

SENATORS

CLARENCE D. BELL, CHAIRMAN
PATRICK J. STAPLETON, VICE CHAIRMAN
MICHAEL A. O'PAKE
JOHN E. PETERSON
JOHN J. SHUMAKER
WILLIAM J. STEWART



REPRESENTATIVES

RONALD C. RAYMOND, SECRETARY
HENRY LIVENGOOD, TREASURER
HOWARD L. FARGO
AMOS K. HUTCHINSON
CHARLES P. LAUGHLIN
JOSEPH R. PITTS

Legislative Budget and Finance Committee

A JOINT COMMITTEE OF THE PENNSYLVANIA GENERAL ASSEMBLY

OFFICES: ROOM 400, FINANCE BUILDING, HARRISBURG TEL: (717) 783-1600

MAILING ADDRESS: P.O. BOX 8737, HARRISBURG, PA 17105-8737

EXECUTIVE DIRECTOR
RICHARD D. DARIO

CHIEF ANALYST
JOHN H. ROWE

REPORT ON A PERFORMANCE AUDIT
OF THE PENNSYLVANIA DEPARTMENT OF CORRECTIONS

Volume II

June 1988

TABLE OF CONTENTS

	<u>Page</u>
<u>LIST OF TABLES, GRAPHS AND EXHIBITS</u>	ii
I. <u>INTRODUCTION</u>	1
II. <u>PERFORMANCE AUDIT FINDINGS AND RECOMMENDATIONS</u>	4
A. Need for Revision/Update of DOC Statutory Provisions.....	5
B. Current DOC Resources Inadequate to Handle Inmate Diagnostic and Classification Caseload.....	15
C. Inadequate Representation of Minorities and Women In the DOC Workforce.....	24
D. Need for Additional Emphasis on DOC Employee Safety Activities.....	34
E. Absence of Formal Advisory Mechanisms for DOC/Public Interaction.....	45
III. <u>AUDIT METHODOLOGY AND ACTIVITIES</u>	47
IV. <u>APPENDIX</u> - Response of the PA Department of Corrections to this Report.....	49

LIST OF TABLES, GRAPHS, AND EXHIBITS

	<u>Page</u>
<u>Finding A - Need for Revision/Update of DOC Statutory Provisions</u>	
<u>Exhibit A-A - Examples of Penal and Correctional Institution Statutes that need to be Updated.....</u>	7
<u>Exhibit A-B - Examples of Department of Corrections Operations and Functions that are not Specifically Provided for in Law...</u>	10
<u>Exhibit A-C - DOC Working Document for Statutory Revisions Title 61: Penal and Correctional Institutions.....</u>	11
 <u>Finding B - Current DOC Resources Inadequate to Handle Inmate Diagnostic and Classification Case Load</u>	
<u>Exhibit B-A - Overview Description and Time Frame of the DOC Inmate Diagnostic and Classification Process.....</u>	19
<u>Exhibit B-B - Pennsylvania Map Indicating Department of Corrections Diagnostic and Classification Centers (DCC) and Catchment Areas.....</u>	21
<u>Table B-1 - Information on DOC Diagnostic and Classification Center (DCC) Capacities and Populations as of April 30, 1988..</u>	22
<u>Table B-2 - Summary Information on the Number of Inmates Classified and "Delayed" Classifications at DOC Diagnostic and Classification Centers and Other Facilities Performing Intake Functions, January 1987 through March 1988.....</u>	23
 <u>Finding C - Inadequate Representation of Minorities and Women in the DOC Work Force</u>	
<u>Table C-1 - Racial Composition of the DOC Inmate Population and Employee Work Force as of March 31, 1988.....</u>	28
<u>Table C-2 - Breakdown of Department of Corrections Employee Complement by Facility, Race, and Sex as of March 31, 1988....</u>	29
<u>Table C-3 - DOC Performance in Meeting Affirmative Action Program "Minimum Representation" Target Levels by DOC Facility as of March 1988.....</u>	30

LIST OF TABLES, GRAPHS, AND EXHIBITS
(Continued)

	<u>Page</u>
<u>Table C-4</u> - Comparison of DOC Employment to Affirmative Action Program "Minimum Representation" (MR) Target Levels in Equal Employment Opportunity (EEO) Job Categories, by DOC Facility as of March 1988.....	32
<u>Graph C.A</u> - DOC Employment Levels Compared to Affirmative Action Program Minimum Representation Target Levels, By EEO Category.....	33
 <u>Finding D - Need for Additional Emphasis on DOC Employee Safety Activities</u>	
<u>Table D-1</u> - Number of Accident Reports Filed by DOC Employees and Annual Accident Rates (per 100 DOC Employees), Fiscal Years 1980-81 through 1987-88 (Estimated).....	38
<u>Graph D.A</u> - Accident Reports Filed by DOC Employees and Annual Accident Rate (per 100 DOC Employees), Fiscal Years 1980-81 through 1987-88 (Estimated).....	39
<u>Table D-2</u> - DOC Employee Accident Report Rates (per 100 Employees) by DOC Facility, Fiscal Years 1986-87 and 1987-88.....	40
<u>Exhibit D-A</u> - DOC Administrative Memorandum OM-086.01 Regarding Safety, Sanitation and Fire Prevention (Dated January 24, 1985).....	41

I. INTRODUCTION

This is Volume II of the Legislative Budget and Finance Committee's report on a performance audit of the PA Department of Corrections.

A performance audit of the Department of Corrections was adopted as a staff project at a meeting of the Legislative Budget and Finance Committee held on April 22, 1987. The purpose of this project was to examine the overall operations and administration of the Department of Corrections with particular emphasis on matters of efficiency and effectiveness, program results, compliance with applicable laws and regulations and the presence of appropriate administrative control systems. Consideration was also given in the audit process to the potential benefits of possible alternative approaches to correctional programs and activities.

Initial "pre-audit" survey information was requested from the Department of Corrections in May 1987. Full-time audit work began in mid-June 1987 and continued through early June 1988.

In October 1987 an "interim" performance audit report was released. This interim report provided the Members of the General Assembly and other interested persons with information on the progress and status of the staff's work as well as financial, programmatic, and other descriptive and statistical information on the Department of Corrections and the system of correctional facilities which it administers. A summary of potential audit issues which were identified by the auditors for attention during the "detailed audit" phase of the project was also prepared at that time.

The interim report was followed by the release of a performance audit report in April 1988. The April report volume presented findings and recommendations in ten separate issue areas including, for example, prison overcrowding, Corrections Department staffing, inmate rehabilitation and treatment programs, correctional institution physical plant and support facilities and a summary of the status of corrective actions or initiatives taken by the Department in response to the October 1987 report of the Governor's Interdepartmental Task Force on Corrections.

This second performance audit report document (Volume II) consists of three sections: Section I provides introductory information; Section II consists of performance audit findings and recommendations; and Section III provides a description of the methodology used and activities carried out by the auditors in examining the issues dealt with in this report.

Development of this report was greatly facilitated by cooperation and assistance which was received from the Pennsylvania Department of Corrections. The LB&FC staff expresses its appreciation to the Honorable David S. Owens, Jr., Commissioner of Corrections, to Mr. Lee T. Bernard, II, Deputy Commissioner for Administration, Mr. Lowell D. Hewitt, Deputy Commissioner for Correctional Services and Mr. Erskind DeRamus, Deputy Commissioner for

Programs, and to other officials and staff of the Department of Corrections who assisted in the audit effort, including central office staff and officials and staff at the state correctional institutions and community service centers.

The LB&FC audit team assigned to the Volume II phase of the audit project worked under the direction of the LB&FC Executive Director, Richard D. Dario, and Chief Analyst John H. Rowe. The audit Team Leader involved in the development of this report was Mark Stine. Karen Ashman and Christopher Morehouse, Analysts were also assigned to the project. Counsel Susan Simms and Krista Williard, Paralegal, provided legal services and also assisted in the development of certain findings contained in the report. Beverly Brown, Donna Nell and Shannon Opperman provided secretarial assistance, and Charles Saia provided additional staff assistance in the development of the report.

Any questions or comments regarding this report should be directed to Richard D. Dario, Executive Director, Legislative Budget and Finance Committee, Room 400, Finance Building, P.O. Box 8737, Harrisburg, PA 17105-8737.

IMPORTANT NOTE REGARDING RESPONSIBILITY
FOR FINDINGS AND RECOMMENDATIONS OF THIS REPORT

This report contains information developed by the Legislative Budget and Finance Committee (LB&FC) staff. The release of this report by the LB&FC should not be construed as an indication that the Members of the Committee necessarily concur with all the report findings and/or the recommendations. The LB&FC as a body, however, supports the publication of the information within this report and believes it will be helpful to the Members of the General Assembly by promoting improved understanding of the issues.

II. PERFORMANCE AUDIT FINDINGS AND RECOMMENDATIONS

This section presents additional findings resulting from a performance audit of the PA Department of Corrections.*/ The audit findings are divided into five subject areas. Information presented within a subject area is not intended to be inclusive of the subject area.

Not all information in regard to matters Committee staff investigated is included as a formal finding in subsections A through E of this report. In general, each finding will include the following elements: (1) condition (the problem), (2) criteria (measurement standards), (3) cause (underlying reason why condition occurred), (4) effect (what resulted), and, if appropriate, (5) recommendation (possible corrective action). Please see Section III for a discussion of the specific methodology used in auditing the Department of Corrections.

*/The LB&FC's performance audit report on the Department of Corrections which was released in April 1988 contained ten audit findings.

