

NEIL ABERCROMBIE
GOVERNOR



TED SAKAI
DIRECTOR

Martha Torney
Deputy Director
Administration

Max Otani
Deputy Director
Corrections

Shawn Tsuha
Deputy Director
Law Enforcement

STATE OF HAWAII
DEPARTMENT OF PUBLIC SAFETY
919 Ala Moana Boulevard, 4th Floor
Honolulu, Hawaii 96814

MAINLAND / FDC BRANCH CONTRACTUAL COMPLIANCE CHECKLIST

Institution / Population Count: Saguaro Correctional Facility / 1393

Team Leader: John I. loane - MB Contract Monitor

Audit Team: Shari Kimoto (MB Administrator); John loane & Jeantee Baltero (MB Contract Monitors); Jennifer Lopez & Dr. Lori Karan (PSD Medical); Remedios Amoguis (PSD Education); Sgt. Piliopo Tuitama & Sgt. Christopher Maele (PSD STG & Security)
Date of Audit: December 10-12, 2013

CRITERION	AUDITOR GUIDELINES				
		COMPLIANT	NON-COMPLIANT	AUDITOR	METHOD
ACA ACCREDITED FACILITY		4	0		
Is the institution accredited?	Date of Accreditation: October 2011; Received certificate in January 2012	x		Janet Baltero	DR, SI
A. Mandatory (100%)	Mandatory Score: 100%	x		JB	DR, SI
B. Non-Mandatory (90%)	Non-Mandatory Score: 100%	x		JB	DR, SI
C. Life Safety Code (Sprinkler, Fire system) - Does the institution conduct fire drills? Check fire drill schedule and frequency of drills.	Date of Sprinkler Certification: 10/15/2013 Date of Fire Marshall Report: 07/08/2013 Frequency of Drills: Quarterly	x		JB	DR, SI
Other Comments: *ACA accreditation conducted every 3yrs. Previous ACA accreditation "officially" January 2012; *Next ACA accreditation May 2015.					
CLOTHING & SUPPLIES		15	0		
Does the institution issue appropriate clothing and supplies upon initial intake? Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review last audit report deficiencies (if any) and follow up. Review property files for initial issuance of clothing/supplies per contract; observe clothing/supplies in various housing units. Observe stock of inventory in warehouse. Also indicate frequency of issuance of each item after initial intake.	x		John I loane	SI,OB,DR
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. 3 Sets of Uniforms	Attachment 1; Item 6(a); Page 4	x		JII	SI,OB
B. Seasonal Clothing (Describe article of Clothing)		x		JII	SI,OB
C. Underwear		x		JII	SI,OB
D. Toothbrush/Toothpaste		x		JII	SI,OB
E. Toilet Paper		x		JII	SI,OB
F. Bar Soap		x		JII	SI,OB
G. Disposable Razors		x		JII	SI,OB
H. All-In-One (for shower, shampoo, shaving)		x		JII	SI,OB
I. Workline Clothing: Boots		x		JII	SI,OB
J. Workline Clothing: Gloves		x		JII	SI,OB
K. Linen: Sheets		x		JII	SI,OB
L. Linen: Pillow Case		x		JII	SI,OB
M. Linen: Towels		x		JII	SI,OB

N. Linen: Blanket (Wool or Cotton)		x		JII	SI,OB
Other Comments: *Item B. Facility provides winter workline (seasonal) clothing - Jackets, Beanies & Gloves etc. *Items I. & J., Additional workline clothing; boots, gloves etc., provided. *Current "influx" of FED/ICE inmates (350+) in J-Unit; uniforms, hygiene & supplies etc., due to immediate, last second transfer, all extra items borrowed thru Red Rock Correctional Center. Saguario to compensate Red Rock upon completing processing...					
LAUNDRY SERVICE		3	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
Does the institution have a laundry area? Is there a laundry supervisor supervising inmates in the laundry area? Is the weekly laundry schedule posted?	Monday: whites only Tuesday: blankets, jackets & khakis Wednesday: whites only Thursday: blankets, jackets & khakis Friday: whites only	x		JII	SI,OB,DR, II
A. Laundry Exchange	Frequency of Exchange: Every 6mos.	x		JII	SI,DR
Other Comments: *Laundry exchange schedule: behind one month result of the recent "influx" of 350+ new FED-ICE inmates in J-Unit. *1 Dryer "inoperable" - Work Order for "repair parts" in place... *update: (Dryer has been repaired as of this report). *Interview laundry workline inmate on laundry process. Observed "wash process"; Ratio of Grey-water to Soap amount equates to load amount... *Observed Grey-water filtering & cleaning process - NO concerns - Daily laundry operations appropriate.					
INMATE PROPERTY		8	0		
Upon initial intake, does the institution inventory all property? Property forms should cite description and quantity of each item and signed by both staff member and inmate. Unallowable property is also inventoried by a staff member and properly disposed of in accordance to policy.	Review property inventory sheets for past quarter, interview property staff member(s) and observe any property intake if it occurs during this audit.	x		JII	SI
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a property officer?		x		JII	SI,OB
B. Does the institution have a property matrix for various housing units (GP, Seg, SHIP)?	Review inmates' current property against property matrix for all housing units including seg and SHIP; may use hard files or OMS electronic records	x		JII	SI,OB,DR
C. Does the inmate review and sign the completed property inventory forms?		x		JII	SI,OB,DR
D. Is a copy of the completed property form given to the inmate?		x		JII	SI,OB,DR
E. Does the institution store its property in lockable storage bins or lockers in a secure area?		x		JII	SI,OB,DR
F. If an inmate's property is lost or stolen, does the institution have a claim's process?	Review lost property log for past quarter.	x		JII	SI,OB,DR
Other Comments: Officer Streeter (Property Officer) & Officer Fernino (Property Officer assistant)					
FOOD SERVICE (Canteen Contract Services)		10	0		
Does the institution adhere to the current American Dietetic Association (ADA) and National Academy of Sciences (NAS) standards and regulations?	Review Department of Health food service audits for past 2 quarters. Review all certifications and interview food service staff.	x		Jennifer Lopez	OB
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JL	No Deficiencies noted
A. Is the Food Service Manager certified in sanitation?	Date of Certification: 10/01/2012	x		JL	OB,DR
B. Are the cycle menus approved by a Registered Dietitian or Nutritionist?	Date of Menu: Daily Calorie Count:	x		JL	DR
C. Does the institution serve its meals in accordance with the designated meal on the cycle menu?		x		JL	SI,DR
D. Does the institution record its meal substitutions when a food product on the cycle menu is unavailable?	Review substitution log for past month; review food exchange guidelines to ensure substitutions are appropriate.	x		JL	DR
E. Does the institution provide fresh fruit or canned fruit once a week?	Review cycle menu; observe meal tray if served during this audit.	x		JL	OB,DR
F. Does the institution provide rice as a daily food staple?	Review cycle menu; observe meal tray if served during this audit.	x		JL	OB,DR

