authorizing her to bring this minor child into the prison. 11/17/2014

68. Does the Warden, Deputy Warden or Associate Deputy Warden, Deputy Warden for Contract Beds, or designee approve all visitation for inmates assigned to the unit? DO 911.01, 1.3; (6)
Finding: The approved application submitted by [redacted] is for "Phones Only" but the information on the inmate's AIMS visitation screens indicate she is approved for "In-Person Visits". 11/17/2014

69. Are minors, upon turning 18, required to submit a new visitation application, clear a ACIC/NCIC check, and pay the one-time background check? DO 911.01, 1.3.5.1; (7)
Finding: The approval for [redacted] to visit [redacted] when she was a minor was not inactivated when she turned 18 years old on 10/22/14 requiring her to resubmit as an adult and pay the one-time background fee. 11/17/2014

Cerbat

70. Does the inmate request changes to the visitation list using the Request to Change Visitation /Telephone Listing 911-3 Form and Visitation List Form 911-1? DO 911.01, 1.7.1; (16)
Finding: The visitation staff made changes to visitation lists and or AIMS Visitation Records based on submission of a Request to Change Visitation /Telephone Listing, Form 911-3 nor is the inmate required to submit a new Visitation List, Form 911-1, example: [redacted] 11/17/2014

71. Is all required visitor/visit information entered in AIMS? DO 911.01, 1.8.1; (17)
Finding: The AIMS screen was not updated for [redacted] to indicate the receipt of the birth certificates of minor visitors [redacted] 11/17/2014

72. Does the visitation staff maintain a permanent record log for one year reflecting receipt and/or transfer of all inmate visitation files? DO 911.01, 1.8.4; (20)
Finding: The visitation files for inmate [redacted] was not logged out when he moved to Hualapai on 11/7/14 nor for inmate [redacted] when he moved to ASPC-Florence on 10/30/14. 11/17/2014

73. Are visitors screened to ensure they possess only items listed as allowable property? DO 911.02, 1.12.1 - 1.12.1.9; (29)
Finding: The visitation staff do not place visitors' medication in an envelope with the visitors' identification card. The medicine is placed in a cabinet in the registration area and the identification cards are kept in the Control Room. 11/17/2014

74. Are inmates who refuse to provide a urine specimen or whose urine specimen tests positive for drugs placed on the appropriate Non-Contact Visitation status, regardless of any disciplinary action? DO 911.04, 1.4, 1.4.1 - 1.4.3; (36)
Finding: [redacted] removed early - [redacted] (44/25/13 vs. 5/3/15), Sanctions not ran consecutively - [redacted]. 11/18/2014

75. Is the inmate provided written notification of placement on non contact visitation status? DO 911.04, 1.7; (38)
Finding: There is no documentation in the following inmates' Visitation File to indicate they received written notification of placement on non-contact visitation status: [redacted] 11/18/2014

Cerbat

76. Do the visitation staff submit a memorandum containing all the required information regarding inmates on non-contact visitation status, to the Warden through their chain of command, by the 28th of each month? DO 911.04, 1.10 - 1.10.6; (39)
Finding: The following eight inmates who are on non-contact status according to AIMS were not listed on the Non-Contact memo: [redacted] The information on AIMS and the information on the Non-Contact memo is not the same for the following eleven inmates; [redacted]

77. Do visitation staff document the timeframes and review date for each inmate on non-contact visitation status in AIMS Offender Comments (DT08 82) and Visitation screens? DO 911.04, 1.11; (40)
Finding: The date for the review of the non-contact placement for [redacted] differs between the entry on AIMS and the dates on the non-contact memo (AIMS-5/11/14 vs. memo 5/11/15) – the inmate was placed on non-contact status on 8/11/14. 11/18/2014

78. Do shift commanders tour visitation at a minimum of once per shift during scheduled visiting hours? DO 911.07, 1.4; (49)
Finding: The Visitation Post Log contains no entry for a Swing Shift Commander tour during visiting hours on the weekends of November 8th/9th and November 15th/16th. 11/17/2014

79. During visiting hours, does the on-site duty officer tour each visitation area at least once per weekend? DO 911.07, 1.5 - 1.5.1; (50)
Finding: The Visitation Post Log contains no entry for a On-Site Duty Officer tour during visiting hours on the weekend of November 8th or 9th. 11/17/2014