A. NEED FOR REVISION/UPDATE OF DOC STATUTORY PROVISIONS

FINDING: State statutes pertaining to the Department of Corrections (DOC) and inmates in state correctional institutions are in some cases obsolete and in other cases not reflective of the current operations of the Department. Some statutes use language such as "mentally weak" and "mentally diseased" which would not appear to present an appropriate philosophy toward mentally ill individuals, whereas, other statutes use outdated language such as "evil-inclined" prisoners. Other legislation is obsolete because the reason for the legislation has ceased to exist, subject matter of the legislation has ceased to exist or circumstances have changed making the legislation inapplicable. For example, 61 P.S. §542.2 provides for the construction of the State Correctional Institution at Dallas which has been constructed and operational since 1960. (Please see Exhibit A-A for further examples of obsolete provisions of current state law applicable to DOC.) In addition, present statutory codification lacks a statement of the DOC's and the Commissioner's powers and duties. Act 1984-245 created the Department as a cabinet-level agency and granted the Department and the Commissioner the powers and duties of the former Bureau of Correction of the Department of Justice and relevant powers and duties of the Office of General Counsel. However, in the legislation creating the Department, the powers and duties of the Department and the Commissioner were not enumerated nor was the mission and purpose of the Department established in law. The American Correctional Association has established standards for statutory and legal provisions for a correctional agency. Those standards include that there be a statute authorizing the establishment of the agency because a clear definition of the mission and basic goals of the agency provide a basis for effective administration of the agency. It would appear that the absence of a clear statutory purpose and function would inhibit an agency's ability to measure its success. The American Correctional Association provides that such a statute establishes the basis for assessing performance and identifying needed changes in organization and operations. Other areas of concern regarding DOC statutory provisions include those Department operations that are not currently provided for in law. For example, one of the functions of the Department is to provide employment and vocational training opportunities for inmates committed to its custody. The Department operates a correctional industries program that has not been formally established in law with specific purposes and objectives. (Please see Exhibit A-B for examples of other Department operations and functions not provided for in law.) Failure to establish fundamental Department operations, such as correctional industries, vocational and academic educational and treatment rehabilitation programs in law would appear to inhibit the proper exercise of legislative function and oversight over important matters involving people and also inhibit the General Assembly's ability to hold the Department accountable for its operation. Another factor impacting on Department functions by virtue

of the Criminal History Record Information Act is the inability to collect intelligence, investigative and treatment information in any automated or electronic criminal justice information system. Department officials have informed the auditors that it fully realizes that improvements should be made to update penal laws bearing on the Department and inmates in state facilities. The Department has established a statutory revision project which is currently in the developmental stages and does not have a formal timetable for completion. This project is being coordinated by the Department's Planning, Research and Statistics Division and the Legal Office. A management intern assigned to the Department reviewed the existing corrections statutes of other states in the interest of developing sample legislation which could be used by the Department as a basis upon which its proposed legislation could be developed. The intern's work resulted in a suggested outline of provisions to be included in DOC laws (see Exhibit A-C). As of June 1988 the Department had not adopted the outline and did not have a specific timetable for pursuing the statutory revision project.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC ESTABLISH A FORMAL TIMETABLE FOR COMPLETION OF ITS WORK PROJECT WHICH IS AIMED AT REVISION AND MODERNIZATION OF THE STATUTES PERTAINING TO PENNSYLVANIA'S CORRECTIONAL SYSTEM.
2. THE STATUTORY REVISION PROJECT INCLUDE THE DEVELOPMENT OF A LIST OF ALL CURRENT LAWS THAT PERTAIN TO THE DEPARTMENT AND INMATES IN STATE CORRECTIONAL INSTITUTIONS THAT ARE IN NEED OF BEING REPEALED AND THOSE PROVISIONS THAT ARE IN NEED OF REVISION. SUCH A LIST SHOULD INCLUDE THE REASONING FOR CATEGORIZING THE CURRENT STATUTORY PROVISION AS BEING IN NEED OF REVISION OR IN NEED OF BEING REPEALED. THE DEPARTMENT SHOULD ALSO DEVELOP INFORMATION ON CURRENT DEPARTMENT FUNCTIONS AND OPERATIONS THAT ARE NOT PROVIDED FOR IN LAW.
3. AT THE CONCLUSION OF THE STATUTORY REVISION PROJECT (DESCRIBED ABOVE), THE DOC SHOULD DEVELOP A PACKAGE OF LEGISLATION TO ACCOMPLISH THE NEEDED REVISIONS AND PRESENT THIS LEGISLATIVE PACKAGE, ALONG WITH APPROPRIATE DESCRIPTIVE INFORMATION AND JUSTIFICATION, TO APPROPRIATE STANDING COMMITTEES OF THE GENERAL ASSEMBLY FOR THEIR CONSIDERATION AND POSSIBLE LEGISLATIVE ACTION.

EXHIBIT A-A

Examples of Penal and Correctional
Institution Statutes that Need to be Updated*/

<u>Citation</u>	<u>Subject Matter</u>	<u>Rationale for Classifying Statute as Obsolete or in Need of Revision</u> ^{1/}
61 P.S. §§2-4 1921, May 10, P.L. 433	Segregation of physically diseased prisoners; Segregation of mentally diseased prisoners; Segregation of habitual criminals or evil-inclined prisoners.	Language such as evil-inclined and mentally weak is antiquated.
61 P.S. §§11-16 1889, May 7, P.L. 103	Wardens to record description of felons; District attorney to furnish criminal history of felon; Record to be kept for purposes of identification; Wardens to adopt Bertillon method of measurement; To whom copies of the description, history and photograph of any convict shall be furnished.	Subject matter is covered by the Criminal History Record Information Act.
61 P.S. §46 1834, April 15, P.L. 473	Eastern and western penitentiaries wardens to receive U.S. prisoners.	The eastern penitentiary of the Commonwealth is no longer a state correctional facility. The western penitentiary of the state has been renamed the State Correctional Institution at Pittsburgh, Act of October 22, 1959, P.L. 1356.

*/This list contains examples of outdated or obsolete penal and correctional institution laws that refer to or impact on the Department's operations.

^{1/}Many of the statutes refer to warden which is no longer the name of the person in charge of the institution and refer to the Deputy Commissioner of Treatment which is no longer a title that is used in the Department's organizational plan.

EXHIBIT A-A

Examples of Penal and Correctional
Institution Statutes that Need to be Updated
(Continued)

<u>Citation</u>	<u>Subject Matter</u>	<u>Rationale for Classifying Statute as Obsolete or in Need of Revision</u>
61 P.S. §§78, 79 1921, March 24, P.L. 48; 1953, July 29, P.L. 1437	Transfer of convicts from one state penitentiary to another and the records of such persons.	These provisions were based on the times when there were only two institutions.
61 P.S. §123 1923, May 23, P.L. 316	Prohibits an inmate from being deprived of tobacco for a period longer than two weeks.	According to the Department's Chief Counsel, this provision is not necessary to the Department's operations.
61 P.S. §165 1927, May 4, P.L. 761; 1929, April 26, P.L. 826	Employment of convicts assigned to the Eastern State Penitentiary in construction, farming, and dairy.	Obsolete because the purpose for which legislation has been adopted has ceased to exist.
61 P.S. §§340.1, 340.2 Act 1953-409	Division of state into districts for the administration of the state penal and correctional institutions; Counties composing each district.	Obsolete because the Department has established in regulation the catchment areas for inmates (Eastern, Central and Western Diagnostic and Classification Centers) based on county locations.
61 P.S. §377 1831, Jan., 17, P.L. 12	Insolvent convicts to be discharged without payment of fines and costs.	The Board of Trustees of state penitentiaries no longer exists, and the penitentiary for the eastern district is no longer within the jurisdiction of the Department of Corrections. The provision regarding insolvent convicts applies only to Board of Inspectors of the state penitentiary of the eastern and western districts, and thereby does not cover all other state correctional institutes.

EXHIBIT A-A

Examples of Penal and Correctional
Institution Statutes that Need to be Updated
(Continued)

<u>Citation</u>	<u>Subject Matter</u>	<u>Rationale for Classifying Statute as Obsolete or in Need of Revision</u>
61 P.S. §380 1869, April 8, P.L. 18	When convicts may be congregated at Western Penitentiary.	Subject matter obsolete, and there is no Board of Trustees at SCI Pittsburgh.
61 P.S. §381 1913, July 7, P.L. 708	Congregation of convicts at Eastern Penitentiary.	Institution no longer within the jurisdiction of the Depart- ment of Corrections.

Source: Developed by LB&FC staff from information provided by the Department.

EXHIBIT A-B

Examples of Department of Corrections Operations and Functions that are not Specifically Provided for in Law

Mission and Purpose of the Department

There is no statutory provision that clearly defines the Department's mission and goals. The American Correctional Association standards for the administration of correctional agencies provides that effective administration of a correctional agency results from a carefully formulated constitutional or legislative statute that defines the mission and basic goals of the agency. Such statutes provide the legal framework within which the agency's administrative structure, philosophy and policies are found.

Powers and Duties of the Commissioner

The powers and duties of the Commissioner of Corrections are not specifically enumerated in law as are other Commonwealth department heads such as the Commissioner of the State Police. 71 P.S. §310-1 provides that the Commissioner has the power and duties granted to the former Bureau of Correction prior to the effective date of the provision and the powers and duties formerly vested by the General Counsel related to administration, management and supervision of penal and correctional facilities, programs and services.

Powers and Duties of the Department

There is no statutory provision that specifically enumerates the powers and duties of the Department. Act 1984-245, which created the Department of Corrections, granted the Department the powers and duties of the former Bureau of Correction of the Department of Justice and relevant powers and duties of the Office of General Counsel.

Treatment Programs

There is no specific statutory provision that defines the scope and responsibility of the Department for providing rehabilitation/treatment programs to inmates. The law does provide that the Department operate and manage correctional facilities including the treatment, care and rehabilitation of the inmate.

Correctional Industries

The American Correctional Association standards regarding statutory and legal provisions of a correctional agency provides that an agency should strive for legislation that allows the fullest possible use of inmates in work assignments, both inside and outside the institutional setting. The Department has established a correctional industries program; however, the Pennsylvania laws regarding inmate labor are general in nature and date back to the early 1900's.

Source: Developed by LB&FC staff.

EXHIBIT A-C

DOC Working Document for Statutory Revisions */
Title 61: Penal and Correctional Institutions

Chapter 1: Definitions

§ 1 Definitions

Chapter 2: Administration Generally

§ 1 Legislative Intent

§ 2 Administrative Purpose

§ 3 Department of Corrections; Goals

§ 4 Commissioner; Appointment; Qualifications, and Restrictions

§ 5 Commissioner; Duties and Powers

§ 6 Deputy Commissioners; Appointment and Duties

§ 7 Departmental Organization

§ 8 Divisions and Units

Chapter 3: Care and Treatment of Inmates

Admission Process

§ 1 Reception Process

§ 2 Segregation of Newly Admitted Inmates

§ 3 Issuance of Rules and Regulations

§ 4 Telephone Call

§ 5 Personal Property

Classification

§ 6 Classification Process

§ 7 Inmate Placement

§ 8 Classification Categories

§ 9 Examination of Physical and Mental Condition of Newly
Admitted Inmates

§ 10 Special Care and Treatment of Physically Ill

§ 11 Special Care and Treatment of Mentally Ill

Inmate Programs

§ 12 Educational Training and Employment Programs; Establishment

§ 13 Inmate Programs; Content

§ 14 Health Care Services

§ 15 Drug and Alcohol Rehabilitation Programs

*/This outline was developed by a Management Intern assigned to the Department of Corrections, and, as of June 1988, it had not been adopted by the Department.

