



Performance Audit

State Correctional Institution at Mercer

**Commonwealth of Pennsylvania
Department of Corrections**

September 2012

September 14, 2012

The Honorable Tom Corbett
Governor
Commonwealth of Pennsylvania
Harrisburg, Pennsylvania 17120

Dear Governor Corbett:

The report contains the results of a performance audit of the State Correctional Institution at Mercer of the Department of Corrections from July 1, 2008, to April 29, 2011. The audit was conducted under authority provided in Section 402 of The Fiscal Code and in accordance with generally accepted government auditing standards.

The report details the audit objectives, scope, methodology, findings, and recommendations. The report notes that the institution did not comply with Department of Corrections' automotive policies and did not implement standard procedures to manage its automotive fleet effectively. We also found that many of SCI Mercer's employees did not receive all of the training required by the Department of Corrections. This is a repeat finding and we again recommend that SCI Mercer officials implement corrective action to ensure that employee training requirements are met.

We discussed the contents of the report with the management of SCI Mercer, and all appropriate comments are reflected in the report.

Sincerely,

JACK WAGNER
Auditor General

*Pennsylvania Department of the Auditor General
Jack Wagner, Auditor General
September 2012*

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Background Information

*History, mission,
and operating
statistics*

Department of Corrections

The Pennsylvania General Assembly created the Bureau of Corrections under the authority of the Pennsylvania Department of Justice with the passage of Act 408 of July 29, 1953, P.L. 1428 Section I. In December 1980, responsibility moved from the Pennsylvania Department of Justice to the Office of the General Counsel under the Governor. On December 30, 1984, the Governor signed Act 245 of 1984,¹ elevating the Bureau of Corrections to cabinet level status as the Department of Corrections.

The mission of the Department of Corrections is as follows:

Our mission is to reduce criminal behavior by providing individualized treatment and education to offenders, resulting in successful community reintegration through accountability and positive change.²

The Department of Corrections is responsible for all adult offenders serving sentences of two years or more. As of April 12, 2012, it operated 26 correctional institutions, 1 motivational boot camp, 1 training academy, and 14 community pre-release centers throughout the Commonwealth of Pennsylvania. In addition to the 14 community pre-release centers, the Department of Corrections also had oversight for 39 contracted facilities, all part of the community corrections program.³

Inmate General Welfare Fund

The Department of Corrections centrally controls an Inmate General Welfare Fund to provide custodial services for inmate personal monies and to generate funds for recreational activities. Each correctional institution within the Department of Corrections maintains accounting records for its own portion of the fund. The prisons' funds are consolidated for control and investment purposes and administrated by a central council.

¹ 71 P.S. § 310.1.

² http://www.portal.state.pa.us/portal/server.pt/community/our_mission/20645, accessed April 12, 2012.

³ http://www.portal.state.pa.us/portal/server.pt/community/department_of_corrections/4604, accessed April 12, 2012.

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State Correctional Institution at Mercer

The State Correctional Institution at Mercer referred to as SCI Mercer, or Mercer, throughout this report is a minimum-security facility for adult male offenders and was opened in 1978. It is located in the northwestern section of Pennsylvania in Findley Township, Mercer County, about a mile southeast of the county seat in Mercer, Pennsylvania. Pittsburgh is about 60 miles to the south on Route 79 and the Ohio state border is 15 miles to the west on Route 80. SCI Mercer encompasses 289 acres of land with approximately 37 acres inside a perimeter fence. The physical plant includes 14 inmate housing units, and 25 buildings used for administration, maintenance, dietary, and education.

The schedule on the following page presents select unaudited SCI Mercer operating statistics compiled by the department for the years ended June 30, 2008, 2009, and 2010.

	Using rounding		
	2008	2009	2010
Operating expenditures⁴			
State	\$37,980,910	\$40,794,116	\$44,189,237
Federal	<u>15,209</u>	<u>14,531</u>	<u>122</u>
Total operating expenditures	<u><u>\$37,996,119</u></u>	<u><u>\$40,808,647</u></u>	<u><u>\$44,189,359</u></u>
Inmate population at year end	1,328	1,429	1,461
Capacity at year end	1,360	1,360	1,360
Percentage of capacity at year end	97.6%	105.1%	107.4%
Average monthly inmate population	1,320	1,366	1,604
Average cost per inmate per year ⁵	\$28,785	\$29,875	\$27,549

⁴ Operating expenditures were recorded net of fixed asset costs, an amount that would normally be recovered as part of depreciation expense.