G. Does the institution provide medical diets that met the current ADA nutritional requirements as prescribed by a Medical Physician in accordance to facility policy?	Review medical diet log in last 30 days for accuracy and observe meal tray if served during the audit.	X		JL	SI,OB,DR
H. Does the institution provide religious diets that met the current ADA nutritional requirements as prescribed by a Facility Chaplain in accordance to facility policy?	Review religious diet log in last 30 days for accuracy and observe meal tray if served during the audit. Ensure that Kosher food handling guidelines are met as certified by the Rabbi.	X		JL	SI,DR
I. Does the institution serve 3 special dinner menus for the following Hawaii holidays? 1. Prince Kuhio Day (March) 2. King Kamehameha Day (June) 3. Other special event as agreed upon	Review special dinner menus for previous holiday closest to this audit.	X		JL	SI,DR
Other Comments: Item B. *Cycle menus are approved by a Registered Dietician/Nutritionist. *Food Service Mgr. Certification (sanitation) 10/01/2012.					
KITCHEN		34	0		
Does the institution maintain its kitchen area and cooking equipment to ensure that it is clean and in working order? Are the food service staff and inmates properly trained to maintain personal hygiene?	Observe kitchen area for cleanliness, sanitation and personal hygiene of staff members and inmates.	X		JL	OB
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	X		JL	No Deficiencies noted
A. Does the institution provide food service sanitation training and tool/equipment safety training to its staff and inmate workers?	Review training records for staff and inmates for past 30 days; review medical clearance and food service safety checklist for last 30 days	X		JL	SI,DR
B. Is there proper hand washing signs posted and is hand soap dispensers filled with soap near wash sinks & restrooms?	Observe restrooms and hand washing sinks, observe staff and inmate workers washing hands	X		JL	OB
C. Are sufficient hair nets available? Does the workers know where the hair nets are located?	Observe staff and inmate workers using hair nets.	X		JL	OB,II
D. Are sufficient gloves available? Does the workers know where the gloves are located?	Observe staff and food handlers/cooks using gloves.	X		JL	OB,II
E. Does the inmate workers use appropriate footwear in the kitchen area, food prep area, and dishwashing area?	Observe staff and inmate workers in these areas for appropriate footwear.	X		JL	OB
F. Is there appropriate drainage near washing stations?	Observe areas near dishwashing stations.	X		JL	OB
G. Is the cooking equipment (ovens, grills, vents, hoods, food carts, steam kettles, tilt tops, mixers, pipes, etc.) properly maintained, clean, and in good working order?	Review equipment log with food service staff member, review work orders for all items in need of repair at the time of the audit, review cleaning schedule; observe all areas.	X		JL	SI,OB,DR
H. Is the food preparation areas clean, sanitized and in good repair?	Observe	X		JL	OB, SI
I. Are the food storage areas clean, properly maintained, well-lit, food products are dated/labeled?	Observe food storage areas and observe staff and inmates during food prep time. Areas should be free from rubbish, ice and dirt.	X		JL	OB, SI
J. Are all food products stored at least 6 inches off the floor and at least 18 inches from the ceiling?	Observe	X		JL	OB
K. Is there a separate storage space for food and non-food items?	Observe	X		JL	OB
L. Are sample trays made for each meal, labeled, and stored properly for 72 hours?	Observe sample trays in refrigerator.	X		JL	OB
M. Does the food service staff supervise food portions and are appropriate kitchen utensils utilized for food portion controls?	Observe staff and inmates during meal prep during this audit.	X		JL	OB
N. Does the institution have an alternative disaster menu?		X		JL	DR
O. Does the institution have an emergency supply of food?	How many days:	X		JL	SI,OB

Master Auditor's Compliance Worksheet (CONFIDENTIAL until in verified final format)

P. Are appropriate heating temperatures measured and maintained while food is being served?	Observe and review food temperature logs and find out what is done to the food if temperatures are not maintained	x		JL	OB
Q. Are appropriate heating temperatures maintained in hotboxes for meals being delivered to November Unit?	Observe and document how food service staff ensures that appropriate temperatures are maintained for food being transported to Seg. Is there a specific time limit in which food must be removed from hotbox and served to inmate? How do they track it?	x		JL	OB
R. Are the thermometers for the refrigerators and freezers in working order?	Observe and check work orders for all items in need of repair at the time of the audit. Facility has secondary thermometers for backup; check those gauges also.	x		JL	OB
S. Are the thermometers calibrated on a routine basis?	Review log with food service staff member	x		JL	DR
T. Is the refrigerator temperature between 38 degrees F- 40 degrees F or below?	Review temperature log and frequency of recording temperatures each day for past 30 days.	x		JL	OB
U. Is the freezer temperature 0 degrees F or below?	Review temperature log and frequency of recording temperatures each day for past 30 days.	x		JL	OB
V. Are the refrigerators/freezers doors properly sealed and clean?		x		JL	OB
W. Are the refrigerators/freezers vents/fans clean and free from dust?		x		JL	OB
X. Are the refrigerators/freezers hinges/locks in good working order?		x		JL	OB
Y. Is the dish machine wash temperature between 150 degrees F or above and rinse cycle 180 degrees F or above?	Review temperature log and frequency of recording temperatures each day for past 30 days.	x		JL	OB
Z. Are the dishes, pots, pans properly scraped and free from excessive stains and food items?	Ensure that proper pot washing methods are followed.	x		JL	OB
AA. Are the grease traps well maintained and clean?	Grease traps are located in the ground outside of the kitchen and are maintained by Maintenance Department; observe how traps are opened and ask how they are cleaned and how often.	x		JL	OB,SI
BB. Does the institution have inventory control for all sharp utensils? Is inventory control checked by a staff member?	Observe and review inventory control sheet for past 30 days.	x		JL	OB,SI
CC. Are the cleaning supplies and chemicals securely stored and inventoried?	Observe and review inventory control sheet for past 30 days.	x		JL	OB,SI
DD. Are garbage containers appropriate covered with tight-fitting lids?	Observe	x		JL	OB
EE. Is appropriate garbage removal completed after each meal?	Observe; interview inmates and staff	x		JL	OB
FF. Is there adequate outside storage of garbage until trash removal? Is the area secure?	Observe	x		JL	OB
GG. Is pest control regularly conducted?	Review pest control log sheet; interview Safety Officer	x		JL	DR
Other Comments: *Report of a Kettle, a Tilt-Skillet & Box Warmer/broken: Work-order -(repair parts in place). *Special Holiday Meals scheduled - Thanksgiving & Christmas (Roast Beef, Chicken, veggies, cornbread & pie). *Meals & substitution logs in compliance. *Kitchen implemented; Brown Rice 50% of meals w/White Rice & Lower Sodium Soyu *Rice Bar "eliminated" per PSD MBU & Health Services support - Healthier; 30 less pans daily.					
INMATE COMMISSARY		4	0		
Does the institution provide commissary services of non-essential items such as soft drinks, candy and personal items?	Interview Commissary supervisor/staff; Review vendors and commissary order matrix: Commissary Supervisor - Mr. J. Montanez	x		JII	SI,OB,DR
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the commissary proceeds benefit the inmate population?	Interview Business Manager & Commissary supervisor and review services provided to the inmate population that are funded by the commissary proceeds (I.e. satellite television, equipment, services, programs, commissary maintenance)	x		JII	SI,OB,DR