EXHIBIT A-C

DOC Working Document for Statutory Revisions
Title 61: Penal and Correctional Institutions
(Continued)

- § 16 Religious Practices
- § 17 Leisure Activity
- § 18 Recreational Opportunities
- § 19 Library Services

Inmate Rights

- § 20 Inmate Rights

Disciplinary Process

- § 21 Disciplinary Procedures; Establishment of
- § 22 Disciplinary Procedures; Guidelines
- § 23 Segregation; For Disciplinary Purposes

Grievance and Appeal

- § 24 Grievance Process
- § 25 Record of Grievance Process
- § 26 Inmate Right to Appeal

Chapter 4: General Management of Institutions

Management Information System

- § 1 Management Information System; Establishment
- § 2 Data Base Security
- § 3 Coordinated Information Gathering

Inmate Records

- § 4 Records of Inmates
- § 5 Record Maintenance; Reproduction and Destruction
- § 6 Confidentiality of Records
- § 7 Release of Confidential Information; Research Purposes
- § 8 Release of Confidential Information; Law Enforcement
- § 9 Release of Confidential Information; Federal Funding
- § 10 Inmate Self Review of Record
- § 11 Confidentiality of Departmental Regulations

Research

- § 12 Program Evaluations
- § 13 Research; Guidelines
- § 14 Research; Departmental Approval

EXHIBIT A-C

DOC Working Document for Statutory Revisions
Title 61: Penal and Correctional Institutions
(Continued)

Security and Control

- § 15 Administrative Policy
- § 16 Control Center; Establishment
- § 17 Entrance Control
- § 18 Inmate Movement
- § 19 Population Surveillance
- § 20 Correctional Posts
- § 21 Daily Facility Inspection
- § 22 Contraband
- § 23 Firearms; Availability and Supply
- § 24 Firearms; Depository and Inventory
- § 25 Weapon Distribution
- § 26 Key Control
- § 27 Control of Tools

Miscellaneous Management Functions

- § 28 Federal Prisoners
- § 29 Commissary; Establishment
- § 30 Purchase of Supplies
- § 31 Plans for Improvements
- § 32 Contracts for Improvements
- § 33 Payment for Improvements
- § 34 Fire Protection Contracts
- § 35 Temporary Quarters in Emergency
- § 36 Investigations
- § 37 Consultants
- § 38 Transfer of Inmates
- § 39 Transfer of Jails
- § 40 Reimbursement to County
- § 41 Return of Inmate to Departmental Facility

Chapter 5: General Management of State Correctional Institutions

- § 1 Superintendent; Appointment
- § 2 Superintendent; Duties
- § 3 Deputy Superintendent
- § 4 Deputy Superintendent; Duties
- § 5 Prison Employees
- § 6 Prison Employees; Duties
- § 7 Prison Employees; Powers
- § 8 Uniforms
- § 9 Physician; Appointment and Duties
- § 10 Chaplain; Appointment and Duties

EXHIBIT A-C

DOC Working Document for Statutory Revisions
Title 61: Penal and Correctional Institutions
(Continued)

Chapter 6: County Correctional Facilities

- § 1 Standards for County Correctional Facilities
- § 2 Inspections of County Correctional Facilities
- § 3 Administrator; Appointment
- § 4 Administrator; Duties

Chapter 7: State Correctional Industries

Chapter 8: Work Release

Chapter 9: Interstate Compact

Chapter 10: Probation and Parole

Source: Pennsylvania Department of Corrections

B. CURRENT DOC RESOURCES INADEQUATE TO HANDLE INMATE DIAGNOSTIC/CLASSIFICATION CASELOAD

FINDING: The physical facilities and personnel resources which are currently available within the Department of Corrections (DOC) for inmate reception and processing (i.e., diagnostic and classification) functions are inadequate to handle the number of individuals awaiting processing into the state correctional system. The basic purpose of the DOC's Diagnostic and Classification Center (DCC) system is to provide initial intake and processing of sentenced offenders and parole violators into the state correctional system. This process involves evaluation activities designed to determine such things as appropriate facility custody assignment (e.g., maximum, medium, minimum security) and educational and program needs and placement (e.g., medical, counseling, substance abuse). The DOC has three officially designated DCCs located within SCIs Pittsburgh, Camp Hill and Graterford with a total rated capacity of 720 inmates. Serious overcrowding exists within these centers. As shown on Table B-1, the number of inmates being housed in these facilities as of April 1988 exceeded 2,200, more than 300% of DCC capacity. Shortages were also reported to exist at these facilities in staff resources needed to carry out the DCC process (especially in the areas of clerical support, psychological services and counseling). As a result, processing delays and backlogs are occurring. While the DOC does not have a DCC reporting system in place which allows for Central Office tracking and determination of DCC processing times and backlogs, certain information is provided which indicates the number of classifications "delayed" (i.e., those extending beyond 20 days).^{1/} As shown on Table B-2, the DCC delay situation appears to be especially pronounced at the Central DCC (Camp Hill) and Eastern DCC (Graterford). As of March 1988, more than 250 classification "delays" were reported with about 87% of these reported from the Eastern and Central DCCs. Processing delays further contribute to overcrowding and further strain DCC housing facilities which, according to the DOC's "Diagnostic Center Manual," are to be segregated from the general inmate population. The "Manual" also specifies that programming prior to classification is to "exclude or minimize" contact between individuals being processed and the general inmate population. Such segregation is often not possible, however, due to conditions of overcrowding which generally exist throughout the state correctional system and "unclassified" inmates, in some cases, are being housed within the general inmate populations of these SCIs. The housing

^{1/}The DOC's "Diagnostic Center Manual" (OM-101 dated June 1, 1984) contains a standard which indicates that inmate processing time should not exceed 20 days. The DOC has recently established an internal objective to reduce this processing time to 15 days.

of inmates who are essentially "unknown quantities" in this manner may create security problems and situations in which the safety of unclassified inmates as well as those within the general inmate population and DOC staff could be jeopardized. The auditors also found that in addition to housing unclassified inmates within the general inmate population, both the Eastern and Central DCCs have been housing them dormitory style in a gymnasium at SCI Graterford and in the basement area of a cell block at SCI Camp Hill. DOC officials reported to the auditors that these situations are increasing potential security and control problems within the institutions. (The Department reports that more than 300 hours of overtime are necessary per week to staff the DCC dormitory setting at the Central DCC.) The Department has also identified SCIs Mercer, Muncy and Greensburg as facilities which are authorized to perform inmate reception functions although they are not officially designated DCCs. Because of the overpopulation of the DCCs, the DOC also began in early 1988 to send inmates to SCIs Cresson and Frackville for initial processing. This practice means that some individuals are being processed by staff who are not specifically trained to carry out diagnostic and classification functions. Also, the addition of DCC functions to the present workloads of counseling, psychological, medical and clerical staff decreases the availability of these services to the general and special needs inmate populations at these facilities. Because of staffing shortages the DOC has also not been able to regularly monitor or perform "self-evaluations" of the diagnostic and classification center process and the inmate classifications which are being made to determine if the objectives of the written diagnostic and classification plan are being met.^{2/} DOC officials agree that physical space and staffing are inadequate to handle the current DCC caseload and observed that in particular the number of parole violators being returned is "clogging" the system and making it difficult to handle new commitments in a timely manner. Other factors reported to contribute to diagnostic and classification delays include lack of adequate clerical support and delays in receipt of offender records which are important to the DCC process (e.g., recommit-

^{2/}American Correctional Association standards provide that there should be a written plan for inmate classification which specifies the objectives of the classification system, details the methods for achieving the objectives, and provides a monitoring and evaluation mechanism to determine whether the objectives are being met. This plan is to be reviewed at least annually and updated if necessary. (The DOC's "Diagnostic Center Manual" has not been updated since 1984.) The DOC has developed a "Management Review Checklist for Classification and Treatment Services" (OM-107.10), dated April 1987, which includes provisions that require an annual "management review" of the diagnostic and classification process. As of May 1988, this DCC review activity had not yet been initiated.

ment information from the Board of Probation and Parole or pre-sentencing investigation reports from the Board or county probation offices). A new DCC facility with a capacity of approximately 500 is scheduled to open in September 1988 at SCI Graterford. In its FY 1988-89 budget request the DOC sought but did not receive funding for expansion of the Central DCC at SCI Camp Hill. The Department reports that as of May 1988 there were no plans to further expand or enlarge the DCC system.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC SHOULD EXPLORE WITH THE PA BOARD OF PROBATION AND PAROLE THE POSSIBILITY OF DEVELOPING A FORMAL INTERAGENCY AGREEMENT (BETWEEN THE BOARD AND DOC) TO PROVIDE FOR EXPEDITIOUS RECEIPT BY DOC OF RECOMMITMENT AND PRE-SENTENCING INVESTIGATION REPORTS PREPARED BY THE BOARD. THIS AGREEMENT COULD, E.G., CALL FOR DOC RECEIPT OF THIS INFORMATION WITHIN A SPECIFIC GIVEN TIME PERIOD AND IN AN AGREED TO FORMAT WHICH WOULD BEST SERVE THE NEEDS OF THE INMATE DIAGNOSTIC AND CLASSIFICATION PROCESS.
2. THE DOC SHOULD, SIMILARLY TO ABOVE, EXPLORE THE POSSIBLE DEVELOPMENT OF AN INTERAGENCY AGREEMENT OR AGREEMENTS WITH THE ADMINISTRATIVE OFFICE OF PENNSYLVANIA COURTS AND/OR VARIOUS COUNTY PROBATION PROGRAMS AIMED AT ENSURING THE EXPEDITIOUS RECEIPT OF PRE-SENTENCING INVESTIGATION REPORTS PREPARED BY THE VARIOUS COUNTY PROBATION OFFICES AND NEEDED BY DOC FOR THEIR INMATE DIAGNOSTIC AND CLASSIFICATION PROCESS.
3. THE DOC SHOULD EXPLORE THE POSSIBLE USE OF THE PLANNED JUSTICE ASSISTANCE COMPUTER NETWORK (JANET)^{3/} TO EXPEDITE THE RECEIPT OF RECOMMITMENT AND PRE-SENTENCING INVESTIGATION INFORMATION DESCRIBED IN #1 AND #2 ABOVE. THE DEPARTMENT SHOULD ALSO CONSIDER AND DEFINE HOW THE PLANNED INSTALLATION OF PERSONAL COMPUTERS IN EACH DIAGNOSTIC AND CLASSIFICATION CENTER CAN BE USED TO FACILITATE THE HANDLING AND USE OF THIS INFORMATION.^{4/}
4. THE DOC SHOULD DEVELOP SPECIFIC LONG RANGE PLANS TO COMPREHENSIVELY MEET THE PHYSICAL PLANT NEEDS ASSOCIATED WITH THE INMATE DIAGNOSTIC AND CLASSIFICATION PROCESS AND SHOULD REQUEST CAPITAL BUDGET FUNDING TO ACCOMPLISH THESE PLANS.