⁵ Average cost was calculated by dividing the operating expenditures by the average monthly inmate population.

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**Objectives,
Scope, and
Methodology**

**Objectives,
Scope, and
Methodology**

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Our performance audit of SCI Mercer covers four objectives. We selected the audit objectives from the following areas: automotive fleet, service contracts, timekeeping/leave system, and employee training. The specific audit objectives were as follows:

- One To assess SCI Mercer's management controls over its automotive fleet and to determine if SCI Mercer complied with Department of Corrections policies. (Finding 1)
- Two To determine whether SCI Mercer effectively monitored its service contracts. Our audit included an examination of selected contracts to determine whether they duplicated, overlapped, or conflicted with other efforts taken by the institution to provide similar goods and services. (Finding 2)
- Three To determine whether SCI Mercer had adequate management control over its' timekeeping/leave system for its employees. (Finding 3)
- Four To determine whether SCI Mercer complied with Department of Corrections' mandatory training requirements and whether Mercer implemented recommendations made in our prior audit. (Finding 4)

Unless otherwise indicated, the scope of the audit covered the period from July 1, 2008, to April 29, 2011.

To accomplish our objectives, we obtained and reviewed records and analyzed pertinent policies, agreements, and guidelines of the Commonwealth and the Department of Corrections. In the course of our audit work, we interviewed various facility management and staff. The

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Scope, and
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audit results section of this report contains the specific inquiries, observations, tests, and analyses conducted for each audit objective.

We also performed inquiries and tests as part of, or in conjunction with, our current audit to determine the status of the implementation of the recommendations made during our prior audit related to maintenance work orders and employee training.

Audit Results

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Audit Results

In the pages that follow, we have organized our audit results into four sections, one for each objective. Each of the four sections is organized as follows:

- Statement of the objective
- Relevant policies and procedures
- Audit scope in terms of period covered, types of transactions reviewed, and other parameters that define the limits of our audit
- Methodologies used to gather sufficient evidence to meet the objective
- Finding(s) and conclusion(s)
- Recommendation(s), where applicable
- Response by SCI Mercer management, where applicable
- Our evaluation of managements response, where applicable

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**Audit Results:
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**Audit Results
for
Objective One**

The objective

Objective one for our performance audit was to assess SCI Mercer’s management controls over its automotive fleet and to determine if SCI Mercer complied with Department of Corrections’ policies.

*Automotive
Fleet*

**Relevant policies, procedures
and background information**

The Department of Corrections’ policy requires that all facilities are operated in an efficient and effective manner pursuant to applicable federal and state law and the direction of the Commonwealth’s Office of the Budget and other central agencies.⁶ SCI Mercer’s maintenance department is responsible for the maintenance of the automotive equipment assigned to the facility. SCI Mercer had a total of 23 vehicles in their fleet. Seven of the vehicles were owned by the Department of General Services and leased to SCI Mercer. In addition, SCI Mercer purchased 16 vehicles from the Department of General Services. The Department of Corrections’ policy requires that mileage, required maintenance and the economics of operations should be recorded for each vehicle.⁷

One of the leased vehicles was assigned to the superintendent. The other six leased vehicles were passenger cars that SCI Mercer employees used for business travel such as seminars and meetings at other correctional institutions. In addition, SCI Mercer’s state-owned vehicles included a bus and five vans that were used to transport inmates to court or to other institutions. The remaining 10 vehicles consisted of a dump truck, several box vans and pickup trucks that were used by employees on the grounds of SCI Mercer for daily operations.

SCI Mercer had three fuel tanks located on the institution grounds that are used to fuel the 23 vehicles used by SCI Mercer staff. All three tanks are

⁶ Commonwealth of Pennsylvania, Department of Corrections, Policy Number 3.1.1 – “Fiscal Administration,” Fiscal Administration Procedures Manual, Section 8 – Vehicles, revised March 28, 2007;

Commonwealth of Pennsylvania, Department of Corrections, Policy Number 6.3.1 – “Facility Security,” Section 11-Vehicles, effective date April 20, 2006;

Commonwealth of Pennsylvania, Department of Corrections, Policy Number 10.2.1 – “Facility Maintenance,” Facility Maintenance Procedures Manual, Section 1 – “General Procedures,” effective date September 3, 2008.