B. Does the commissary revenues pay for operating expenses of the commissary?	Interview Business Manager; *Mr. G. Sussel	x		JII	SI,OB,DR
C. Does the facility collect a 4% surcharge on all commissary sales in accordance with Hawaii statutes?	Interview Business Manager; Effective 7/1/12 (Act 190)	x		JII	SI,OB,DR
Other Comments: *SCC Business Mgr. Greg Sussel; CCA contracted and converting on with "NEW" vendor - KEEFE company. *Beginning 01/06/14 - Commissary products will directly come from KEEFE. *MID-STATES (previous vendor) no longer contracted w/CCA. *Item(s) cost with KEEFE vary; certain items cost less, most cost remain the same, and other items cost a little more; facility is working w/vendor...					
RECREATION		4	0		
Does the institution have a recreational program that provides for indoor, outdoor and leisure time activities? Is it accessible to inmates? Are there posted recreation schedules in housing units?	Review recreational program, review activity schedules for past quarter; observe activities and interview staff and inmates.	x		JII	SI,OB,DR,II
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a recreation staff member?	*Coach - J. Rael	x		JII	SI,OB
B. Does the institution provide indoor activities?	Review indoor activities schedule for past quarter.	x		JII	SI,OB,DR
C. Does the institution provide outdoor activities?	Review outdoor activities schedule for past quarter.	x		JII	SI,OB,DR
Other Comments: *Coach J. Rael - Retrieved & received "revamped" (sturdier & advanced) work-out, weight lifting equipment from the Red Rock Correctional Facility. *Indoor & Outdoor tourneys scheduled for the holidays - Basketball, Cross-Fitness competition, Chess, Scrabble, Dominoes, Spades & Checkers etc.					
LIBRARY SERVICES		4	0		
Does the institution have a comprehensive library with materials selected to meet the educational, information and recreational needs of inmates?	Interview staff and inmates to ensure library services are accessible; observe library operations during this audit.	x		JII	SI,OB,II
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a recreational library?	Interview librarian, check on library hours and the posting of library hours and availability in various housing units.	x		JII	SI,OB,DR,II
B. Does the library have a policy that establishes control of the borrowing of library materials?	Review policy and interview library staff; observe library to confirm that a control of library books is in place.	x		JII	SI,OB,DR
C. Is the Star Advertiser made available to inmates in the library as provided by the State's Mainland Branch?	Observe; interview inmates and staff	x		JII	SI,OB,DR
Other Comments: *SCC "new" Library Aide; Ms. Grijalva (Start date: Oct. 2013). *Computerized system - LIBRARY COMPUTER with "Bar-Code" capacity to scan books & check-out (system) with comprehensive computerize capability for inventory; status - waiting "activation" authorization.					
VISITATION		9	0		
Does the institution provide physical space and proper video conferencing equipment and supervision for monitoring visits?	Review post orders for visitation	x		JII	SI,OB,DR
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a visitation room available for contact and non-contact visits?	Observe visitation area; review visit schedule for contact and non-contact visits	x		JII	SI,OB
B. Does the institution have video conferencing equipment in housing units that are maintained, clean and in working order?	Observe video conferencing system, test unit, and review all work orders in need of repair at the time of the audit.	x		JII	OB
C. Does the institution accommodate special visits for family members traveling 300 miles or more?	Review policy and visit log book; check for approvals as necessary	x		JII	SI,DR
D. Does the institution accommodate attorney visits and/or their representatives for business purposes?	Review visit log book; check entry approvals of attorneys' for current state bar license and/or written authorization with picture ID	x		JII	SI,DR
E. Does the institution post visitor information (rules of visit, dress code, security checks, etc.)	Observe any posted rules for visiting in entrance, lobby or visit areas. Review Handbook or other documentation given to inmate at intake	x		JII	SI,DR

Master Auditor's Compliance Worksheet (CONFIDENTIAL until in verified final format)

F. Is the visitation properly staffed and the visits are conducted in a safe, controlled environment?	Observe open visit if visiting is scheduled during this audit; interview visit officer(s) on search procedures	x		JII	SI
G. Are all visitors and their personal belongings properly searched prior to entry to the visit room?	Observe visitors being processed in the facility's lobby if ongoing during this audit.	x		JII	SI
H. Are the inmates properly searched prior to entry or exit from visiting?	Observe inmates being searched before and after their visit if visitation is ongoing during this audit.	x		JII	SI
Other Comments:					
GRIEVANCES		7	0		
Does the institution provide access to an impartial and non-discriminatory grievance procedure in accordance with policy and ACA standards? All grievance records are considered confidential and will not be available to staff or inmates except for clerical processing of records by the institution and for auditing purposes.	Review grievance policy & Inmate handbook; interview grievance officer and inmates	x		JII	SI,OB,DR
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a grievance officer that provides responses to facility grievances?		x		JII	SI,OB
B. Does the institution have an informal resolution grievance process before using the formal procedure?	Review completed grievance forms for the past quarter; interview grievance officer	x		JII	SI,OB,DR
C. Does the institution provide grievance informal / formal forms necessary for filing grievances?	Observe how inmates receive proper forms; interview inmates	x		JII	SI,OB,DR
D. Does the institution have secure grievances boxes accessible to inmates in the general population and segregation?	Observe locations of grievance boxes and check if it is secure	x		JII	OB
E. Does the institution have a logging & tracking system for informal and formal grievances?	Review log & tracking system for the past quarter and randomly check if log #'s correspond with grievance forms	x		JII	SI,OB,DR
F. Does the institution have designated time limits, documented time extensions (if applicable), an appeals process to the Warden in accordance with policy?	Compare grievance response times listed on grievances to grievance logs. Check on completed appeals by the Warden	x		JII	SI,OB,DR
Other Comments: *Random review of four inmate files (grievance process); grievance logs, formal & informal forms etc; Previous Quarter & Year - All is in compliance - no deficiencies..					
ACCESS TO COURTS		10	0		
Does the institution provide physical space and legal materials as designated by the State's current contract in accordance with policy and ACA standards?	Hours of law library:	x		JII	SI,OB,DR
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JII	No Deficiencies noted
A. Does the institution have a law librarian?	Interview law librarian	x		JII	SI,OB,II
B. Does the institution provide inmates with reasonable access to the law library, law library materials/forms?	Observe law library, review law library log for past quarter	x		JII	SI,OB,DR,II
C. Does the institution provide inmates access to the State's touch-screen kiosk system or other acceptable legal format materials?	Observe touch-screen kiosks and inmates operating system in the law library areas.	x		JII	SI,OB,II
D. Does the law library provide access to the following: 1) Hawaii Revised Statutes; 2) Hawaii Reports; Hawaii Appellate Reports; 3) U.S. Code Annotated or its equivalent); 4) Shepard's Hawaii Citations; 5) Hawaii Court Rules - State; 6) Hawaii Court Rules - Federal; 7) Hawaii Digest; 8) Black Law's Dictionary; 9) Federal Civil Procedures & Rules; and 10) Supreme Court Reports?	Observe availability of listed legal materials, interview law librarian if any materials are on order as of the date of this audit.	x		JII	SI,OB,DR,II
E. Does the institution provide up to 3 additional hours of access to inmates with verified lawsuits that are still active in court if scheduling permits?	Review law library log and interview law librarian	x		JII	SI,OB,II