Hualapai

Administration

80. Are the minutes from the Correctional Officer's meeting posted on the unit bulletin board? DO 112.03, 1.1; (12)
Finding: Warden CO meeting minutes are posted in the briefing book rather than on the bulletin board. 11/18/2014

81. [redacted]

82. [redacted]

83. Are orientations documented on the appropriate AIMS screen to include PREA orientations? DO 704.16, 1.4; DO 125.02, 1.4; (59)
Finding: During a review of 1% of the Hualapai population, 4 inmates were found to not have entries in the DT08 screen of orientation since arriving at Hualapai unit. Those inmates are [redacted]

Classification

84. Are DI61 actions completed within time frames? DO 801.04, 1.2.4 and 1.2.4.1; (5)
Finding: In review of the DI61 overdue report the unit had three inmates without override requests completed outside of the one day time frame to include; [redacted]

85. Once verification that a sibling or parent/child is incarcerated, does a staff members submit “Do not house with” memo to Central Office Classification for AIMS DI37 0 entry? DO 801.15, 1.14 .1; (23)
Finding: On 11/12/2014 it was observed through the review of the DT08 14 comments and the DI37 screens after verification by the unit of the following inmates no DNHW memos or DI37 entries made for the following inmates; [redacted]

Hualapai

86. Was all the steps of the initial Protective Custody Review Process completed and documented on the DT08 6 50 screens? DO 805.02, 1.1-1.1.5; (25)
Finding: There are no entries on the DT08 50 screens of the initial 805 steps for the following inmates; [redacted] (initiated 09/11/2014), [redacted] (initiated 09/28/2014), [redacted] (initiated 08/24/2014), [redacted] (initiated 10/03/2014) and [redacted] (initiated 09/27/2014). 11/18/2014

87. If a request for additional information documented in the AIMS DT08 50 comments by PCU, was the information provided within five workdays of the request? DO 805.06, 1.2.3; (33**)**
Finding: The Protective Custody Unit requested additional information per the DT08 50 comments for; [redacted]
The information was not returned within five workdays. 11/18/2014

88. If the inmate is denied Protective Custody or approved for alternate placement, does the CO IV or designee, document the notification for mental health staff on the AIMS DT08 50 comment screen? DO 805.07, 1.4 - 1.4.2; (36)
Finding: There are not DT08 50 entries in regards to mental health being notified when [redacted] and [redacted] were approved alternate placement by PCU. 11/18/2014

Detention

89. Does the shift commander ensure all involved staff members submit reports by the end of shift, review the reports and complete the Use of Force Checklist form and ensure all reports and the Use of Force Checklist are submitted through the chain of command? DO 804.05, 1.6 - 1.6.1.3, (16)
Finding: Use of Force for Inmate [redacted], and [redacted], 09/02/2014, listed five participants on 804-2 only 3 of them filled out 804-2As. 11/18/2014

90. [redacted]

Hualapai

91. Does staff notify Health Unit staff within one hour of inmates being placed into the detention Unit, unless (Winslow, Globe, Douglas, and Safford, where notification will be within 1 hour of medical staff coming on duty) and complete documentation on the Detention Assignment Checklist? DO 804.01, 1.4, 1.4.1, (362)
Finding: [redacted] and [redacted] Detention Assignment Checklists do not have an entry that medical was notified of them being placed into Detention. 11/18/2014

Food Service

92. Are all inmate workers inspected for personal hygiene, open sores or cuts before allowed to perform duties in the kitchen? TM 912.01, 1.1.3 & 1.1.3.1; (3)
Finding: On 11/3/14 at 0545 there were 27 inmates assigned to the kitchen. There were no other inmates documented as entering the kitchen until 1400 (L/E) where 21 inmates entered the kitchen for a total of 48 inmates now working in the kitchen. There was no documentation in the journal to show a hygiene, open sore and cut inspection was completed on the arriving 21 inmates nor was the a pat search documented. On 11/4/14, there was no hygiene, open sore or cut inspection documented for the 40 inmates who were in the kitchen at 0400. On 11/4/14 at 0927, there were 19 inmates present in the kitchen after two inmates were documented as leaving. The next line for the same time now states there are now 30 inmates in the kitchen. There are 11 additional inmates present according to the journal who were not documented as having a hygiene, open sore or cut inspection completed. 11/19/2014