⁷ Commonwealth of Pennsylvania, Department of Corrections, Policy Number 10.2.1 – “Facility Maintenance,” Facility Maintenance Procedures Manual, Section 1 – “General Procedures,” effective date September 3, 2008.

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located outside of the perimeter fence and are kept locked. SCI Mercer's automotive department maintains the keys and is responsible for pumping the fuel during normal work orders. The fuel pump key is kept in the main control room for use during the weekend and evenings. According to Department policy, the facility is required to prepare a monthly fuel usage report and submit it to the Department's central office.⁸

Audit scope and methodologies to meet our objective

In order to accomplish our objective we performed the following:

We reviewed the Department of Corrections' policy for fiscal administration and the section on vehicles.

We interviewed the appropriate SCI Mercer personnel responsible for the oversight of the automotive fleet.

We physically observed the condition of all 23 vehicles listed on the December 9, 2010, inventory report.

We reviewed the December and January monthly automotive activity reports for all 23 vehicles to determine if the year-end mileage matched the beginning mileage for the calendar years 2008, 2009, and 2010.

We reviewed a total of 47 monthly automotive activity reports for the seven leased vehicles for the months of October 2007, February and October of 2008, February and November 2009 and February and November of 2010. We also reviewed the monthly automotive activity reports for 9 of 16 purchased vehicles for the month of September 2010.

Finally, we reviewed the monthly fuel usage reports for each of SCI Mercer's three fuel tanks for the period from July 1, 2007, to February 28, 2011.

⁸ Ibid

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Finding 1 SCI Mercer did not complete and maintain vehicle fleet mileage and fuel usage documentation as required by Department of Corrections' policy.

Our audit work related to the management controls implemented to ensure compliance with Department policies found that SCI Mercer was not complying with several provisions of the policy. Specifically, we found numerous documentation deficiencies related to the monthly automotive activity reports and the monthly fuel usage reports.

Department of Corrections' policies require that a monthly automotive activity report be maintained for all vehicles. The driver of the vehicle is to document his/her name, beginning and ending mileage for each day of the month that the vehicle was used, travel locations, gas, oil and maintenance costs, if applicable, on a daily basis. The policy further states that gasoline, oil, repairs and maintenance should be procured from the correctional facility to the extent practical. Official automotive credit cards shall be carried in all vehicles that leave the facility and shall be used for purchases of gas and oil that occur outside of the facility.⁹

Monthly automotive activity reports. Our review of SCI Mercer's automotive activity reports revealed that 11 of the 47 reports were incomplete and/or contained inaccurate information. Specifically, we found that daily odometer readings were not recorded, fuel obtained at SCI Mercer was not always recorded, and the supervisor's approval signature was not documented. Further we found instances where the total days operated and the total miles for the month were not accurate.

We also found that for 17 of the 23 vehicles, the 2009 year-end mileage did not match the 2010 beginning mileage. We found 13 instances where the beginning mileage was *more* than the ending mileage with discrepancies ranging from as little as five miles more and as much as over 1,000 miles more. We also found four instances where the beginning mileage was *less* than the ending mileage, with discrepancies ranging from 36 miles to 371 miles.

⁹ Commonwealth of Pennsylvania, Department of Corrections, Policy Number 3.1.1 – "Fiscal Administration," Fiscal Administration Procedures Manual, Section 8 – "Use of Maintenance and State Vehicles," F. "General Operational Procedures," revised March 28, 2007.

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Fuel Usage Reports. The purpose of the fuel usage reports is to document fuel purchased, dispensed and the remaining balance of fuel, on a daily basis in SCI Mercer's three fuel tanks. The reports are used to monitor fuel purchased and dispensed to institution vehicles.

We requested the monthly fuel usage reports for all three fuel tanks for the period from July 2007 through February 2011. SCI Mercer officials provided us with 97 reports and we immediately noted that there were no reports for the six-month period from July 2010 through December 2010. When we questioned Mercer officials about the missing reports, we were told that the reports could not be located and the officials were not sure what happened to the reports. Without the reports we could not review and evaluate fuel purchases and usage for that six month time period.

We reviewed the 97 fuel usage reports for three fuel tanks and we requested supporting documentation for all fuel purchases. Our testing found six instances where Mercer could not provide us with the purchase orders or other documentation to support the amount of fuel listed as purchased on the fuel usage reports. SCI Mercer supposedly purchased more than 4,100 gallons of fuel but officials at the facility could not provide documentation to support the fuel purchases.