F. Does the institution provide inmates access to parole hearings as scheduled by the Hawaii Paroling Authority?	Review parole hearing schedule with staff	X		JII	SI,OB,DR,II
G. Does the institution provide inmates access to their attorneys' telephonic calls and court calls?	Review legal call schedule with staff	X		JII	SI,DR,II
H. Does the institution have a written policy/procedure for the handling of legal mail?	Review policy; interview mail clerks and case managers that deliver legal mail	X		JII	SI,DR
I. Does the institution provide indigent inmates access to paper and other supplies to contact legal counsel or representatives, courts, and other persons concerning legal matters in accordance with policy?	Review policy; interview Inmate Account staff member & various Unit Managers; review indigent logs or documentation	X		JII	SI,OB,DR,II
Other Comments: *New Librarian & Library Assist. Ms.Grijalva. *Law Library Kiosks functioning appropriately. *Operations and services along with materials provided are sufficient in meeting expectations. *Library's updated computerized system (computer) "in place" waiting final approval.					
SECURITY & CONTROL - STAFFING & TRAINING		11	0		
Is the institution's security/control and operating plans in accordance with policies/procedures and ACA standards? Are the staff members appropriately trained in this area?	Interview Chief of Security and Training Manager; review security training curriculums this is to include <u>PREA</u> policies	X		Sgt. Tuitama	SI,DR
Security Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	X		Sgt. Tuitama	SI
A. Does the institution have a security staffing plan that includes all mandatory posts?	LIQUIDATED DAMAGE ITEM: Review staffing pattern with Chief of Security; observe security staff in mandatory posted areas	X		Sgt. Tuitama	SI,DR
B. What is the officer to inmate ratio?	Interview Chief of Security (be sure to differentiate correctional officers and correctional counselors.	X		Sgt. Tuitama	SI
C. Does the institution have post orders available for each post?	Review post orders; interview Chief of Security	X		Sgt. Tuitama	SI,DR
D. Are post orders reviewed annually to ensure accuracy of post functions?	Interview Chief of Security	X		Sgt. Tuitama	SI,DR
E. Are staff members required to read and sign-off that they have read and understand post orders pertaining to their assigned areas?	interview Chief of Security	X		Sgt. Tuitama	SI,DR
F. Does the institution have a written policy governing facility training of its security staff members?	Interview Chief of Security and Training Manager	X		Sgt. Tuitama	SI,DR
G. Does the institution provide its security staff with a minimum of 160 hours of basic correctional training within 3 months of employment and a minimum of 40 hours of annual supplemental correctional training?	Interview Chief of Security and Training Manager; review training of security officers for past quarter	X		Sgt. Tuitama	SI,DR
H. Does the institution provide security staff with on-the job observation and supervision?	Interview Chief of Security and Training Manager; review training of security officers for past quarter	X		Sgt. Tuitama	SI
I. Are the training instructors certified (security)?	Review training records/certification of instructors	X		Sgt. Tuitama	SI,DR
J. Does the Warden/Designated ADO staff and Chief of Security make daily rounds throughout the facility?	Review various housing log book as all staff must sign in as they enter the housing units	X		Sgt. Tuitama	SI,OB,II
Other Comments: *Interviewed Saguaro Facility Chief of Security N. Pastella & Training Mgr. J. Marsh.					
SECURITY & CONTROL - URINALYSIS & STG		6	0		
A. Does the institution provide random and suspect urinalysis of 10% of the State's population?	Review urinalysis testing percentages for past quarter; interview Chief of Security regarding policy, process and record keeping	X		Sgt. Tuitama	SI,DR
B. Does the institution provide an opportunity for a second test at the inmate's request/cost?		X		Sgt. Tuitama	SI
C. Does the institution report its positive results to the Mainland Branch within 24-hours after results of tests are received?	Review drug testing logs and disciplinary reports for +UA for past quarter	X		Sgt. Tuitama	SI,DR
D. Does the institution have a written policy/procedure for identifying and managing security threat groups (STG)?	FOR STG OFFICERS ONLY: Review policy and interview STG Officer	X		Sgt. Tuitama	SI,DR
E. Does the institution regularly monitor STG recruitment activities and possible threats?	FOR STG OFFICERS ONLY: Review monthly STG reports for the past quarter	X		Sgt. Tuitama	SI,DR
F. Does the institution submit monthly STG reports to the State's Mainland Branch?	FOR STG OFFICERS ONLY: Review STG logs and monthly reports for the past quarter	X		Sgt. Tuitama	SI,DR