^{3/}The "Justice Assistance Network" is a proposed multi-agency automated law enforcement information sharing system to be coordinated through the EDP system of the PA State Police. It is anticipated that certain information maintained by such agencies as the PA Board of Probation and Parole, Commission on Crime and Delinquency, DOC and Administrative Office of PA Courts could be shared through this system.

^{4/}Amendment to the criminal history Record Information Act (CHRIA), 18 Pa.C.S.A. §9101 et seq., may be required to implement any computerization aspects of this recommendation since this act prohibits the collection of intelligence, investigative, and treatment information "in any automated or electronic criminal justice information system."

5. THE DOC SHOULD UNDERTAKE A COMPREHENSIVE REVIEW OF ITS "DIAGNOSTIC CENTER MANUAL" IN ORDER TO REVISE AND UPDATE THE "MANUAL" TO REFLECT CURRENT DIAGNOSTIC AND CLASSIFICATION CENTER (DCC) PRACTICES AND STRUCTURE (E.G., TO RECOGNIZE THAT DCC SERVICES ARE NOW BEING PROVIDED AT SEVERAL SCI'S IN ADDITION TO THE THREE SCI'S REFERRED TO IN THE MANUAL).^{5/}

6. THE DOC SHOULD INSTITUTE A PROGRAM OF PERIODIC (AT LEAST ANNUALLY) FORMAL EVALUATIONS OF DIAGNOSTIC AND CLASSIFICATION PROGRAMS AT EACH SCI PROVIDING SUCH SERVICES. THE EVALUATION PROCESS SHOULD BE GUIDED BY THE "MANAGEMENT REVIEW CHECKLIST FOR CLASSIFICATION AND TREATMENT SERVICES" DEVELOPED BY THE DOC IN APRIL 1987, AND THE RESULTS OF EACH EVALUATION SHOULD BE PREPARED IN WRITTEN FORM FOR REVIEW BY DOC TOP MANAGEMENT AND THE SCI SUPERINTENDENTS.

7. THE DOC SHOULD DEVELOP A CENTRALIZED, AUTOMATED MANAGEMENT INFORMATION SYSTEM FOR THE INMATE DIAGNOSTIC AND CLASSIFICATION PROCESS. AT LEAST, THIS SYSTEM SHOULD BE ABLE TO PROVIDE (CENTRALLY) INFORMATION ON INMATES WHO ARE UNDERGOING THE DCC PROCESS, THEIR STATUS IN THE PROCESS AND THEIR LOCATION AND DATA SUCH AS THE DCC DAILY POPULATION AT EACH SCI (E.G., AS COMPARED TO CAPACITY), ASSIGNED STAFF AND TIMELINESS OF INMATE PROCESSING.

8. THE DOC SHOULD EXPAND THE NUMBER OF "OFFICIALLY DESIGNATED" DIAGNOSTIC AND CLASSIFICATION CENTERS TO INCLUDE ALL SCI'S ACTUALLY PROVIDING SUCH SERVICES. FURTHERMORE, THE DOC SHOULD DESIGNATE SPECIFIC STAFF OR STAFF TIME ALLOTTED TO PERFORM DIAGNOSTIC AND CLASSIFICATION FUNCTIONS AT EACH OF THESE FACILITIES.

^{5/}American Correctional Association standards state that inmate classification plans be reviewed at least annually and updated if necessary.

EXHIBIT B-A

Overview Description and Timeframe of the DOC Inmate Diagnostic and Classification Process

1. Purpose of Process: According to the Department of Corrections, the Diagnostic Center process is "...especially designed and oriented toward providing evaluation of every sentenced offender or, prisoner committed for diagnostic work or other prisoners needing initial processing." The process results in the preparation of evaluative material and key classification documents such as the initial classification summary and the correctional classification profile which are used by DCC staff to determine recommended institutional placement and inmate programming.

2. Locations of Diagnostic Centers: There are three officially designated Diagnostic Centers. They are:
 - a. The Eastern Diagnostic-Classification Center (EDCC) located at the State Correctional Institution at Graterford.
 - b. The Central Diagnostic-Classification Center (CDCC) located at the State Correctional Institution at Camp Hill.
 - c. The Western Diagnostic-Classification Center (WDCC) located at the State Correctional Institution at Pittsburgh.

Additionally, although not formally designated as Diagnostic Centers, 5 other DOC facilities were performing inmate reception functions as of May 1988. These include:

- a. SCI Muncy (female commitments assessment unit); b. SRCF Mercer (county commitments assessment unit); c. SCI Cresson ("temporary DCC"); d. SCI Frackville ("temporary DCC"); e. SCI Greensburg ("temporary DCC").

3. Basic Steps and Timeframe in the Process

a. Day of Reception

- (1) After determination that the inmates commitment is legal and proper, the inmate is escorted to the reception area where basic processing takes place. Basic identification data and information on the sentence status is obtained on the inmate. The inmate is also searched and all of his/her possessions are collected and inventoried and a receipt is given to the inmate. The inmate is also showered and visually inspected for obvious medical conditions or injuries which may need attention or which must be recorded on the diagnostic center report.
- (2) The inmate is issued clothing, toiletries and supplies which are considered as basic issue and fingerprinted and photographed.
- (3) The inmate receives a standard preliminary medical examination by the medical department.
- (4) Upon clearance of the medical department, the inmate is escorted to the diagnostic unit for appropriate housing. At this point an officer assigns the inmate a cell and the inmate is provided with a basic packet of information including the inmate handbook, bureau directives, a listing of programs and services, and other similar information. The inmate at this point receives

EXHIBIT B-A

Overview of DOC Inmate Diagnostic and Classification Process (Continued)

basic oral orientation and receives instructions to read the handbook and other provided material. The inmate is also provided the opportunity to make a telephone call to a relative or family member to inform them of his/her location.

b. The Second Day of Classification through Process Completion

- (1) The Diagnostic and Classification Center or assessment unit develops a schedule for completing all elements of the inmate's classification process within 20 days of reception except "when a delay is required due to a need for in-depth study or treatment or the inmate is absent from the DCC due to court or misconduct."
- (2) As part of the classification process, the inmate receives:
 - (a) Medical examination - (in addition to the initial medical screening conducted on Day 1)
 - (b) Orientation
 - (c) Personal data questionnaire
 - (d) Reading test
 - (e) Counselor interview
 - (f) Educational interview - (for the purpose of discussing educational background and future plans. Additionally cases which require special evaluations will be identified at this stage.)
 - (g) Psychological examination
 - (h) Religious orientation - (the institution's chaplain distributes a religious evaluation form to determine basic religious orientation of the inmate.)
 - (i) Vocational examination - (for "those inmates for whom aptitude screening is deemed appropriate.")
 - (j) Assignment of housekeeping duties
 - (k) Custody orientation - (Basic orientation to rules and expectations is provided by the corrections officer.)
 - (l) Custody evaluation - (To be conducted at the end of the first 10 days in the DCC. The inmate is evaluated using the "Diagnostic Center Evaluation Form."

c. Classification Meetings

- (1) Classification materials developed during the classification process are evaluated by DCC staff. After discussing the individual's situation, DCC staff meets with the inmate and recommendations for his/her institutional placement and participation in treatment programs are discussed. The inmate is given the opportunity to offer comments and express opinions regarding prescriptive programming and classification recommendations. The inmate is then advised of the final staff recommendation and rationale for its decision.
- (2) Upon completion of the required procedures, the Classification Committee meets and develops a formal recommendation for placement and programming of the inmate.

Source: Developed by LB&FC staff from PA Department of Corrections Administrative Manual OM-101, "Diagnostic Center Manual," June 1984.

Pennsylvania Map Indicating Department of Corrections Diagnostic and Classification Centers (DCC) and Catchment Areas