93. Does CFSS monitor compliance with restricted diets by using the Restricted Diet Roster and monitoring pickup of restricted diets by completing an Evaluation of Diet (Non-Compliance) form 912-4 and maintain documentation of meals actually served to the inmates who have been prescribed a restricted diet? TM 912.07, 1.10 - 1.10.3; (15)
Finding: In reviewing the diet roster and viewing, the Evaluation of Diet (Non-Compliance) 912-4 forms, it was observed there were ten inmates who pre-signed for the dinner meal for 11/18/14 which had not been served yet. The observation was at 1420. There were also eight inmates who have missed more than five meals within a seven day period and no action has been taken to have those inmates removed from the diet. This was being corrected during the inspection of the kitchen as Trinity staff was attempting to identify what inmates were out of compliance for the month. 11/18/2014

Hualapai

94. Are all food storage areas secured with a lock and are the locking devises secured and locked when not in use? TM 912.10, 1.2; (28)
Finding: On 11/17/14 in the evening, it was observed by one of the inspectors that the dry storage area was unsecured. There were inmates in the kitchen and one inmate was observed inside the dry storage. There was no staff present providing direct supervision. On 11/18/14, it was observed a cooler and two food warmers all which had food paned up in them were observed to be unlocked and unsecured. Inmates were present in the area working. 11/18/2014

95. [redacted]

96. [redacted]

97. [redacted]

98. [redacted]

Hualapai

99. Are Master Inventory Sheets consisting of Master Tool Inventory, Form 712-5 or the standardized computer-generated inventory report of the same form placed in all areas where tools are stored to include where surplus tools are kept? DO 712.02, 1.2.1.4, DO 712.02, 1.2.3.1, GAR; (54)
Finding: The kitchen has a hydraulic floor jack which is listed on attachment B as a class "B" tool. It is stored in the back dock area of the kitchen. The floor jack is not listed on the units Master Tool Inventory, nor is it engraved, shadowed or checked out on a tool check out form when in use. 11/17/2014

100. Are Restricted Products controlled by limiting access to staff only, by ensuring staff supervision over inmates using products, and by securing the products in locked containers, vessels or cabinets when the products are not in use? DO 712.05, 1.2; (68)
Finding: The dish washing machine has a dispenser for Solid Power XL attached to it. There is no locking mechanism on the container to secure the chemical. The chemical is not returned to the chemical storage area when not in use. 11/18/2014

Health Service

101. Are health services staff conducting a tool inventory and portable disposal container inventory at the beginning and end of each health services shift? DO 712.03, 1.5; (19)
Finding: No inventories of the portable disposal containers are being conducted. 11/17/2014

102. Did the officer note the results of the inventory in the post Correctional Service Log, initial the inventory form(s) and notify the shift commander? DO 712.03, 1.5.2 & PO 15, 1.6.1 - 1.6.3; (21)
Finding: Tool inventories are conducted twice daily on swing and graveyard shift. The swing shift entries only reflect a sharps count being conducted not a tool inventory. 11/17/2014

103. Are inmates required to submit an Inmate Letter, Form 916-1, to Medical Records staff (or to other Health Services staff designated to perform the medical records functions) to request access to their Medical Record? DO 1104.02, 1.1 - 1.1.2; (27)
Finding: HNR's are being allowed for inmates to request a review of their medical records. 11/18/2014

Hualapai

Inmate Accountability/Movement

104. Are all sections of the DC71 screen completed within one work day of inmates housed together? DC71 & DC44 manual page 6 and 7 (Effective April 9, 2013); (3)
Finding: In review of the population management report there are numerous DC71 actions not completed within the one workday of being housed together for example; [redacted] were housed together on 10/28/2014 and the DC71 screen was not completed until 11/10/2014. 11/13/2014

105. [redacted]

106. When it is observed that an inmate has changed appearance, do program staff and/or Special Security Unit staff notify the institution OIU for updating the AIMS record and designated MPI staff to create a new escape flyer? DO 901.08, 1.1.3; (28)
Finding: It was observed on 11/17/2014 Novakovich #205687 did not match his state issue identification card, he had a full beard and in the picture on his identification card, he was clean shaven. 11/17/2014