We reviewed all the purchase orders for fuel for the period of July 2007 through February 2011. Our review of purchase orders disclosed 10 instances where the purchase orders listed more fuel purchased than what was recorded on the fuel usage reports. The total amount of fuel involved in these 10 purchase orders was 1,834 gallons. In other words, more than 1,800 gallons of fuel was unaccounted for leaving the door open for the possibility of theft. While we did not identify any actual instances of theft, the lack of adequate documentation and what appears to be inadequate monitoring of the fuel usage reports, led us to conclude that SCI Mercer officials must improve the management controls over fuel purchases and usage.

Our review of the mileage and daily usage from the monthly automotive reports found that SCI Mercer appeared to consistently utilize its vehicle fleet for its intended purpose. However, the lack of complete and accurate documentation hinders Mercer from effectively monitoring the vehicle fleet. Inaccurate recordkeeping may result in unnecessary and/or excessive expenditures. Inaccurate records and lack of monitoring may

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also result in the theft of fuel from the institution and/or the unauthorized use of the fleet vehicle credit card for personal use.

A well managed vehicle fleet supports the efficient and effective operations essential to maintaining a safe environment at SCI Mercer. Documenting mileage and fuel usage enables management to evaluate and monitor the accuracy and adequacy of vehicle usage. The documentation also allows management to monitor and schedule preventative maintenance repairs in order to control costs and prevent more costly repairs in the future. In addition, well kept records for fuel and monitoring of its usage aids in the prevention of the theft of fuel.

**Recommendations
for Finding 1**

1. SCI Mercer's maintenance management should enforce existing policies to ensure that monthly automotive activity reports and fuel usage reports are accurately completed and supporting documentation is maintained. All mileage, fuel and maintenance costs should be accurately documented on the monthly automotive activity report to ensure efficient and effective vehicle operation. Also, SCI Mercer should regularly review and monitor the reports to help prevent unauthorized use of the vehicles and to ensure that fuel is purchased and dispensed for facility business use only.

Comments from SCI Mercer management:

In order to address the deficiencies noted in the [Auditor] General's Audit, Finding #1, the following steps are to be taken:

New Procedures have been put in place to have a tighter control of fuel dispensing and accountability during off shifts, weekends, and holidays. The Keys to the fuel pumps are to be located in the Control Center and when needed for fueling, will be annotated on the Daily Shift Report.

A logbook is maintained in the Main Control Center to document all vehicles signed out for departure from the Institution (Transport vehicles or DGS leased vehicles). The staff member's name, title, date, departure time, and destination, must be logged when vehicle

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keys are issued; the return time must be logged upon return. These logbooks will be maintained for record for 4 years. The appropriate Shift Commander/Captain on duty is responsible to ensure that the logbook is maintained by the staff assigned to perform duties in the Control Center.

Auditor General's evaluation of agency response:

While the implementation of new procedures and improvements in key control and record keeping are a positive step in correcting the issues we identified, these new procedures only partially address the management control deficiencies cited in our finding. SCI Mercer's response does not address our recommendation of ensuring that monthly automotive and fuel usage reports are properly completed and supporting documentation is maintained. SCI Mercer's response also does not address our recommendation to review and monitor the automotive and fuel reports to ensure that fuel is purchased and dispensed for facility business use only. We will determine the status of these recommendations during our next audit of SCI Mercer.

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**Audit Results:
Service Contracts**

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**Audit Results
for
Objective
Two**

Service Contracts

The objective

Objective two for our performance audit was to determine whether SCI Mercer effectively monitored its service contracts. Our audit included an examination of selected contracts to determine whether they duplicated, overlapped, or conflicted with other efforts taken by the institution to provide similar goods and services.

Relevant policies and procedures

The Commonwealth of Pennsylvania enters into contracts with various vendors to provide a variety of goods and services. The Commonwealth of Pennsylvania has a Procurement Handbook that established policy and procedures for the use of contracts to procure services. Included in that handbook are procedures to monitor the services provided by the contracts.¹⁰

SCI Mercer management is responsible for ensuring that adequate services are provided and expenditures are incurred according to contract terms. The Department of Corrections has also established a procurement policy that addresses monitoring responsibilities.¹¹

Audit scope and methodologies to meet our objective

We reviewed the Commonwealth of Pennsylvania and the Department of Corrections' policies for monitoring of service contracts.

We interviewed appropriate SCI Mercer personnel responsible for the procurement of goods and services.