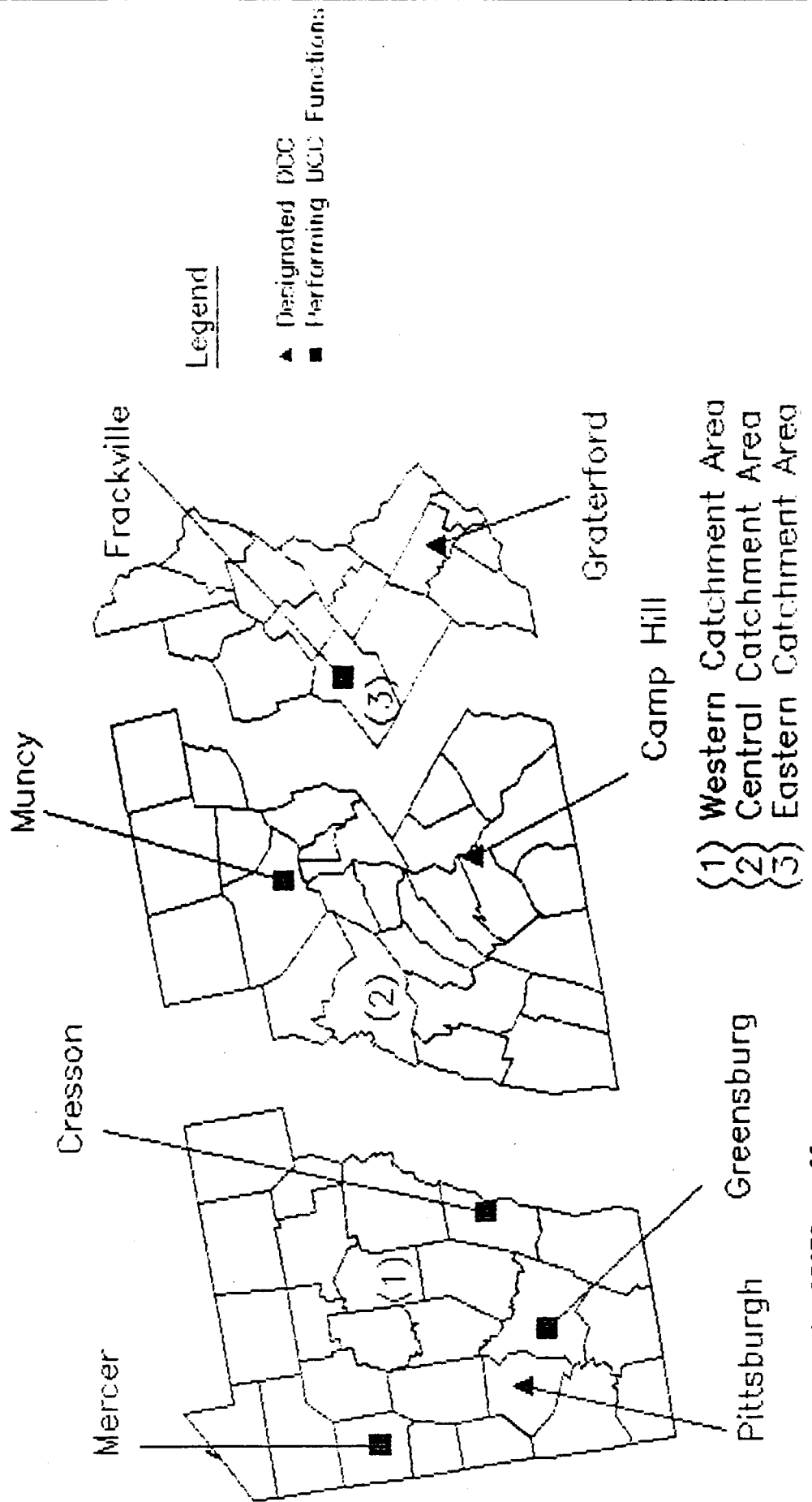


TABLE B-1

Information on DOC Diagnostic and Classification Center (DCC)
Capacities and Populations as of April 30, 1988

<u>DCC (Institution Location)^{a/}</u>	<u>Population April 30, 1988</u>	<u>Capacity</u>	<u>Pop. as % of Capacity</u>
Central-CDCC (at SCI Camp Hill).....	610	128	477%
Eastern-EDCC (at SCI Graterford).....	1,182	400	296
Western-WDCC (at SCI Pittsburgh).....	<u>486</u>	<u>192</u>	<u>253</u>
<u>Totals^{b/}</u>	<u>2,278</u>	<u>720</u>	<u>316%</u>

a/These are the three institution locations officially designated as Diagnostic and Classification Centers (DCCs) by the Department of Corrections (as designated in the "Diagnostic Center Manual," Volume VII, OM-101, June 1984).

b/Note: Totals do not reflect the number of inmates processed at three other facilities which are authorized in the DOC "Diagnostic Center Manual" to perform inmate reception functions but which are not designated as diagnostic and classification centers (these are SCIs Mercer, Muncy and Greensburg). Totals also do not include the number of individuals being processed through DCC activities which were recently initiated at SCI's Frackville and Cresson.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

TABLE B-2

Summary Information on the Number of Inmates Classified and "Delayed" Classifications at
 DOC Diagnostic and Classification Centers and Other Facilities Performing Intake Functions*/
 January 1987 through March 1988

	Totals		Eastern DOC		Central DOC		Western DOC		Mercer		Muncy	
	#	Delayed	#	Delayed	#	Delayed	#	Delayed	#	Delayed	#	Delayed
January 1987...	361	174	161	107	88	60	90	0	2	1	20	6
February.....	383	185	190	124	83	59	81	0	1	0	28	2
March.....	474	158	203	81	93	73	137	2	11	0	30	2
April.....	511	221	164	127	117	84	157	3	24	0	49	7
May.....	407	230	165	159	93	61	111	0	31	0	7	10
June.....	487	300	227	185	71	106	108	0	51	0	30	9
July.....	488	294	183	170	131	109	117	3	19	0	38	12
August.....	440	284	177	165	112	92	102	21	18	0	31	6
September.....	468	194	204	135	104	55	106	0	26	0	28	4
October.....	474	217	205	123	125	86	98	0	31	0	15	8
November.....	379	191	185	116	82	62	81	0	4	0	27	13
December.....	411	202	163	123	99	62	124	0	3	0	22	17
January 1988...	360	171	176	114	77	47	81	0	8	0	18	10
February.....	361	249	171	134	85	80	105	35	a/	a/	a/	a/
March.....	476	255	234	72	101	150	141	33	a/	a/	a/	a/

*Does not include activities being carried out at SCIs Cresson, Frackville and Greensburg. Monthly "diagnostic reports" are reportedly not prepared by these institutions.
 a/Information not available.

Source: Developed by IBSFC staff from "Diagnostic Center Reports" obtained from the Department of Corrections.

C. INADEQUATE REPRESENTATION OF MINORITIES AND WOMEN IN THE DOC WORK FORCE

FINDING: The Department of Corrections (DOC) has been unsuccessful in employing an adequate number of minority^{1/} and female personnel. As of March 31, 1988, the total number of filled positions in the DOC work force was 5,045. The percentage of minorities within the work force at that time was approximately 9.1%, virtually the same percentage of minority representation which existed in the agency nearly ten years ago (9.2% as of January 1979). Although increasing from 12.8% to 16.2% between 1979 and 1987, the percentage of the DOC work force which was female as of July 1987 fell far short of the state agency average of 42.2%. Analysis of Commonwealth employment statistics indicates that the DOC has consistently lagged behind the state government averages for numbers of minorities and women within the Commonwealth work force. As of July 1987 the DOC ranked 20th among the 35 agencies under the Governor's jurisdiction in terms of percentage of minorities on the agency personnel complement and 31st in terms of the percentage of agency staff which were women. In examining the issue of minority hiring the auditors also analyzed the DOC's performance in meeting the "minimum representation" (M/R) target levels which are called for in the DOC's Affirmative Action Plan.^{2/} As shown on Table , the number of minorities in the work force was a net 337 positions short of the M/R targets as of March 1988, with the largest discrepancy between actual employment and M/R targets existing among female employees (a net 270 employees short of the M/R target of 1,089 - see Table C-3). The DOC as a whole is also below its M/R targets for Blacks, Hispanics and "Others" (e.g., Asians and Native Americans). The auditors also examined actual employment levels against M/R targets in the eight "Equal Employment Opportunity" (EEO) job categories. As shown on Table C-4, the largest

^{1/}As used in this finding, "minority" includes Blacks, Hispanics and "Others" (Asians, American Indians, Alaskans, and Pacific Islanders).

^{2/}As defined in Management Directive M410.2, which provides for the preparation of agency affirmative action plans, the term "minimum representation" (M/R) target level refers to "a numerical work force race and sex profile objective based on current labor market availability." (Labor market availability refers to the "number of employable persons with required skills and abilities needed by an agency, within an area of reasonable recruitment.") In defining M/R targets the management directive also states that "this objective does not include the elements of population, unemployed persons, underemployed persons and newly trained persons entering the labor market used to calculate numerical affirmative action goals." (These figures are reportedly based on U.S. census data.) Minority labor force availability is then used by the DOC in developing agency affirmative action program hiring goals for each DOC administered facility. These hiring goals are reported in the DOC's annually prepared affirmative action plan. Affirmative action activities within the DOC, including recruitment efforts intended to meet stated hiring goals, are carried out by an Affirmative Action Division Chief at the central office level and personnel analysts at the institution level who serve as affirmative action liaisons in addition to their regular personnel duties.

net differences between actual employment and M/R targets exist in the EEO categories labelled "Professional" (142 minority individuals short) and "Protective Service Workers" (i.e., corrections officers, a net 102 minority individuals short). According to DOC officials, minority recruitment problems are directly related to availability problems of minority applicants in the labor market in many of the areas in which DOC facilities are located. A Department official stated that veterans preference requirements have also impacted on the Department's ability to meet M/R targets for female employees. The auditors found that responsibility for DOC affirmative action activities is not clearly defined and that the program appears to lack strong central direction and coordination. The auditors also observed that the Department has not taken follow-up actions to implement a number of recommendations which were made by the Office of Administration in 1984 to address deficiencies in the affirmative action program^{3/} and that the DOC has not designated an individual at the deputy secretary level to be responsible for the day-to-day implementation of the affirmative action plan (as required by Executive Order 1988-1). In addition to resulting in noncompliance with the agency's affirmative action plan, the inability of the DOC to recruit and hire adequate numbers of minority employees promotes the continuing racial imbalance which exists between the DOC work force and the inmate population. For example, as shown on Table C-1, approximately 57% of the DOC inmate population is Black while 9% of the work force is Black. American Correctional Association standards suggest that efforts should be taken by correctional agencies to "ensure that staffing is representative of the community and/or the offender population." DOC officials indicated that more needs to be done to increase minority representation in the DOC work force and reported that a short-range goal has been established to "increase the number of minority and female workers in all levels of employment...by 15% during this fiscal year [FY 1987-88]." The Commissioner of Corrections has also issued specific "Affirmative Action Performance Standards" which apply to all DOC employees. These standards were issued in December 1987 and were to be effective in January 1988.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC INTENSIFY ITS EFFORTS TO INCREASE THE NUMBER OF MINORITY AND FEMALE EMPLOYEES ON ITS COMPLEMENT AND THEREBY MEET THE AFFIRMATIVE ACTION MINIMUM REPRESENTATION TARGET LEVELS ESTABLISHED FOR THE DEPARTMENT.^{4/} SPECIFIC SUGGESTED ACTIVITIES FOLLOW.
2. THE DOC SHOULD STRENGTHEN ITS AFFIRMATIVE ACTION PROGRAM BY:
 - a. DEVELOPING SPECIFIC ACTIVITY PLANS FOR MEETING MINORITY AND FEMALE EMPLOYMENT TARGETS AT EACH SPECIFIC CORRECTIONAL FACILITY OR OTHER LOCATION.

^{3/}These recommendations resulted from a 1984 "Personnel Management Review" carried out by the Office of Administration within the then Bureau of Correction.

^{4/}See footnote 2/ on preceding page for a definition of "minimum representation" target levels.