Hualapai

Inmate Discipline

107. Are disciplinary hearings held within seven workdays after the date the violation was filed; if not was a Postponement Memorandum supplied explaining the reasons a continuance is needed? DO 803.07, 1.4; (19)
Finding: In viewing AIMS, the disciplinary log and tickets, it was noted there were five tickets which were dismissed due to time frames where there was no postponement. [redacted] which was written on 7/1/14. It was due on 7/11/14. He was transferred to Cerbat CDU on 7/2/14 and then to Tucson Complex on 8/26/14. It was dismissed on 7/31/14. [redacted] was written on 7/16/14. It was due on 7/25/14. He was transferred to Lewis Complex on 7/22/14. It was dismissed on 8/14/14. [redacted] was written on 9/19/14. It was due on 9/30/14. He was transferred to Cerbat on 9/22/14. It was dismissed on 10/8/14. [redacted] was written on 9/23/14. It was due by 10/2/14. He was released to community supervision on 10/3/14. It was dismissed on 10/3/14 and [redacted] which was written on 9/26/14. It was due by 10/16/14 due to the inmate being out to court from 9/30 to 10/8 when he returned to the unit. He was out to court again from 10/17 to 10/28 and then transferred to Eyman Complex on 11/4/14. It was dismissed on 10/6/14. 11/18/2014

Inmate Grievances

108. Are formal grievances and/or appeals rejected if submitted more than five workdays from the receipt of the response? DO 802.03, 1.1, DO 802.04, 1.1,DO 802.05, 1.1, DO 802.07, 1.1; (7)
Finding: The formal grievance response for M59-064-014 was given to the inmate on 7/2/14, the inmate gave his appeal to the Case Manager III on 7/9/14 who in turned gave it to the Grievance Coordinator on 7/14/14. The formal grievance response for M59-068-014 was given to the inmate on 7/11/14, the inmate gave his appeal to the Case Manager III on 7/16/14 who in turned gave it to the Grievance Coordinator on 7/21/14. The result is both of these grievance appeals were submitted to the Grievance Coordinator more than five workdays from the receipt of the response. 11/19/2014

109. Within fifteen days of receiving the complaint, does the Deputy Warden issue a written response to the inmate? DO 802.03; 1.5 - 1.5.1.4, DO 802.08, 1.4.2; (10)
Finding: The appeal responses for formal grievances M59-065-014, M59-070-014, M59-071-014, M59-072-014, and M59-092-014 were returned past the required fifteen workdays required by policy. 11/19/2014

Hualapai

Inmate Regulations

110. Are inmates in compliance with hair grooming requirements? DO 704.01 - 704.02, (1)
Finding: SGT Oretega and I while conducting a 704 inspection noticed many inmates out of compliance with hair grooming requirements; inmate with sideburns too long and shaping their beards while having a shaving waiver. 11/18/2014

111. Are inmates in compliance with identification card and clothing requirements? DO 704.03 - 704.05, (2)
Finding: SGT Oretega and I while conducting a 704 inspection noticed many inmates out of compliance with identification card and clothing requirements; inmates not tucking in their t-shirts, wearing shorts while not at recreation, not displaying ID cards while out of their living areas, and wearing pants sagging down around their bottoms. 11/18/2014

112. Are inmates in compliance with housing unit regulations? DO 704.06, 1.1 through 1.7.5, (3)
Finding: SGT Oretega and I while conducting a 704 inspection noticed many inmates out of compliance with housing unit regulations; inmates not dressed, beds not made, more than four legal boxes, hobby craft finished not mailed out, items stuck to the under side of top bunks, clothes lines, empty containers be kept for storage of other items, and appliances left on while inmates where not in living area. 11/18/2014

Inmate Work Activities WIPP

113. Do inmates work (actual work assignment, not to include program hours) more than 40 hours per week, usually six to eight hours per day if so did the Regional Operations Director authorize any exceptions? (Inmates assigned to Wild land Fire Crews or other labor contract based assignments (e.g. ACI or IGAs) which specifically allow it, are exempt from this requirement and may work in excess of 40 hours per week) DO 903.01, 1.2.7, (5)
Finding: [redacted] worked 88.5 hours for pay period 10, 10/25/2014 - 11/07/2014 with no authorization for overtime obtained from the Regional Operations Director. 11/18/2014