We examined the institution's detailed list of 16 service contracts with documented expenditures paid between July 1, 2007, and June 30, 2010. Using our professional judgment, we then selected the pharmacy, waste management and telephone contracts for testing. Our testing included a

¹⁰ http://www.portal.state.pa.us/portal/server.pt/community/procurement_handbook/14304. Part I Chapter 54, "Contact Person Responsibilities." This manual undergoes continuous updates. View date May 24, 2010, verified October 13, 2011.

¹¹ Commonwealth of Pennsylvania, Department of Corrections, Policy 3.1.1- "Fiscal Administration", IV.G.13., effective January 27, 2009.

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review of the contract requirements, purchase orders, and invoice documentation.

Finally, we reviewed the services provided by the selected contracts with SCI Mercer operations to ensure that none of the selected contracts duplicated, overlapped or conflicted with institution services.

Finding 2

SCI Mercer had adequate controls over the pharmacy, waste management, and telephone contracts.

Our review of the pharmacy, waste management and telephone contracts revealed that SCI Mercer complied with Department of Corrections' policies and procedures for monitoring of contracts.

We reviewed controls over the receipt, disbursement, return and billing of pharmaceuticals; the pick-up and billing of waste, and the service calls and billing for the telephone system. We also reviewed contract monitoring procedures for the three contracts.

Our testing of internal controls relating to services provided under the three contracts revealed that the controls were sufficient to ensure that services billed were actually provided. We reviewed a selection of invoices and verified that the invoices were mathematically accurate, appropriately reviewed and approved, and the amounts and terms agreed with the provisions of the contracts.

The services provided under the three selected contracts did not duplicate, overlap, or conflict with institution efforts to provide similar or related goods and services.

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**Audit Results
for
Objective
Three**

The objective

Objective three for our performance audit was to determine whether SCI Mercer had adequate management control over its timekeeping/leave system.

*Personnel
Management*

Relevant policies and procedures

Beginning in 2001, the Commonwealth began a comprehensive project to redesign administrative functions by replacing outdated computer systems with new software. This project is called Integrated Enterprise System, formerly referred to as ImaginePA. The mission of the Commonwealth's project is stated as follows:

*The **Bureau of Integrated Enterprise System (IES)** is responsible for the operation, sustainment, upgrade, growth, standardization, and quality assurance of the Commonwealth's Enterprise Resource Planning (ERP) system, known as the Integrated Enterprise System (IES).¹²*

The Integrated Enterprise System uses the Systems Application Products (SAP) software, which benefits are to speed transaction processing, provide more accurate data, and reduce or eliminate redundancy. The Commonwealth has developed an Employee Self -Service system within the Integrated Enterprise System.

Employees who have access to the Employee Self -Service system are required to use this system to record work-related activity including travel and expense reimbursement requests, leave requests, time sheet creation and vacation selection.¹³

¹² Information taken from the following website:

http://www.portal.state.pa.us/portal/server.pt?open=512&objID=3916&&PageID=429871&level=2&css=L2&mode=2&in_hi_userid=151594&cached=true viewed March 5, 2012.

¹³ Commonwealth of Pennsylvania, ImaginePA, Employee Guide – Information for Employees on Human Resources and Payroll Services.

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The Commonwealth has developed policies and procedures regarding human resources programs and the recording and monitoring of employee absences from work.¹⁴

Audit scope and methodologies to meet our objective

We reviewed applicable department policies and procedures to establish an understanding of the timekeeping/leave system.

We interviewed appropriate SCI Mercer personnel responsible for the timekeeping/leave system.

We randomly selected and tested records for 35 of 422 employees. As part of our testing of the employee records, we reviewed 126 absences during the two week pay periods ending May 1, 2010, and January 8, 2011, to determine if the absences were properly approved and documented in accordance with established policies and procedures.

Finding 3

SCI Mercer established adequate controls over their timekeeping/leave system.

SCI Mercer employees, with the exception of corrections officers, submit their leave requests through the Employee Self-Service system. The electronic leave slip is sent to the employee's supervisor for approval. The leave transaction is then entered into the Commonwealth's accounting system. Timekeepers are responsible for posting leave directly into the Commonwealth's accounting system for corrections officers. Mercer's corrections officers manually complete request for leave forms. Once the applicable supervisor approves the employee's request for leave, the forms are forwarded to Mercer's timekeepers for entry into the system.