- b. DEVELOPING WRITTEN DESCRIPTIONS OF THE SPECIFIC DUTIES AND RESPONSIBILITIES OF DOC STAFF SERVING AS "AFFIRMATIVE ACTION LIAISONS" AT INSTITUTIONS (INCLUDING THE MINIMUM NUMBER OF HOURS PER WEEK TO BE DEVOTED TO THIS FUNCTION) AND DEVELOPING WRITTEN DESCRIPTIONS OF THE SPECIFIC AFFIRMATIVE ACTION DUTIES AND RESPONSIBILITIES OF THE PERSONNEL OFFICERS AT THE INSTITUTIONS.
- c. ASSIGNING OVERALL RESPONSIBILITY FOR IMPLEMENTATION OF THE DOC AFFIRMATIVE ACTION PLAN TO AN OFFICIAL AT THE DEPUTY SECRETARY LEVEL.^{5/}
- d. MONITORING AGENCY-WIDE ADHERENCE TO THE "AFFIRMATIVE ACTION PERFORMANCE STANDARDS" ISSUED BY THE COMMISSIONER OF CORRECTIONS IN DECEMBER 1987.
- e. HOLDING REGULAR GROUP MEETINGS OF DOC OFFICIALS WITH AFFIRMATIVE ACTION RESPONSIBILITIES FOR THE EXCHANGE AND DEVELOPMENT OF IDEAS AND ASSESSMENT OF SUCCESS.
- f. CREATING BROCHURES, POSTERS AND PUBLIC ANNOUNCEMENTS AIMED AT MINORITY AND FEMALE RECRUITMENT AND DISTRIBUTING SAME IN AREAS WHERE THEY MAY BE EFFECTIVE.
- g. INCREASING DIRECT CONTACT WITH GROUPS AND LOCATIONS LIKELY TO RESULT IN INCREASED AWARENESS OF DOC EMPLOYMENT OPPORTUNITIES FOR MINORITY AND FEMALE INDIVIDUALS.
- h. MAKING FULL USE OF THE SPECIAL "REQUEST FOR SELECTIVE CERTIFICATION"^{6/} HIRING MECHANISM WHICH IS AVAILABLE UNDER STATE CIVIL SERVICE COMMISSION PROCEDURES AND CAN BE USED TO FACILITATE THE HIRING OF WOMEN AND MINORITIES WHEN A NEED IS DOCUMENTED.

^{5/}The Governor's Executive Order 1988-1 indicates that heads of departments are to "designate an official at the deputy secretary level to assume responsibility for the day-to-day operation and implementation of the agency's affirmative action plan."

^{6/}The Executive Director of the SCSC may authorize "selective certification" of eligibles for a position(s) for which an appointing authority has demonstrated clearly and objectively that criteria such as age, sex, race, medical or physical standards, or special experience, training, licensure, knowledge, skills, or abilities constitute qualifications essential to the performance of the duties and responsibilities of the position(s). Failure to demonstrate that the additional qualifications are essential will result in the rejection of the request and issuance of the standard certification. Requests for selective certification will not be authorized when the sole purpose is to achieve affirmative action goals. However, according to an official of the SCSC, minority hiring for purposes of improving the balance between the minority composition of the inmate population and the employee workforce would be considered to be an acceptable basis upon which a selective certification can be requested.

i. EXPLORING THE FEASIBILITY OF UTILIZING INNOVATIVE TECHNIQUES TO FURTHER AFFIRMATIVE ACTION EFFORTS. SUCH TECHNIQUES MIGHT INCLUDE, E.G., EMPLOYEE RELOCATION INCENTIVES OR SPECIAL TRANSPORTATION PROGRAMS (SELF-SUSTAINING).

3. THE DOC CONSIDER IMPLEMENTING A PROGRAM OF SELECTIVE ENTRANCE AND EXIT INTERVIEWS WITH MINORITY AND FEMALE EMPLOYEES FOR THE SPECIFIC PURPOSE OF OBTAINING SUGGESTIONS TO AID IN RECRUITMENT AND RETENTION OF MINORITY AND FEMALE EMPLOYEES.

TABLE C-1

Racial Composition of the DOC Inmate Population
and Employee Work Force as of March 31, 1988

A. Numbers of Inmates and Employees

DOC Facility	Totals		Whites & Hispanics ^{b/}		Blacks		Others ^{c/}	
	Inmates	Emp.	Inmates ^{a/}	Emp.	Inmates	Emp.	Inmates	Emp.
Camp Hill....	2,580	586	1,228	541	1,347	45	5	0
Cresson.....	600	272	307	262	291	9	2	1
Dallas.....	1,959	476	743	470	1,216	5	0	1
Frackville...	669	245	306	239	361	4	2	2
Graterford...	2,509	645	601	511	1,903	130	5	4
Greensburg...	705	247	324	231	380	16	1	0
Huntingdon...	2,005	455	959	438	1,044	16	2	1
Mercer.....	670	226	435	211	235	15	0	0
Muncy.....	530	255	207	244	318	11	5	0
Pittsburgh...	1,648	510	680	454	963	56	5	0
Retreat.....	435	225	229	220	204	5	2	0
Rockview.....	1,906	475	917	455	988	19	1	1
Smithfield...	0	17	0	15	0	2	0	0
Waynesburg...	146	112	66	101	80	11	0	0
CSCs.....	<u>451</u>	<u>157</u>	<u>244</u>	<u>90</u>	<u>206</u>	<u>67</u>	<u>1</u>	<u>0</u>
Total.....	16,813	4,903	7,246	4,482	9,536	411	31	10

B. Inmates and Employees as Percentage of Total Population and Workforce

DOC Facility	Totals		Whites & Hispanics ^{b/}		Blacks		Others ^{c/}	
	Inmates	Emp.	Inmates ^{a/}	Emp.	Inmates	Emp.	Inmates	Emp.
Camp Hill....	100%	100%	48%	92%	52%	8%	d%	0%
Cresson.....	100	100	51	96	49	3	d	d
Dallas.....	100	100	38	99	62	1	0	d
Frackville...	100	100	46	98	54	2	d	1
Graterford...	100	100	24	79	76	20	d	1
Greensburg...	100	100	46	94	54	6	d	0
Huntingdon...	100	100	48	96	52	4	d	d
Mercer.....	100	100	65	93	35	7	0	0
Muncy.....	100	100	39	96	60	4	1	0
Pittsburgh...	100	100	41	89	58	11	d	0
Retreat.....	100	100	53	98	47	2	d	0
Rockview.....	100	100	48	96	52	4	d	d
Smithfield...	0	100	0	88	0	12	0	0
Waynesburg...	100	100	45	90	55	10	0	0
CSCs.....	<u>100</u>	<u>100</u>	<u>54</u>	<u>57</u>	<u>46</u>	<u>43</u>	<u>d</u>	<u>0</u>
Total.....	100%	100%	43%	91%	57%	8%	d	d

a/Does not include a total of 142 employees at the DOC Central Office level including 121 white employees and 21 black employees.

b/Current DOC inmate statistical reporting procedures do not separately account for the number of Hispanics within the inmate population. The DOC indicated that Hispanic inmates are included in the "White" totals.

c/Includes Asians, American Indians, and Others.

d/Less than 1%.

Source: Developed by the LB&FC staff from information provided by the Pennsylvania Department of Corrections.

TABLE C-2

Breakdown of Department of Corrections Employee
Complement by Facility, Race, and Sex as of March 31, 1988

<u>Facility</u>	<u>Total Number Employees as of 3/31/88^{a/}</u>	<u>Total Number White Male</u>	<u>Percent White Male</u>	<u>Percent Black</u>	<u>Percent Hispanic/ Other</u>	<u>Percent Women^{c/}</u>
Central Office.....	142	75	53%	15%	0%	39%
Camp Hill.....	586	471	80	8	b/	13
Cresson.....	272	232	85	3	b/	12
Dallas.....	476	443	93	1	b/	6
Frackville.....	245	215	88	2	1	10
Graterford.....	645	449	70	20	2	10
Greensburg.....	247	198	80	6	b/	14
Huntingdon.....	455	397	87	4	b/	10
Mercer.....	226	180	80	7	0	16
Muncy.....	255	88	35	4	0	65
Pittsburgh.....	510	406	80	11	b/	11
Retreat.....	225	199	88	2	0	9
Rockview.....	475	405	85	4	b/	11
Smithfield.....	17	14	82	12	0	18
Waynesburg.....	112	28	25	10	0	74
CSCs.....	<u>157</u>	<u>73</u>	<u>46%</u>	<u>43%</u>	<u>2%</u>	<u>31%</u>
Total.....	<u>5,045</u>	<u>3,873</u>	<u>77%</u>	<u>9%</u>	<u>b/</u>	<u>16%</u>

a/Filled positions.

b/Less than 1 percent.

c/Figures reported include minority women who are also reflected in "Black" and "Hispanic/Other" categories.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

TABLE C-3

DOC Performance In Meeting Affirmative Action Program "Minimum Representation" Target Levels, by DOC Facility As of March 1988

1. <u>Black Employees</u>	Number of Employees (March 1988) ^{a/}	"Minimum Representation" (MR) Target Level ^{b/}	Number of Employees Over (+) Under (-) MR Target Level ^{c/}
Central Office.....	21	11.03	+10
Camp Hill.....	45	61.78	-17
Cresson.....	9	4.58	+ 4
Dallas.....	5	12.12	-7
Frackville.....	4	4.15	0
Graterford.....	130	189.62	-60
Greensburg.....	16	28.62	-13
Huntingdon.....	16	7.98	+ 8
Mercer.....	15	16.91	-2
Muncy.....	11	24.02	-13
Pittsburgh.....	56	55.99	0
Retreat.....	5	13.06	-8
Rockview.....	19	9.29	+10
Smithfield.....	2	1.15	+1
Waynesburg.....	11	3.38	+8
CSCs.....	67	15.52	+51
Total DOC.....	<u>432</u>	<u>459.20</u>	<u>-27</u>
2. <u>Hispanic Employees</u>			
Central Office.....	0	0.99	-1
Camp Hill.....	4	2.45	+2
Cresson.....	0	0.46	0
Dallas.....	0	1.21	-1
Frackville.....	1	0.51	0
Graterford.....	8	16.90	-9
Greensburg.....	1	0.80	0
Huntingdon.....	1	0.94	0
Mercer.....	0	0.64	-1
Muncy.....	0	12.75	-13
Pittsburgh.....	3	1.47	+2
Retreat.....	2	1.96	0
Rockview.....	2	1.05	1
Smithfield.....	0	0.01	0
Waynesburg.....	0	0.33	0
CSCs.....	3	0.93	+2
Total DOC.....	<u>25</u>	<u>43.40</u>	<u>-18</u>

TABLE C-3

DOC Performance In Meeting Affirmative Action Program "Minimum
Representation" Target Levels, by DOC Facility As of March 1988
(Continued)