Hualapai

Key Control

114. Does the inventory list all lock/locking device locations? DO 702.02, 1.1.2; (1)
Finding: A locking device (pad lock) was observed on a transformer box in the escape detection system zone area of the Hualapai Unit, on the west side of the pedestrian sally port. The locking device was not listed on the master key inventory for the Hualapai Unit. It was reported the locking device, as well as others similar to it on the Hualapai Unit had been installed by the electric company and the unit may not have a key for the locking device. 11/19/2014

115. Does the number of keys on the key ring, key ring tag, key numbers and the inventory coincide? DO 702.02, 1.1 - 1.1.4; (3)
Finding: The master key inventory did not accurately list the keys on keys set R79 which also had one broken key on the key ring during the inspection. 11/17/2014

116. Are all keys, key rings and emergency keys and locking devices inspected monthly? DO 702.02, 1.2.2; (5)
Finding: The locking devices for the transformer boxes inside the secure perimeter are not inspected monthly. When the key control officer was questioned about the locking device, he was unaware they lock existed on the Hualapai Unit. 11/19/2014

Mail and Property

117. Do staff complete an Inmate Property/Contraband/Disposition Tracking, Form 909-6 when they seize items in the possession of an inmate? DO 909.06, 1.4.2; (41)
Finding: The staff who seize property from inmates do not have the inmate sign the Inmate Property/Contraband/Disposition Tracking, Form 909-6 at the time the item was confiscated. There are forfeited items that have been in the property room for several months without being signed by the inmate thus have not entered the 90 day timeframe for disposition. 11/18/2014

Hualapai

Perimeters and Security Device Inspections

118. [redacted]

119. [redacted]

Hualapai

Searches

120. Are searches of inmate living areas and any search where other than nuisance contraband is found, documented in a service journal and in a unit search log? DO 708.01, 1.3.1; (1)

Finding: Searches, were other than nuisance contraband is located, are not always correctly documented in the Hualapai Unit Search Log. Examples are as follows: At 1821 hours on 8/13/2014, Staff initiated the ICS when they discovered [redacted] with a small amount of black tar substance. They issued disciplinary action to the inmate and placed the contraband into the CIU Evidence Locker. Entries for the discovery of the contraband could not be found in the applicable correctional Journal and the Hualapai Unit search log during the inspection. Captain Winckler was present when this observation was made. At 0929 on 8/12/2014, Staff initiated the ICS when they observed [redacted] in possession of a prison-made syringe. Staff placed Gonzalez on the ground and placed him in mechanical restraints when he attempted to push past staff. They issued [redacted] disciplinary action and placed the contraband in the CIU Evidence Locker. Entries for the discovery of the contraband did not appear in the applicable correctional Journal and the Hualapai Unit search log during the inspection. Captain Winckler was present when this observation was made. At 1445 on 8/11/2014, Staff initiated the ICS after they located two prison-made weapons in the common area of Dorm 1-A. The first weapon is made of plastic, sharpened to a point, and is approximately five inches long. The second weapon is made from a glasses earpiece and is sharpened to a point. Staff placed the contraband into the CIU Evidence Locker. Entries for the discovery of the contraband were not correctly documented in the applicable correctional Journal and the Hualapai Unit search log during the inspection. Captain Winckler was present when this observation was made. 11/17/2014

121. [redacted]

Hualapai

122. When a search is conducted without the inmate present, is the search conducted by two staff members with an explanation of the inmate's absence documented in the correctional journal and the unit search log? DO 708.02, 1.1.2.2.1; (30)
Finding: While reviewing the Cerbat Unit Search Log, there were searches documented where the inmate was not present but no explanation of his absence in the applicable Correctional Journal. The journal also did not indicate who the two officers were conducting the search. Captain Gary was present when this observation was made. 11/18/2014

123. [redacted]

Staff Grooming

124. For all male staff, is their hair worn no longer than the top of the shirt collar at the back of the neck when standing with a normal posture which is neatly tapered or blocked at the back of the neck, neatly shaped to the heat, not covering the ears and not exceeding one and one half inches in length on the sides and back of head? DO 503.01, 1.1.3.1.1 through 1.1.3.1.4, (1)
Finding: COII Woolsey was observed having hair that is not tapered or blocked at the back of the neck and is longer than one and one half inches in length on the sides and back of the head. 11/18/2014