¹⁴ Commonwealth of Pennsylvania, Governor's Office, Management Directive 505.7 Amended – "Personnel Rules," September 1, 2009;

Commonwealth of Pennsylvania, Governor's Office, Manual M530.7 Amended – "Absence Program," April 23, 2009.

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Department policy states in part:

An Employee is responsible for requesting absences in accordance with established policies and procedures and monitors his or her own absence usage.....

A Supervisor or designee is responsible for ensuring all absences from the workplace are recorded and approved/rejected in a timely manner consistent with operational needs.

A Timekeeper is responsible for entering absences . . . when an employee does not have access to Employee Self-Service (ESS) or when the employee is unable to enter the data.¹⁵

We selected 8 employees who submitted leave through the Employee Self-Service system and 27 employees who submitted leave through the timekeepers. We examined 42 absence transactions for the 8 employees in the Self-Service system, and 84 absences for the 27 employees who submit leave through the timekeepers. Our testing found that all leave requests were properly documented, approved, and recorded.

¹⁵ Commonwealth of Pennsylvania, Governor's Office, Manual M530.7 Amended – "Absence Program", "Roles and Responsibilities for Absences," 2, 3, 4.

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**Audit Results
for
Objective
Four**

Training

The objective

Objective four for our performance audit was to determine whether SCI Mercer complied with Department of Corrections' mandatory training requirements and whether SCI Mercer implemented recommendations made in our prior audit.

Relevant policies and procedures

SCI Mercer, through the Department of Corrections, is responsible for providing all employees with initial orientation and continuing education and training programs that focus on skills and competencies directed toward the safety and care of the inmates as well as the staff of the institution. The training coordinator is responsible for overseeing the planning, coordinating, record maintenance and on-site monitoring of training to ensure adherence to requirements.

The Department of Corrections' has established policies and procedures for staff development and training.¹⁶

Audit scope and methodologies to meet our objective

We reviewed applicable department policies and procedures to establish an understanding of the training system.

We interviewed the SCI Mercer human resources officer, and the training coordinator.

We reviewed 33 employees' training records for the fiscal years ended June 30, 2009, and 34 employees' training records for fiscal year ended June 30, 2010, to determine if the employees received the training required by Department policies.

We reviewed training records for 21 Corrections Emergency Response Team (CERT) members for year ended June 30, 2009, and 17 CERT

¹⁶ Commonwealth of Pennsylvania, Department of Corrections, Policy 5.1.1, "Staff Development and Training," effective December 15, 2003, revised October 2009.

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members for the fiscal year ended June 30, 2010, to determine if the employees received the required number of training hours.

We reviewed 24 Fire Emergency Response Team (FERT) members training records for the fiscal year ended June 30, 2009, and 26 FERT members training records for the fiscal year end June 30, 2010, to determine if the employees received the required number of training hours.

We examined training records for 17 officers promoted to sergeant and 9 officers promoted to lieutenant for the period July 1, 2007, through March 1, 2011 to determine if the employees received the required “lead workers” training or “commissioned officers” training.

We selected 39 of 205 instructors to determine if the instructors had the required certifications to teach assigned courses.

Finding 4

SCI Mercer again failed to ensure that employees met the mandatory training requirements.

Our review of training records found that SCI Mercer is still not in compliance with Department of Corrections training requirement policies and Mercer had not implemented our prior audit recommendations.

The Department developed a detailed policy to implement training programs that are consistent with, and contribute to, the Department’s mission, equal employment opportunity goals and staffing requirements based on employee learning needs. One goal of the policy is to ensure that the training programs and requirements meet or exceed the American Correctional Association (ACA) standards for correctional agencies. The Department assigned responsibility to the training coordinators at each facility to ensure that employees receive the required training. Specifically, the policy states:

Facilities shall ensure that each employee receives all mandatory training. In the event that an employee is unable to attend a scheduled training session due to anticipated or unanticipated leave, the Training Coordinator shall ensure

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that the employee is rescheduled to receive the missed training. The Training Coordinator will ensure that the training is scheduled within 30 days of the employee returning to duty, and that the employee receives the missed training no later than the end of the following training quarter.¹⁷

We obtained and reviewed the training records for various types of employees and determined if the employee received the required training. The details of our results are presented in the following paragraphs.

Minimum hours and required courses. Our review revealed that only 9 of 33 employees selected for testing for the fiscal year ended June 30, 2009, received the minimum 40 hours of training, and 31 of the 33 employees did not receive all required courses specific to their job classifications as required by policy.