3. Other Employees (Asians, Native Americans)	Number of Employees (March 1988) ^{a/}	"Minimum Representation" (MR) Target Level ^{b/}	Number of Employees Over (+) Under (-) MR Target Level ^{c/}
Central Office.....	0	1.41	-1
Camp Hill.....	0	12.97	-13
Cresson.....	1	0.25	+1
Dallas.....	1	1.62	-1
Frackville.....	2	0.24	+2
Graterford.....	4	5.44	-1
Greensburg.....	0	0.55	-1
Huntingdon.....	1	0.68	0
Mercer.....	0	0.41	0
Muncy.....	0	1.04	-1
Pittsburgh.....	0	1.54	-2
Retreat.....	0	0.42	0
Rockview.....	1	1.05	0
Smithfield.....	0	0.00	0
Waynesburg.....	0	0.28	0
CSCs.....	0	0.54	-1
Total DOC.....	<u>10</u>	<u>28.44</u>	<u>-18</u>
4. <u>Female Employees</u>			
Central Office.....	55	69.38	-14
Camp Hill.....	74	122.55	-49
Cresson.....	32	37.11	-5
Dallas.....	27	67.64	-41
Frackville.....	24	45.55	-22
Graterford.....	64	103.92	-40
Greensburg.....	34	41.11	-7
Huntingdon.....	45	74.16	-29
Mercer.....	36	43.11	-7
Muncy.....	166	110.45	+56
Pittsburgh.....	57	95.43	-38
Retreat.....	21	30.81	-10
Rockview.....	50	91.68	-42
Smithfield.....	3	3.70	-1
Waynesburg.....	83	41.57	+41
CSCs.....	48	111.21	-63
Total DOC.....	<u>819</u>	<u>1089.38</u>	<u>-270</u>

a/Filled positions as of March 31, 1988.

b/See footnote 2/ on page 24 for a definition of "minimum representation" target levels.

c/Difference between actual number of employees and "MR target levels" are rounded to nearest whole number.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections and the PA Office of Administration.

TABLE C-4

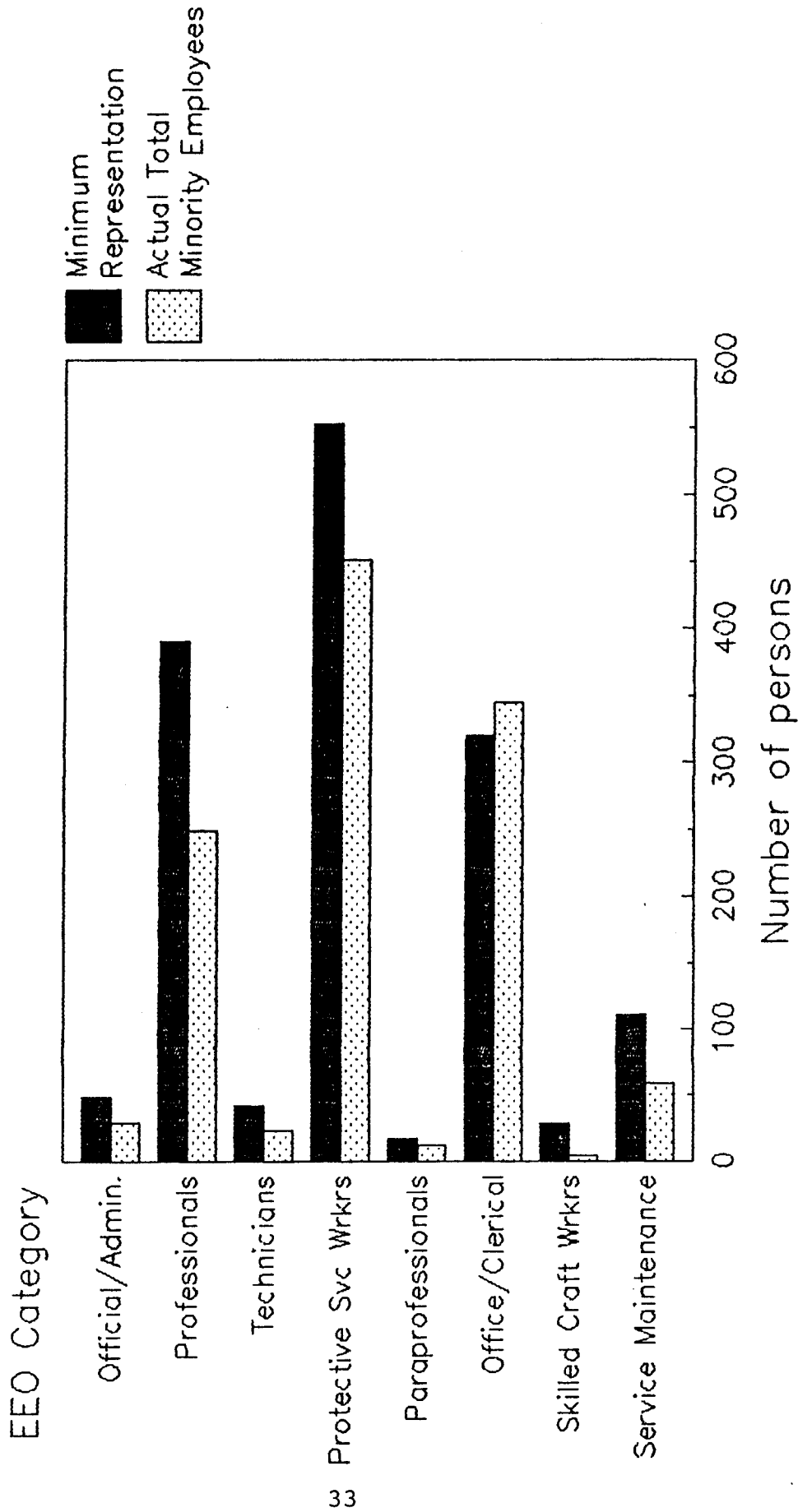
Comparison of DOC Employment to Affirmative Action Program "Minimum Representation" (MR) Target Levels in Equal Employment Opportunity (EEO) Job Categories, by DOC Facility as of March 1988

DOC Facility	Net Totals	March 1988 DOC Employee Levels Above (+) Below (-) Minimum Representation Target Levels by EEO Category									
		Officials/ Admin.	Professional	Technicians	Protective Svc Workers	Para- Professional	Office/ Clerical	Skilled Craft	Service Maintenance		
Central Office..	-8	-5	-9	-2	0	0	7	0	1		
Camp Hill.....	-74	-3	-19	-2	-48	-1	7	-2	-6		
Cresson.....	-1	0	-6	-1	3	0	4	-1	-1		
Dallas.....	-46	-3	-26	-3	-4	0	-4	-3	-4		
Frackville.....	-19	0	-9	-1	-10	0	3	-1	-1		
Graterford.....	-97	-1	-19	-1	-67	0	1	-4	-6		
Greensburg.....	-18	-1	-4	-2	-10	0	1	-1	-1		
Huntingdon.....	-23	-2	-16	-1	1	-2	1	-3	-1		
Mercer.....	-10	-2	-5	-1	-2	-1	1	0	-1		
Muncy.....	40	3	6	-2	25	0	8	-1	1		
Pittsburgh.....	-41	-3	-10	-2	-16	-1	-5	-2	-3		
Retreat.....	-18	-1	-6	-1	-10	-1	2	-1	-1		
Rockview.....	-29	-2	-15	-3	1	-1	-5	-3	-2		
Smithfield.....	-1	0	0	0	0	0	0	0	0		
Waynesburg.....	40	0	1	0	37	0	2	0	0		
CSCs.....	-31	2	-5	0	-2	0	2	0	-28		
TOTAL ^{a/}	-337	-19	-142	-19	-102	-5	24	-23	-52		

^{a/}Totals may not add due to rounding.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

DOC Employment Levels Compared to Affirmative Action Program Minimum Representation Target Levels, By EEO Category



Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

D. NEED FOR ADDITIONAL EMPHASIS ON DOC EMPLOYEE SAFETY ACTIVITIES

FINDING: Additional emphasis in the area of employee safety is needed within the Department of Corrections (DOC). A January 1985 DOC administrative memorandum provides for the "establishment and monitoring of a program for safety, sanitation and fire prevention" at each correctional facility under the Department's jurisdiction.^{1/} As of May 1988, the auditors found that this program lacked central direction and coordination and was only partially operational. For example, a "Central Office Safety Committee" called for in the administrative memorandum (to promote and monitor the program) did not exist, safety training efforts appeared fragmented, and reporting mechanisms were not in place to communicate information to the DOC Central Office regarding the nature and level of safety activities being conducted in the field. The auditors also found that the Department has not addressed numerous employee safety program deficiencies that were identified through a "Personnel Management Review" report on DOC employee safety operations which was issued by the Office of Administration in 1984. The importance and benefits of effective employee safety programs are well documented in principles of sound personnel administration. In addition to being a source of physical and emotional stress and hardship to the individual employee, on-the-job injuries result in more costly and less efficient agency operations and ultimately impact on the Commonwealth's total losses (through its Workers' Compensation Self-Insurance Program). During FY 1986-87, disability leave costs for the Department of Corrections were approximately \$950,000. Analysis of DOC accident reports for the period FY 1980-81 through FY 1987-88 indicates that accident rates have risen fairly steadily from 16.5 accidents per 100 employees in FY 1980-81 to an estimated 29.1 accidents per 100 employees in FY 1987-88. Because substantial staffing shortages exist within the DOC, lost-time accidents can be especially costly in terms of overtime costs which may be necessary to fill the positions of injured employees. DOC officials agree that the Department has not yet implemented the safety program which is called for in its administrative memorandum and that actions have not been taken to fully address safety program deficiencies which were identified by the Office of Administration in 1984.

^{1/}DOC employee safety activities are to be carried out as provided for by Administrative Memorandum OM-086.01. This policy provides for the creation of a Central Office Safety Committee and decentralized safety activities to be conducted at the correctional facility level (see Exhibit D-A of this report for a copy of the Department's Safety, Sanitation and Fire Safety Policy). As of May 1988, correctional facility safety programs were being coordinated at the DOC Central Office level by the Director of the Security, Fire and Safety Division and the newly hired Fire Safety Coordinator.