Substance Abuse

125. Institutions shall purchase and maintain Rapid-Tox specimen containers with screw on lids, and ensure that they are kept in a clean secure environment to eliminate the possibility of contamination. Is a daily inventory conducted to ensure an accurate supply is maintained? DO 709.02, 1.2.2; (6)
Finding: There was a box located in intake on top of a set of lockers. This location is where urine samples are collected. The box contained urine sample cups. They were not secured. Upon entering the area with Lieutenant King, we observed there were three inmates in the area where the cups were located without any direct supervision. 11/18/2014

Hualapai

Tools

126. Are tools appropriately classified in accordance with Attachments A & B of DO 712? DO 712.01, 1.3 (2)
Finding: The unit has an inspections mirror located in the file room in visitation not shadowed or listed on the master tool inventory. 11/17/2014

127. Is an accurate daily tool inventory conducted and documented in the tool room Correctional Service Log? DO 712.02, 1.2.1.3; (5)
Finding: There are multiple areas throughout the unit where tools are stored and there is not a daily tool inventory being conducted for example; the barber boxes located by the Sergeants office and the Chaplains' office (Class "A" tools). 11/17/2014

128. Are inventory sheets placed in all areas where tools are stored to include where surplus tools are kept? DO 712.02, 1.2.1.4; (6)
Finding: There are no sub inventories for the barber box tool located in the room next to the sergeant's office. The tool inventory on hand, for barber box "C" was dated August 1, 2012 and the remaining two boxes on hand did not have a tool inventory at all. 11/17/2014

129. Are all tools permanently engraved/ stamped and color-coded using the applicable unit's assigned color? DO 712.02, 1.2.1.5; (7)
Finding: The clippers located in the barber boxes are listed as Class "B" tools and are not color coded and one is engraved "Staff" not with a tool number. 11/17/2014

130. [redacted]

131. Is the shadow board updated immediately when a tool is removed from the inventory? DO 712.02, 1.4.2; (12)
Finding: The tool shadows for the WBE tools are still maintained on the shadow board even though the tools are not onsite do to staffing issues. 11/17/2014

132. Are MSDS Sheets maintained in the institution warehouse, the designated staff member's office, and wherever the products are stored? DO 712.05, 1.1.4; (37)
Finding: There are no MSDS sheets for the restricted products stored in the barber boxes for inmate use such as the blade oil or talc powder. 11/17/2014

Hualapai

Visitation

133. Of the files reviewed, does every Visitation List, Form 911-1 have the visitor's full name and relationship filled out? DO 911.01, 1.1.2; (2)
Finding: The visitation list in the Visitation File for [redacted] does not include the relationship for Joshua Murrin, the visitation list in the file for [redacted] did not include three visitors who are entered as approved ([redacted]) and the visitation list for [redacted] does not include [redacted] who according to her application and AIMS was approved to visit on 10/31/14. 11/17/2014

134. Are applications are submitted by someone other than a parent of a minor child, was documentation from a court establishing legal guardianship and/or temporary custody of the minor child included with the application? DO 911.01 1.1.3.3.2; (3)
Finding: The approved application for minor visitor [redacted] ([redacted]) was submitted by [redacted] not the minor's mother, [redacted] [redacted] has not provided any documentation to indicate she has been granted custody of the minor by a court. 11/17/2014

135. Does the inmate request changes to the visitation list using the Request to Change Visitation /Telephone Listing 911-3 Form and Visitation List Form 911-1? DO 911.01, 1.7.1; (16)
Finding: The visitation staff made changes to visitation lists and or AIMS Visitation Records based on submission of a Request to Change Visitation /Telephone Listing 911-3 Form, they do not require the inmates to submit a new Visitation List, Form 911-1 as well, examples: [redacted]

136. Does the Visitation staff document the annual background review (ACIC/NCIC and Jolts as applicable) for all approved visitors in AIMS? DO 911.01, 1.8.1, 1.9 - 1.9.1.2; (22)
Finding: The annual background review of all approved visitors is either not being completed or is not documented correctly in AIMS resulting in the visitors' names remaining on the Annual Background Report even if the review has been completed, examples [redacted]