For the fiscal year ended June 30, 2010, our audit revealed that only 6 of 34 employees selected for testing received the minimum 40 hours of training, and 24 of the 34 employees did not receive all required courses specific to their job classifications as required by policy.

Corrections Emergency Response Team. We reviewed training records for the CERT and found that 5 of the 21 members did not receive the required annual training hours for the fiscal year ended June 30, 2009. Also, 10 of the 17 members for the fiscal year ended June 30, 2010, did not receive the required training hours. In addition, Mercer did not have quarterly training schedules or annual reports available for review.

Fire Emergency Response Team. We reviewed training records for the fire emergency response team and found that 7 of the 24 members did not receive the required 16 hours of annual training. In addition, 3 of the 24 members did not receive the required 1.5 hours of respiratory training during the fiscal year ended June 30, 2009. Also, during the fiscal year ended June 30, 2010, 8 of 26 members did not received the required 16 hours of annual training and 4 of the 26 members did not receive the required 1.5 hours of respiratory training.

¹⁷ Commonwealth of Pennsylvania, Department of Corrections, Policy Number 5.1.1 – “Staff Development and Training, Staff Development and Training Procedures Manual, Section 2 B.4., effective December 15, 2003, revised October 2009.

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Commissioned Officers Training. Our audit of training records for 26 commissioned officers selected for testing found that 15 officers did not receive the required training. Four of 9 lieutenants (first level supervisors) did not receive the Department's Supervisory Development course and 11 of 17 sergeants (Corrections officer II's) did not receive the lead worker's training.

Instructor Certifications. Our review of documentation for 39 instructors selected for testing revealed that one instructor did not have the required certifications on file.

SCI Mercer's failure to ensure that its employees receive all the required training has been an issue in the past and it continues to be an issue. When staff does not receive the required training, there is a greater concern about the ability of staff to fulfill their job duties and responsibilities. In-service training and employee development is necessary to improve upon, maintain, or enhance employees' basic skills, knowledge, and abilities.

When we asked Mercer's training coordinator why there were so many instances of non-compliance, the training coordinator stated that mandatory training sessions are sometimes missed because of scheduling conflicts. The coordinator also stated that staff may be on regular days off or on leave time during the dates that training is scheduled. Management also did not want to increase overtime to cover shifts for training participants.

SCI Mercer must do more to ensure that all its employees receive the required training. Failure to properly train staff may jeopardize the safety and security of institution's inmates, staff and visitors. Also, a continual failure to comply with training requirements may jeopardize the facilities' accreditation status.

**Audit Results:
Training**

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-
- Recommendation**
1. We again recommend that SCI Mercer management ensure that employees receive all mandatory training and all instructors are certified to teach assigned courses. In addition, we recommend that the training coordinator implement procedures to better monitor training. Finally, the training coordinator should maintain all applicable records to document compliance with policies.

Comments from SCI Mercer management:

In order to address the deficiencies noted in the [Auditor] General's Audit, Finding #4, the following steps are to be taken:

1. *All employees will receive the required training in accordance with the Staff Development and Training plan, 5.1.1. If for any reason an employee is not available for required training, documentation will be provided to the Training Coordinator for inclusion in their training file. Training will be scheduled within 30 days of their return to duty. Once the training schedule is published, supervisors will have to justify to the Training Coordinator any individual granted leave during their assigned training.*
2. *All annual Special teams, in accordance with the Staff Development and Training policy 5.1.1, will be trained as required. Each team leader will submit the annual training plan to the training coordinator no later than April 30th of each training year. This will include dates, times and subjects to be trained. All Special Teams leaders will provide the Training coordinator with a quarterly training report similar to the Quarterly Cert Report as specified in Policy 5.1.1, Section 12, Attachment A.*

No later than the next business day after training is conducted, the Team leader will provide a roster of training to the Training Coordinator. This roster will list all training conducted, broken down by specific hours each subject was trained, who conducted the training and who attended the training. Those Special team members that missed the training for whatever reason will be scheduled for make-up training on those subjects within 30 Days.

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In the event training rosters are not supplied as required, the Training Coordinator will contact the Team leader and give them a one day deadline to provide the rosters as required. If the rosters are still not provided, notifications will be made to the Human Resources Officer, Major and Deputy Superintendent for Facility Management.