Other Comments: *No changes in STG policy as of last quarter...					
SECURITY & CONTROL - SPECIAL MANAGEMENT (SHIP)		9	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	X		Sgt. Maele	SI,DR
A. Does the institution have written polices/procedures concerning the special management of inmates, Special Housing Incentive Program (SHIP)?	Review policy and interview staff; observe SHIP (all 3 levels)	X		Sgt. Maele	OB
C. Are inmates assigned to the SHIP unit in accordance with the policy's placement criteria?	Review policy's placement guidelines; Review SHIP files (Form 10-101A/B); interview staff	X		Sgt. Maele	SI,DR
D. Does the inmate receive due process when an assignment is made?	Review SHIP files; interview COS/SHIP Unit Manager; observe SHIP hearing during this audit	X		Sgt. Maele	SI,DR
E. Does the inmate receive regular status reviews in accordance with SHIP policy guidelines?	Review 50 SHIP files (Form 10-101C/D) to see if they were seen within timeframes set forth in policy	X		Sgt. Maele	SI,DR
F. Does the inmate in SHIP have access to the law library and/or his attorney on record?	Review SHIP unit's law library roster; interview SHIP Unit Manager and/or Case manager	X		Sgt. Maele	SI,DR
G. Does the inmate maintain access to other programs and services in accordance with SHIP policy (i.e. Education)?	Policy states that education classes will be scheduled in their dayroom for inmates on Step 2 and Step 3	X		Sgt. Maele	SI,DR
H. Is the SHIP unit appropriately supervised by qualified, trained staff?	Review training records; interview COS and SHIP staff	X		Sgt. Maele	SI,DR
I. Does the institution document regular observation of inmates in the SHIP unit in accordance to the institution's policy and procedures?	Review Segregation Activity Records for all levels of SHIP; interview staff	X		Sgt. Maele	SI,DR
Other Comments: *2.7% Recidivism (S.H.I.P.)		X		Sgt. Maele	SI,DR
SECURITY & CONTROL - SEARCHES & INSPECTIONS		11	0		
A. Does the institution have written polices/procedures concerning searches of vehicles, staff and inmates?	Review policy and interview staff; observe various searches during this audit	X		Sgt. Maele	SI,DR
B. Does the institution have a written policy/procedure concerning the search of an inmate cell or bed areas?	Review policy and interview staff; observe pat searches; observe an area search or cell search if being done during this audit	X		Sgt. Maele	SI,DR
C. Does the institution's policies/procedures on searches cover the search in storage and other critical areas in the facility?	Review policy and interview staff; observe pat searches; observe an area search or cell search if being done during this audit	X		Sgt. Maele	SI,DR
D. Are the searches performed on a regular and/or random basis including a routine facility shake-down for contraband?	Interview Chief of Security; review log books and/or daily shift reports for documentation on frequency of searches and shake-downs	X		Sgt. Maele	SI
E. When contraband is discovered, does the institution have a written policy/procedure on the handling of items, chain of custody, proper written documentation that must accompany the confiscated items to the designated facility authority for further investigation or disposal?	Review policy and interview Chief of Security and Investigator	X		Sgt. Maele	SI,DR
F. Does the institution have a secure storage area that is designated for evidence storage that is accessible to authorized staff only?	Observe contraband in evidence locker for proper labeling/documentation, review chain of custody form, review evidence log book; interview staff	X		Sgt. Tuitama	SI,DR,OB
G. Are the inmates provided written notification of confiscated contraband items?	Review completed confiscation forms that are given to inmates	X		Sgt. Tuitama	SI,DR,OB
H. Is a disciplinary report issued to the inmate for confiscated contraband items (if appropriate)?	Review completed disciplinary reports for confiscated contraband; interview Disciplinary Hearings Officer and Shift Supervisor; interview inmates (optional)	X		Sgt. Tuitama	SI,DR
I. Does the institution refer inmates for prosecution for violating the laws of the state?	Interview Investigator; review investigation logs	X		Sgt. Tuitama	SI,DR
J. Does the institution conduct security inspections on each shift in all areas?	Review security inspection checklist for each shift for the past 30 days; interview Chief of Security and security staff; observe a security inspection	X		Sgt. Tuitama	SI,DR
K. Does the institution have a written policy/procedure to correct security deficiencies?	Review any security deficiencies that were documented and work orders to correct problems for the past 30 days; interview Chief of Security	X		Sgt. Tuitama	SI,DR
Other Comments: *Document Review; PREA Policy - (training/gender) & CCA Post Order in place...					

SECURITY & CONTROL - EMERGENCY RESPONSE		6	0		
A. Does the institution have an emergency response preparedness plan?	Review emergency response plans; interview safety authority or designated staff member	X		Sgt Tuitama	SI,DR
B. Does the institution have an emergency response team and a designated facility control center in case of an emergency?	Review emergency response plans; interview safety authority or designated staff member	X		Sgt Tuitama	SI,DR
C. Does the institution have a written policy/procedure on managing riots, disturbances, hostage situations, work stoppages, fires, escapes, bomb threats and natural disasters?	Review policy and plans for various emergencies; interview facility authority	X		Sgt Tuitama	SI,DR
D. Does the institution have appropriate agreements with the local county and law enforcement agencies in emergency responses?	Review MOU's in the facility's emergency plan manual or documentation	X		Sgt Tuitama	SI,DR
E. Does the institution provide training of all staff in emergency response plans (I.e. Command post, food service, etc.)		X		Sgt Tuitama	SI,DR
F. Does the institution have a written policy/procedure for how often the facility must run emergency drills?	Review documentation of last drill; interview staff; participate in an emergency drill if one is being held during this audit.	X		Sgt Tuitama	SI,DR
Other Comments: *Document Review; Corporate Plan desgined to meet facility needs...					
SECURITY & CONTROL - INMATE COUNTS		5	0		
A. Does the institution have a written policy/procedure for conducting inmate counts to include formal counts, information counts and lockdown (emergency) counts?	Review policy; interview security staff on various counts	X		Sgt. Maele	SI,DR
B. Does the institution conduct a formal count on each shift?	Observe at least 2 formal counts; review count log books in Central Control for last 30 days	X		Sgt. Maele	SI,DR,OB
C. Does the institution conduct an informal count on each shift?	Observe informal counts in different locations of the facility; interview staff and review log books at these locations for the past 30 days	X		Sgt. Maele	SI,DR,OB
D. Does the institution have a written policy/procedure for appropriate action when the count does not clear?	Review policy; interview staff and review log books	X		Sgt. Maele	SI,DR
E. Does the institution have a face-to-ID count check?	Interview staff and determine what shift this occur; observe a face-to-ID count check.	X		Sgt. Maele	SI,DR
Other Comments: *Observed Counts; 7:45 - 10:45 - 4:15 Head to I.D. checks...					
SECURITY & CONTROL - TOOL & KEY CONTROL		8	0		
A. Does the institution have a written policy/procedure governing the storage, issuance, classification and use of tools and keys?	Review policy and interview Chief of Security who has the overall responsibility for tool control management	X		Sgt. Maele	SI,DR
B. Does the institution make adequate provisions for the secure storage of all tools and keys in the facility?	Observe storage areas throughout the facility; keys should be issued by Central Control	X		Sgt. Maele	SI,OB
C. Does the institution have a tool & key control officer?	Interview staff	X		Sgt. Maele	SI,DR
D. Does the institution have a logging system for issuance and the return of tools?	Review logging system; observe how tools are issued to inmates	X		Sgt. Maele	SI,DR
E. Does the institution have a logging system or issuance and the return of keys?	Review logging system; observe how tools are issued to inmates	X		Sgt. Maele	SI,OB
F. Does the institution have proper shadow boards to provide rapid visual inventory of tools?	Observe shadow boards around facility; food service areas too	X		Sgt. Maele	SI,DR
G. Does the institution have a written policy/procedure to report lost or damaged tools?	Review policy and interview staff	X		Sgt. Maele	SI,DR
H. Does the institution have a written inventory for all tools and keys?	Review written inventory; observe tool inventories	X		Sgt. Maele	SI,DR,OB
Other Comments: *Inventory & Policy "In Place" - (Accessibility at 100%)					
SECURITY & CONTROL - USE OF FORCE		3	0		
A. Does the institution have a written policy/procedure for Use of Force?	Review policy; interview Chief of Security and SORT team members if available during this audit	X		Sgt Tuitama	SI,DR