Hualapai

137. Does each visitor fully complete a daily Visitor Sign in (Form 911-8)? DO 911.02, 1.1; (23)
Finding: Visitors [redacted] did not sign the front or back of the Visitor's Sign In form when they visited on 11/15/14. 11/17/2014

138. Has the visitation staff established and maintained an AIMS visitation record for each inmate to include the each visitor's complete name and the dates of each visit? DO 911.02, 1.2; (24)
Finding: The end time for visitor [redacted] differs between the Visitor's Sign In form (1256 hours) and AIMS (1200 hours). in addition, the end time for the two minor children [redacted] she brought in with her were not entered on the visitation record. [redacted] was not entered on the AIMS visitation record as having visited [redacted] on 11/15/15. 11/17/2014

139. Are inmates who refuse to provide a urine specimen or whose urine specimen tests positive for drugs placed on the appropriate Non-Contact Visitation status, regardless of any disciplinary action? DO 911.04, 1.4, 1.4.1 - 1.4.3; (36)
Finding: The following inmates were not placed in the appropriate non-contact status after receiving a Disciplinary Report for a rule 38B violation: [redacted]

140. Is the inmate provided written notification of placement on non contact visitation status? DO 911.04, 1.7; (38)
Finding: There is no documentation in the following inmates' Visitation File to indicate they received written notification of placement on non-contact visitation status: [redacted]

Hualapai

141. Do the visitation staff submit a memorandum containing all the required information regarding inmates on non-contact visitation status, to the Warden through their chain of command, by the 28th of each month? DO 911.04, 1.10 - 1.10.6; (39)
Finding: The following thirty inmates are on non-contact status according to AIMS but are not on the Non-Contact memo: [redacted]

142. Do visitation staff document the timeframes and review date for each inmate on non-contact visitation status in AIMS Offender Comments (DT08 82) and Visitation screens? DO 911.04, 1.11; (40)
Finding: The review date for inmates [redacted]

143. Do inmates submit Special Visit Requests to their assigned CO III at least 30 days prior to the visit? DO 911.05, 1.7; (45)
Finding: The Special Visit Request for [redacted] **to visit** [redacted] **on 7/18/14 was submitted on 6/30/2/14 (18 days) and for** [redacted] **to visit** [redacted] **on 10/24/14 was submitted on 10/9/14 (15 days). 11/17/2014**

144. Do shift commanders tour visitation at a minimum of once per shift during scheduled visiting hours? DO 911.07, 1.4; (49)
Finding: The Visitation Post Log contains no entry for a Swing Shift Commander tour during visiting hours on November 8th or November 11th. 11/17/2014

145. During visiting hours, does the on-site duty officer tour each visitation area at least once per weekend? DO 911.07, 1.5 - 1.5.1; (50)
Finding: The Visitation Post Log contains no entry for a On-Site Duty Officer tour during visiting hours on the weekend of November 8th or 9th. 11/17/2014

Support Services
Cerbat

Key Control

146. Does the inventory list all lock/locking device locations? DO 702.02, 1.1.2; (1)
Finding: The lock for the ignition on the ACI fork lift in the P1 building was not listed on the master key inventory as a locking device for the Cerbat Unit. Though the fork lift is a part of the ACI operation, the Cerbat Unit failed to ensure the keys stored on the unit were correctly listed on the unit's Master key inventory and properly stored. 11/19/2014

147. Does the inventory list the number of keys available for each lock/locking device? DO 702.02, 1.1.3; (2)
Finding: The number of keys available for the ACI fork lift stored in the P1 building of the Cerbat Unit were not listed on the master key inventory. This is a piece of equipment rented by ACI and the Unit cannot positively state how many keys to the fork lift were made available by the vendor when the fork lift was brought onto the unit. 11/19/2014

148. Does the number of keys on the key ring, key ring tag, key numbers, and the inventory coincide? DO 702.02, 1.1 - 1.1.4; (3)
Finding: The master key inventory did not list all of the keys on key set CO63. The key set had seventeen keys with 17 keys stamped on the chit. The master key inventory only listed 16 keys on the master key inventory. 11/17/2018. The key set for the Fork lift was not listed on the master key inventory for Cerbat Unit. 11/19/2014