- 3. To address the individual training reports, we are in the final stages of setting up a database that we can utilize to print a record for each employee, each year of the training provided to that employee. These reports will be printed quarterly and provided to the supervisors so that they may keep track of training completed by their employees.*

- 4. Promoted Sergeants & Lieutenants*

*The Training Coordinator will schedule promoted sergeants and lieutenants to attend **Supervisory Development** and **Lead Worker Training for Sergeants** within the applicable time frames as defined by Department of Corrections' policy. Commissioned Officer training and all other management training will be scheduled in accordance with DOC Policy.*

- 5. Instructor Certificates*

The Training Coordinator will download documentation from the Corrections Learning Environment (CLE) or the system in use by the Commonwealth of Pennsylvania and/or the Department of Corrections (DOC) that will indicate the facility instructor has been certified by the DOC. A copy of this will be kept in a binder in the Training Coordinator's Office. All instructors will be listed in the annual training plan and will be required to conduct at least one training session each year to remain certified. The Training Coordinator will place a class roster showing each instructor taught at least once each year in the individual's training file.

Management of SCI- Mercer will ensure that all employees receive the required training each year on all mandatory training topics. Training will be conducted by DOC certified instructors who will have their training credentials listed with the Training Coordinator. The training Coordinator will maintain all records and/or required documentation for training.

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**Status of
Prior Audit**

The prior audit report of SCI Mercer covered the period of July 1, 2005, to November 16, 2007, and contained seven findings. Five of the findings (Findings 1,2,5,6, and 7) were positive and thus had no recommendations. The status of the remaining findings (Finding 3 and 4) and the accompanying recommendations are presented below.

Scope and methodologies of our audit work

To determine the status of the implementation of the recommendations made during the prior audits, we held discussions with appropriate institution personnel and performed tests as part of, or in conjunction with, the current audit.

**Prior Finding 3 Weaknesses were found in the work order system.
(Resolved)**

The prior audit of the work order system revealed that the system permits the employee who electronically enters work order requests into the system to enter the department head approval without the department head's knowledge. Testing of 100 completed work orders found that 20 work orders listed approval by the wrong department head.

We recommended that Mercer management comply with existing policies to ensure that all work orders requests are valid and necessary.

In response to our audit, the Department stated that a paper request form (DC-437) will be completed per policy with necessary signatory approvals prior to electronic input into the Maintenance Management Program Work Request System. The Department also said that a copy of the DC-437 would be maintained by the department head approving the work, with assigned tracking number listed.

Status as of this audit. Our current audit found that the electronic work order system still permits the requesting employee to enter the department head's approval without their knowledge. However, Mercer's maintenance department reviews work orders for proper department head

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approval prior to scheduling the work in order to ensure that orders are valid and necessary. Our testing of 65 completed work orders during the current audit found only two work orders that listed approval of the wrong department head. All 65 work orders were valid. Therefore, we concluded that Mercer adequately addressed our prior audit recommendation.

Prior Finding 4 Some Mercer employees did not meet all mandatory training requirements (Unresolved)

The prior audit found that Mercer's training program did not comply with the Department's training requirements.

Our results from the testing of training records found numerous instances of noncompliance with training requirements. The prior audit finding detailed the testing results and specifically noted where employees did not receive the minimum of 40 hours of training, and/or did not receive all of the required courses specific to their job classifications as required by policy. The prior audit also noted instances where the commissioned officers did not receive all the required training. Auditors reviewed training records for the Fire Emergency Response Team and the Corrections Emergency Response Team and found that many of the team members did not receive the required training. Finally, a review of documentation for 20 instructors selected for testing revealed that 2 instructors did not have certifications on file.

We recommended that Mercer management ensure that employees receive all mandatory training and all instructors are certified to teach assigned courses. In addition, we recommended that the Training Coordinator monitor training and maintain all applicable records to ensure that staff is properly trained.

In response to our audit, the Department stated that the institution would make every attempt to ensure all employees received the minimum hours of training and other required courses as required by policy and make up training would be scheduled as necessary. The training coordinator would ensure that all instructors have support certification on file. No training

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would be conducted by an instructor lacking the appropriate certification. The Department also stated that tracking systems have been implemented to ensure that accurate records are maintained and to generate reports to assure goals are being met.

Status as of this audit. Our review of training records for SCI Mercer employees revealed that many employees did not meet all the training requirements. The results of our current audit testing mirror the results that we found during our last audit leading us to conclude that SCI Mercer failed to implement our prior recommendations. This situation remains unresolved. The results of the current audit testing can be found in Finding 4 of this report.

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