B. Does the institution provide proper training of appropriate staff members under this policy?	Review training documentation in staff files for SORT members, Interview Training Manager and Chief of Security/security staff and ADO staff	x		Sgt Tuitama	SI,DR
C. In the event of a Use of Force, does the institution properly notify the State's Mainland Branch?	Review notifications (5-1 Packets) for past quarter	x		Sgt Tuitama	SI,DR
Other Comments: Turn In times to Corporate; (policy) - Entire 5-1 Packets; *Priority 1 -w/in 7days & *Priority 2 & 3 - w/in 21days... Compliant.					
SECURITY & CONTROL - DISCIPLINE		10	0		
A. Does the institution have a written policy/procedure that governs the rules and regulations of the facility?	Review policy	x		Sgt Tuitama	SI,DR
B. Does the institution provide proper notification of Priority 1 incidents to the State's Mainland Branch?	Review Priority 1 incidents for the past quarter	x		Sgt Tuitama	SI,DR
C. Does the institution complete its investigations in a timely manner in accordance with policy?	Interview Investigator and review completed investigation reports and pending investigations for past 30 days	x		Sgt Tuitama	SI,DR
D. Does the institution conduct its disciplinary hearings in a timely manner in accordance with policy?	Interview Disciplinary Hearings officer; review completed DR's and DR's that were dismissed due timelines not being followed for the past 30 days; Observe a disciplinary hearing in progress during this audit.	x		Sgt Tuitama	SI,DR
E. Does the charges on the disciplinary report match the offense?	Review Disciplinary reports for the past 30 days	x		Sgt Tuitama	SI,DR
F. Are the inmates provided a copy of the disciplinary report to review?		x		Sgt Tuitama	SI,DR
G. Does the institution give an inmate the opportunity to appeal?	Review disciplinary appeal log for the past 30 days	x		Sgt Tuitama	SI,DR
H. Is the disciplinary committee impartial and not involved in the original investigation and/or write up?	Interview the Disciplinary Hearings Officer; Review Disciplinary reports for the past 30 days	x		Sgt Tuitama	SI,DR
I. Does the institution notify the Mainland Branch if an inmate's disciplinary segregation exceeds 60 days?	Interview Chief of Security	x		Sgt Tuitama	SI,DR
J. Does the institution send its disciplinary reports and disciplinary appeals to the Mainland Branch at the end of each month?	Interview Chief of Security or facility authority (Warden's secretary)	x		Sgt Tuitama	SI,OB
Other Comments:					
INMATE TRUST FUNDS & RESTITUTION PAYMENTS		5	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JB	No Deficiencies noted
A. Does the institution follow PSD policy COR.02.12 "Inmate Trust Accounts"?	Interview Business Manager; check if the facility has a copy of the PSD policy and if it is implemented	x		JB	DR
B. Does the institution maintain separate spendable & restricted accounts for inmates that do not bear interest?	Interview Business Manager; review inmate electronic trust account transactions on OMS	x		JB	SI,DR,OB
C. Does the institution restrict monetary deposits into an inmate's account to only those who are approved on the Inmate's visit list?	Interview Business Manager and Inmate Accounts clerk	x		JB	SI,DR
D. Does the institution deduct monthly restitution payments on all deposits as identified by the Mainland Branch for CVCC?	Interview Business Manager; the facility does not do it as the process is centralized by CCA Corporate's Inmate accounts.	x		JB	SI,DR,OB
Other Comments: *NO deficiencies noted from last audit. *SCC Policy - Indigent status; less than \$3 for 30days w/in spendable; inmate may reapply indigent status every month. Inmate loses status upon receipt of monies to increase \$3.00 or more within "spendable" account.					
TELEPHONE COSTS & PHONE MONITORING		4	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JB	No Deficiencies noted
A. Does the institution have a schedule of phone rate charges and services available?	Interview Business Manager/Investigator and review phone rates and services	x		JB	SI,DR
B. With the exception of phone calls with attorneys' regarding legal matters, does the institution monitor its phone calls for security purposes?	Interview Investigator; listen in on a monitored phone call	x		JB	SI,OB