149. Is the material used to create the key rings and emergency key rings commercially manufactured which are permanently fastened closed? DO 702.02, 1.2.1; (4)
Finding: The Correctional Officer assigned to ACI area admitted he knew the ACI Fork Lift key set was not on a key ring which was commercially manufactured and permanently fastened closed. The Correctional Officer stated the key was on a white plastic key ring supplied by the vendor when the fork lift was brought onto the unit. 11/19/2014

150. Does the unit have a monthly report on file showing the inspection and inventory of keys / key rings, emergency keys/key rings and locking devices? DO 702.02, 1.2.2.2 and GAR; (7)
Finding: The ignition locking device on the fork lift in the P1 Building was not inspected during the last key inspection. 11/19/2014

Support Services
Cerbat

151. Do all keys/key rings including emergency keys have tags attached, with the tag being stamped with the number of keys on the ring? DO 702.02, 1.3.1 and GAR; (9)
Finding: The Correctional Officer in the ACI area admitted the key set for the ACI fork lift did not have a chit permanently the key ring to indentify the key ring and where it is stored at. 11/19/2014

152. Are all the key rings for a unit or specified zone (i.e.; complex security) stored and issued from a designated central control area? DO 702.02, 1.3.2; (10)
Finding: The keyset for the fork lift was not issued from a centralized area. The missing key set was reportedly stored in a in a desk drawer of the ACI area office in the P1 building and never accounted for. The Cerbat Unit Chief of Security was unaware the key set was being stored in the P1 Building inside the secure perimeter of the Cerbat Unit. 11/19/2014

153. If inmates are possession of keys, does the unit have copies of the written approval from the Warden or Deputy Warden on Inmate Key Receipt, Form 702-4 or memo? DO 702.02, 1.3.3.1.1; (11)
Finding: A Key and Credit Card Control Log, Form 702-1 with three entries for the latter part of October 2014 was observed in the P1 Building. the keys were signed out to Inmate [redacted] who admits he is the fork lift operator and had possession of the keys on those days, as well as others days. The unit does not have a written approval from the Warden or Deputy Warden, allowing Inmate [redacted] to posses any keys. 11/19/2014

154. Will a visual inspection of designated key storage areas allow for easy identification of present or absent keys/key rings? DO 702.02, 1.3.3.2, GAR; (13)
Finding: The forklift key set was stored in a desk drawer and could not be located during the inspection. The keys were reportedly stored in a fashion where it would be impossible for any to determine if the keys were present or missing. 11/19/2014

155. Are keys stored in a manner to prevent inmate access when they are not in the possession of a staff member or other authorized person and provide for an exact accounting for all to include present location and possessors? DO 702.02, 1.3.3.1 and 1.3.3.3; (14)
Finding: The keys for the ACI fork lift were being stored in a desk drawer in the office. The inmate clerk and the inmate fork lift operator were aware the keys were stored in the desk. The inmate clerk admitted there were occasions when he was the only person in the office area, which would allow an inmate the ability to access the keys without the knowledge of staff members. 11/19/2014

Support Services
Cerbat

156. Are beginning/ending key inventories being completed on each shift, and documented appropriately in the correctional service journal or appropriate logs? DO 702.02, 1.3.4, GAR; (15)
Finding: The Correctional Journal for ACI Security in the P1 building did not contain any entries to indicate a beginning or ending key inventory is being completed. The ACI fork lift key set could not be located during the inspection and without the entries, the last time the key set was accounted for could not be determined. 11/19/2014

157. Are employees maintaining safe-keeping and control of keys/key rings issued to them until they are formally relinquished and returned to the control area? DO 702.02 1.5 through 1.5.3; (18)
Finding: Employees are not maintaining the safe keeping of keys, as demonstrated by the inability to account for a set of keys to the ACI fork lift during the inspection. 11/19/2014

158. Have all incidents of missing key been immediately report to security staff members? DO 702.05, 1.3; (33)
Finding: The Correctional Officer/ACI Security officer advised he became aware the ACI fork lift key was missing on Tuesday afternoon shortly after I toured the area. He advised he had been looking for the key set every since then. He also stated he had made contact with Mr. Hilldebrandt from ACI about the key, in attempts to contact the IPS for information on the location of the key set. The Correctional Officer had not made contact with or notified any supervisory staff of the Cerbat Unit at the time the second tour occurred mid-day on Wednesday. 11/19/2014