C. Does the institution generate an incident report when a potential security violation is discovered during the monitoring of phone calls?	Interview Investigator; review a disciplinary report on a monitored phone call that violates the good government of the facility.	x		JB	DR,OB
Other Comments: *Previous audit Investigator received complaints regarding GTL phone service provider; several calls (approved phone list) were "cut short" not successfully transmitting? Facility and GTL (vender) have addressed problem; complaints have diminished. SCC & GTL contract expires May 2015. Facility does not prosecute staff unless it is PREA. Cases are referred to Eloy P.D. *NEW Facility Investigator - start date: November 18th 2013.					
DNA TESTING PROGRAM		5	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JB	No Deficiencies noted
A. Has the facility staff received proper training from the State's Mainland Branch on bucal swab collection?	Review training records for intake staff members	x		JB	SI,DR
B. Does the institution conduct the DNA test prior to inmates returning to Hawaii?	Interview intake staff; review completed DNA collection forms	x		JB	SI,DR
C. Does the institution send the completed DNA collection forms to the State's Mainland Branch prior to the inmates return?	Interview intake staff; review completed DNA collection forms	x		JB	SI,DR
D. Does the institution have DNA kits from the State?	Observe DNA kits	x		JB	SI,OB
Other Comments: *DNA training confirmed & completed. DNA paperwork processed onto PSD Mainland Branch prior to inmate return to Hawaii. DNA kit supplies provided from and by PSD upon SCC request/need.					
INMATE PROGRAMS - EDUCATION SERVICES		14	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		Remey Amoguis	No Deficiencies noted
A. Does the institution have access to the State's SMS system and have they received proper training in SMS?	This item cannot be marked "non-compliant" if staff does not have SMS access and did not receive training by the State.	x		RA	SI,DR
B. Does the institution comply with the State's education program standards on program placement as indicated in the State's SMS system?	Interview Principal and educational staff; review 10% of education records	x		RA	SI,DR
C. Does the institution utilize a standardized assessment for education placement?		x		RA	SI,DR,II
D. Does the institution provide Basic Literacy/ESL classes as necessary?		x		RA	SI,DR,II,OB
E. Does the institution provide Adult Basic Education classes?		x		RA	SI,DR,II,OB
F. Does the institution provide GED and GED testing to qualifying inmates?		x		RA	SI,DR,II,OB
G. Does the institution provide access to college correspondence courses (at the inmate's expense)?		x		RA	SI,DR
H. Is the institution available to provide access to distance learning alternatives at the State's request (no cost to the Provider) if such request is made?				N/A	N/A
I. Does the institution provide vocational training (SCC only) and what types of training is provided?		x		RA	SI,DR,II,OB
J. Does the institution provide cognitive behavior programs (Breaking Barriers & Houses of Healing)?		x		RA	SI,DR,II,OB
K. Are the instructors for the cognitive behavior program certified to teach these courses from a training program approved by the State?		x		RA	SI,DR
L. Does the institution provide Anger/Stress Management?		x		RA	SI,DR
M. Does the institution provide Hawaiian cultural programs to address religious and cultural needs of inmates?		x		RA	SI,DR,II
N. Does the institution's adult education program meet the State's correctional education program?		x		RA	DR,OB

Other Comments: *Section C. Facility utilizes the TABE test (Test of Adult Basic Education); confirmed. *Section I. Facility provides Wood workshop, Electrical classes, Plumbing courses & Hobbycraft shop. *Section H. Hawaiian programs ie language, dance & Makahiki etc.					
INMATE PROGRAMS - SUBSTANCE ABUSE TREATMENT		0	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report			N/A	N/A
A. Does the institution have access to the State's SMS system and have they received proper training in SMS?	This item cannot be marked "non-compliant" if staff does not have SMS access and did not receive training by the State.			N/A	N/A
B. Does the institution provide an Outpatient Substance Abuse Program (formerly referred to as Level II) utilizing a cognitive behavioral treatment component as specified by the State?	Interview Treatment Manager and staff; review 10% of substance abuse records			N/A	N/A
C. Does the institution provide a Substance Abuse Residential TC Program (formerly referred to as Level III) as specified by the State?	Interview Treatment Manager and staff; review 10% of substance abuse records			N/A	N/A
D. Does the institution provide Aftercare services to inmates that completed the Substance Abuse Residential TC Program?	Interview Treatment Manager and staff; review 10% of substance abuse records			N/A	N/A
E. What is the ratio of direct service treatment staff to inmates?				N/A	N/A
F. Does the institution complete substance abuse assessments in accordance with the State's LSI-R/ASUS protocols?				N/A	N/A
G. Are the institution's substance abuse treatment counselors LSI-R/ASUS certified?	Review certification			N/A	N/A
H. Does the institution place an inmate on the priority listing within 30 days after receiving an inmate's request and/or if required by inmate's substance abuse assessment?	LIQUIDATED DAMAGE ITEM: Review priority listing with Treatment Manager for the past quarter			N/A	N/A
I. Does the institution conduct random or suspect urinalysis to inmates participating in substance abuse treatment?				N/A	N/A
J. Does the institution have written guidelines to re-admit an inmate for treatment after termination and/or non-compliance?				N/A	N/A
Other Comments: *NO PSD Substance Abuse treatment Audit Rep. on team to review & audit SA treatment programs during this audit.					
INMATE PROGRAMS - OTHER		10	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		RA	No Deficiencies noted
A. Does the institution have a written policy/procedure concerning worklines and is the institution in compliance with its pay scale being equal to the State's correctional facilities at 0.25 per hour?	Interview facility authority that manages workline placements including the Business Manager; review pay records	x		RA	SI,DR
B. Does the institution provide workline opportunities for at least 2/3 of the population?	Interview facility authority that manages workline placements; review records to ensure that a qualifying inmate has at least 6 hours of work and/or programs daily five times a day	x		RA	SI,DR
C. Does the institution have a hobby shop and/or hobby craft program for inmates in general population to participate?	Interview hobby shop supervisor and inmates; observe hobby shop area and inmate crafts	x		RA	SI,DR,II,OB
D. Does the institution have a Faith-based Unit designed to serve as a socialization process where inmates learn to identify self-centered interests and replace those behaviors with productive activities?	Interview Faith-based housing unit staff and inmates; observe housing unit	x		Shari Kimoto	SI,DR,OB
E. Does the institution provide religious programs in accordance with policy and standards?	Interview Chaplain and review religious program listings/calendar of religious events; observe an event if ongoing during this audit.	x		SK	DR,OB
F. Does the institution have a Chaplain?		x		SK	SI,DR,II,OB

G. Does the institution provide space for religious programs and events?	Interview Chaplain and review religious program listings/calendar of religious events; observe an event if ongoing during this audit.	x		SK	DR,OB
H. Does the institution require its volunteers to complete appropriate, documented training and facility orientation programs prior to assignment?	Interview facility authority who coordinates volunteers	x		RA	SI,DR
I. Is there a criminal background check done on all volunteers who have direct, unsupervised contact with inmates?	Interview facility authority who coordinates volunteers; conduct random review of 10% of volunteer files	x		RA	SI,DR
Other Comments: *Observed Mormon & Hawaiian Religion Services; in accordance with religious monthly services.					
INMATE CLASSIFICATION		5	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JB	No Deficiencies noted
A. Does the institution have a written policy/procedure for its internal classification system used for housing and workline purposes?	Review policy and interview classification officer	x		JB	DR
B. Does the institution follow PSD policy COR.18.01 "Inmate Classification"?	Review policy and interview classification officer; HI classification should be completed on an annual basis	x		JB	DR,OB
C. Does the institution have a Classification Officer?	Interview staff	x		JB	SI,OB
D. Does the classification have access to the State's Offendertrak Management system?	Interview staff and observe Offendertrak link	x		JB	SI,OB
Other Comments: *Per PSD request - Classification Officer and SCC staff to specify "reasons for any override"... Request is CONFIRMED.					
HEALTH CARE SERVICES		26	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JL	No Deficiencies noted
A. Does the institution provide routine health care services to inmates?	Interview Health Services Administrator (HSA) and medical staff; review medical records	x		JL	SI,DR,OB
B. Does the institution operate within 85% of the National Commission on Correctional Health Care Standards (NCCHC) - Prison Edition, 2008?		x		JL	SI,DR
C. Does the institution have a Health Services Administrator that may be a registered nurse?		x		JL	SI,DR
D. Does the institution employ licensed health care staff including physicians, nurse practitioners, registered nurses and physician assistants that is overseen by the Health Services Administrator?		x		JL	DR,OB
E. Is the health care staff trained in correctional health care?		x		JL	SI,DR,OB
F. Does the institution provide primary care services including sick call exams and daily urgent care for the inmates in general population and segregation?		x		JL	SI,DR,OB
G. Is the clinical delivery of care timely, appropriate to the acuity of the patient, and at a level comparable to the community standard for medical care in accordance with NCCHC standards?		x		JL	DR
H. Does the institution have a secured sick call management system that processes sick call requests within 24-hour of its notification and/or receipt?		x		JL	SI,DR,OB
I. Does the institution provide necessary health care follow-up appropriate to the acuity of the patient within 72-hours of received request?		x		JL	DR

J. Does the institution provide a chronic care management system as described in the State's contractual agreement?		x		JL	SI,DR
K. Does the institution provide medical and specialty services utilizing community specialists or whenever possible, specialist services on-site?		x		JL	SI,DR
L. Does the institution provide observation beds/cells for patients who require more intense monitoring or treatment?		x		JL	SI,DR,OB
M. Does the institution provide routine diagnostic procedures and/or services?		x		JL	DR,OB
N. Does the institution provide fixed and/or mobile radiology services?		x		JL	SI,DR
O. Does the institution provide periodic prevention visits to review a patient's need for preventive services as described in the State's contractual agreement?		x		JL	SI,DR
P. Does the institution provide an infection control program to include ongoing monitoring during intake, prevention visits, and during sick calls?		x		JL	SI,DR
Q. Does the institution provide immunizations as described in the State's contractual agreement?		x		JL	DR,OB
R. Does the institution provide preventive screening services as described in the State's contractual agreement?		x		JL	SI,DR
S. Does the institution provide Hepatitis C treatment that is consistent to the State's treatment guidelines?		x		JL	
T. Does the institution provide mortality and peer reviews?		x		JL	DR
U. Does the institution provide medical prostheses at the cost of the inmate in accordance with the State's policy and procedures?		x		JL	DR
V. Does the institution provide optometry care as described in the State's contractual agreement?		x		JL	SI,DR
W. Does the institution provide dental services as described in the State's contractual agreement?		x		JL	SI,DR
X. Does the institution provide mental health services as described in the State's contractual agreement?		x		JL	DR
Y. Does the institution assess reasonable co-payment fees consistent with the State's written co-payment policies and procedures?		x		JL	DR
Other Comments: *Pharmacy audit 100% & 99.1% FSC (CCA internal audit).					
MANAGEMENT - PERSONNEL / REPORTING		20	0		
Audit Deficiencies- Have any issues been rectified from the last Audit (if applicable)?	Review previous audit report	x		JB	No Deficiencies noted
A. Does the institution provide 24-hour care and supervision to inmates in accordance with written policy/procedures and ACA standards?	Review 24-hour staffing plan and vacancy report	x		JB	SI
B. Does the institution conduct criminal background checks on all newly hired employees?	Interview HR Manager and conduct random review 10% employee records. Any documentation should be by employee # and NOT name of the employee.	x		JB	DR
C. Does the institution conduct random drug testing on staff?	Interview HR Manager and conduct random review 10% employee records. Any documentation should be by employee # and NOT name of the employee.	x		JB	SI,DR
D. Does the institution provide a minimum of 160 hours of basic correctional training within 3 months of employment and an additional 40 hours of annual supplemental training?	Interview Training manager; conduct random review of 10% of employee records (use the same employee records to verify additional 40 hours of annual supplemental training. Check PREA training too.	x		JB	SI,DR
E. Does the institution refer staff for prosecution for violating the laws of the state?	Interview Investigator; review case logs	x		JB	SI

Master Auditor's Compliance Worksheet (CONFIDENTIAL until in verified final format)

F. Does the institution employ a single on-site Warden to manage each facility under the State's contractual agreement?		X		JB	SI
G. Does the institution operate its facility utilizing the Unit Management Model?	Interview the Chief of Unit Management; review unit management model plan in various housing units	X		JB	DR,OB
H. Does the institution have a Quality Assurance Manager?	Interview QA Manager; review tracking log on facility policy revisions and how internal / external audits are managed including ACA audits. Conduct random review for the past quarter	X		JB	DR,OB
I. Does the institution's QA Manager track facility policies, revisions/changes?		X		JB	SI,DR,OB
J. Does the institution's QA Manager schedule internal audits?		X		JB	SI,DR,OB
K. Does the institution's QA Manager serve as a local coordinator for all external audits?		X		JB	SI,DR
L. Does the institution's QA Manager track audit deficiencies, plans of action and other remedial actions related to audit outcomes?		X		JB	DR,OB
M. Does the institution's QA Manager make recommendations to the Warden for policy and procedural changes?		X		JB	DR,OB
N. Does the institution's QA Manager provide responses and corrective action plans to the State within 30 days of receiving any adverse actions as documented in its monitoring report?	Review POA (Plan of Action) from previous quarter.	X		JB	DR,OB
O. Does the institution submit inmate progress reports every 6 months to the State's Mainland Branch?	Interview Chief of Unit Management and Classification Supervisor; review records and files	X		JB	DR,OB
P. Does the institution complete annual classifications on the Hawaii classification system on Offendertrak?	Interview Classification Supervisor; review reclassification log	X		JB	DR,OB
Q. Does the institution submit notification incident packets to the State's Mainland Branch?	Interview Chief of Security or designated staff	X		JB	DR,OB
R. Does the institution submit disciplinary reports at the end of each month to the State's Mainland Branch?	Interview Disciplinary Hearings officer or designated staff	X		JB	DR,OB
S. Does the institution submit a monthly report by the 5th working day of each month to the State's Mainland Branch?		X		JB	SI,DR,OB
Other Comments: *Progress Reports completed every 6mos. HIPPA regulations; drug tests (medical) separated from personnel files. Per Facility Investigator; PREA cases are processed and referred onto Eloy P.D. & courts for prosecution.					

*As contractually required, the Warden shall have thirty (30) days from the receipt of this monitoring report to respond with a corrective plan of action to address all issues of Non-Compliance.

Total Compliant	270
Total Non-Compliant	0