Reasons cited for inaction in these areas include lack of resources and the absence of specific initiative and coordination at the central level. The auditors also observed that while the Department does have a Central Office Division of Security, Fire and Safety, the emphasis of this Division's activities appears, to date, to have been primarily focused in the area of security. In April 1988, an individual was hired to serve as the DOC fire and safety coordinator. DOC officials at both the institutional and central office level indicated that they believe a full-time fire and safety specialist position is needed at each institution. Accordingly, the Department's FY 1988-89 budget request included funding for such positions. (Funding for these positions was not recommended in the Governor's FY 1988-89 budget.) DOC officials indicated to the auditors that the Department's intent is to implement the safety program provided for in the 1985 administrative memorandum but that no timetable or target date for implementation has been established.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC ACTIVATE THE CENTRAL OFFICE SAFETY COMMITTEE WHICH IS PROVIDED FOR IN THE 1985 INTERNAL ADMINISTRATIVE MEMORANDUM WHICH ESTABLISHES THE DEPARTMENT'S "SAFETY, SANITATION, AND FIRE PREVENTION" PROGRAM.
2. ONCE ACTIVATED, THE CENTRAL OFFICE SAFETY COMMITTEE COMPREHENSIVELY SURVEY AND DOCUMENT THE SAFETY PROGRAMMING ACTIVITIES WHICH ARE BEING CARRIED OUT WITHIN THE DOC FOR PURPOSES OF ASSESSING COMPLIANCE WITH THE DEPARTMENT'S ESTABLISHED SAFETY PROGRAM GUIDELINES. BASED UPON THIS ASSESSMENT, THE CENTRAL OFFICE SAFETY COMMITTEE SHOULD DEVELOP A PLAN AND TIMETABLE FOR UNIFORM SYSTEM-WIDE IMPLEMENTATION OF THE PROVISIONS OF THE SAFETY PROGRAM. (SEE EXHIBIT D-A FOR A COPY OF THE DOC'S SAFETY PROGRAM PROVISIONS, ADMINISTRATIVE MEMORANDUM OM-086.01.)
3. FULL-TIME SAFETY OFFICER POSITIONS BE ESTABLISHED WITHIN THE DOC PERSONNEL COMPLEMENT TO REPLACE INDIVIDUALS WHO ARE PRESENTLY CLASSIFIED, FOR EXAMPLE, AS CORRECTIONAL OFFICERS, BUILDING MAINTENANCE SUPERVISORS, TRADES INSTRUCTORS OR INMATE PERSONAL SERVICES MANAGERS AND WHO ARE ALSO OPERATING AT MOST INSTITUTIONS AS INSTITUTIONAL SAFETY OFFICERS ON A PART-TIME BASIS.^{2/} IT IS FURTHER RECOMMENDED THAT THESE FULL-TIME POSITIONS BE ESTABLISHED TO SERVE THE STATE CORRECTIONAL INSTITUTIONS AND COMMUNITY SERVICE CENTERS ON A REGIONAL OR MULTI-INSTITUTION BASIS WHERE APPROPRIATE.
4. SPECIFIC POSITION QUALIFICATIONS AND A SPECIAL TRAINING PROGRAM BE ESTABLISHED FOR THE FULL-TIME SAFETY OFFICER POSITIONS REFERRED TO IN #3 ABOVE.

^{2/}At SCI Dallas, the position of institutional fire and safety officer is a full-time position. The auditors found that there is apparently no one serving as institutional safety officer in at least one SCI.

5. IN CONJUNCTION WITH THE PLANNING AND IMPLEMENTATION ACTIVITIES SUGGESTED FOR THE CENTRAL OFFICE SAFETY COMMITTEE IN #2 ABOVE, ACTIONS BE TAKEN TO ESTABLISH A SYSTEM THROUGH WHICH INFORMATION ON EMPLOYEE SAFETY AND THE OVERALL SAFETY PROGRAM CAN BE REGULARLY COMMUNICATED TO THE DOC CENTRAL OFFICE (TO THE CHIEF OF THE DIVISION OF SECURITY, FIRE AND SAFETY AND THE CENTRAL OFFICE SAFETY COMMITTEE ONCE IT IS ACTIVATED) FROM THE INDIVIDUAL DOC FACILITIES. THIS REPORTING SYSTEM SHOULD INCLUDE AT A MINIMUM THE FOLLOWING:

-AUTOMATED STANDARDIZED REPORTING OF STATISTICAL INFORMATION, FOR EXAMPLE, ON SAFETY INSPECTIONS AND DRILLS CONDUCTED, HOURS OF SAFETY TRAINING PROVIDED TO DOC EMPLOYEES (INCLUDING DOCUMENTATION OF AIDS TRAINING COMPLETED) AND ON THE INCIDENCE OF BOTH LOST-TIME AND NO LOST-TIME EMPLOYEE ACCIDENTS.

-REGULAR SUBMISSION (BY THE INSTITUTIONAL DEPUTY SUPERINTENDENTS FOR OPERATIONS) OF THE RESULTS OF ACCIDENT INVESTIGATION REPORTS PREPARED BY THE INSTITUTIONAL SAFETY OFFICERS (E.G., ON ACCIDENT CAUSES AND DETERMINATIONS OF WHAT PREVENTIVE OR CORRECTIVE MEASURES HAVE BEEN TAKEN OR ARE REQUIRED).

-TRANSMITTAL OF THE MINUTES OF THE MEETINGS OF THE INSTITUTIONAL SAFETY COMMITTEES.

6. THE DOC CENTRAL OFFICE REGULARLY COMPILE AND ANALYZE EMPLOYEE ACCIDENT DATA ON AN INSTITUTION AND FACILITY BASIS.^{3/} IN THE IMMEDIATE SHORT-TERM, THE DOC CENTRAL OFFICE SHOULD REVIEW THE INSTITUTIONAL EMPLOYEE ACCIDENT RATE DATA CONTAINED IN THIS REPORT (SEE TABLE D-2). EFFORTS SHOULD BE TAKEN TO OBTAIN FURTHER INFORMATION FROM THOSE INSTITUTIONS WITH ACCIDENT RATES WHICH APPEAR TO BE ESPECIALLY HIGH TO DETERMINE IF IMMEDIATE STEPS MIGHT BE TAKEN TO DEAL WITH POSSIBLE SAFETY PROBLEMS OR HAZARDOUS CONDITIONS AT THESE FACILITIES. ON A LONG-RANGE BASIS, ONCE ACTIVATED, THE CENTRAL OFFICE SAFETY COMMITTEE SHOULD ROUTINELY MONITOR THE SAFETY RECORDS FROM EACH FACILITY AND MAKE RECOMMENDATIONS "FOR CORRECTIVE MEASURES WHERE SAFETY VIOLATIONS ARE UNUSUALLY HIGH." (AS PROVIDED FOR BY INTERNAL DOC POLICY) THE CENTRAL OFFICE SAFETY COMMITTEE SHOULD ALSO CONSIDER ESTABLISHING GOALS AND OBJECTIVES FOR ACCIDENT PREVENTION AND REDUCTION ON AN INDIVIDUAL FACILITY AND INSTITUTION BASIS AND SHOULD MONITOR SUCCESS IN ATTAINING THESE GOALS AND OBJECTIVES.

7. ONCE ACTIVATED, THE CENTRAL OFFICE SAFETY COMMITTEE WORK WITH THE DOC'S BUREAU OF HUMAN RESOURCES TO ESTABLISH AN EMPLOYEE SAFETY TRAINING COMPONENT

^{3/}As stated in the personnel manual of the PA Department of Transportation, employee accident statistics can be used as a management tool to (a) identify high risk employes, activities, organizations, injury, and vehicle accident trends in order to correct them through the application of available safety resources; (b) measure the progress of employe, organization, and Department-wide safety performance; and (c) recognize employes and organizations who have achieved or sustained exceptional safety performance.

IN THE DEPARTMENT'S "STAFF DEVELOPMENT AND TRAINING MANUAL" (E.G., TO BE INCLUDED IN THE "MANDATED ANNUAL TRAINING" SECTION OF THE MANUAL).

8. INFORMATION ON THE DOC'S EMPLOYEE SAFETY POLICY AND PROGRAM AND SAFETY TRAINING BE INCORPORATED INTO THE DOC PERSONNEL MANUAL AND CONSIDERATION BE GIVEN TO DEVELOPING A SPECIAL EMPLOYEE SAFETY HANDBOOK.

9. THE DOC GIVE CONSIDERATION TO THE ESTABLISHMENT OF AN EMPLOYEE SAFETY AWARDS PROGRAM AS PART OF ITS EXISTING ANNUAL "EMPLOYEE RECOGNITION PROGRAM." THE DOC CENTRAL OFFICE SAFETY COMMITTEE (ONCE ACTIVATED) SHOULD DEFINE THE CRITERIA AND SELECTION PROCESS FOR THE ANNUAL EMPLOYEE SAFETY AWARDS PROGRAM, INCLUDING IDENTIFICATION OF SELECTION CRITERIA AND AWARDS.

10. ONCE ACTIVATED, THE DOC CENTRAL OFFICE SAFETY COMMITTEE CONSIDER TAKING ACTIONS TO INCREASE EMPLOYEE AWARENESS OF SAFETY MATTERS, FOR EXAMPLE, THROUGH INCREASED DISSEMINATION OF PRINTED SAFETY MATERIALS, BULLETINS AND BROCHURES AND/OR THE DEVELOPMENT OF AN EMPLOYEE SAFETY NEWSLETTER.

11. THE ANNUAL PERFORMANCE EVALUATION PROCESS FOR DOC EMPLOYEES INCLUDE RATING IN THE CATEGORY OF "SAFETY" PERFORMANCE. THE DOC BUREAU OF HUMAN RESOURCES ESTABLISH GUIDELINES AND CRITERIA FOR USE BY DOC SUPERVISORS IN RATING EMPLOYEES IN THIS JOB PERFORMANCE CATEGORY.

12. THE DOC, THROUGH ITS CENTRAL OFFICE SAFETY COMMITTEE (ONCE ACTIVATED), EXAMINE THE EMPLOYEE SAFETY PROGRAMS IN PLACE IN OTHER STATE AGENCIES FOR PURPOSES OF IDENTIFYING ACTIVITIES, MATERIALS, AND TECHNIQUES WHICH MAY BE APPLICABLE AND/OR ADAPTABLE TO THE DOC PROGRAM. IN THIS REGARD, IT IS SUGGESTED THAT THE DOC REVIEW THE EMPLOYEE SAFETY PROGRAM WHICH IS OPERATIONAL IN THE PA DEPARTMENT OF TRANSPORTATION. THE DEPARTMENT OF TRANSPORTATION SAFETY PROGRAM, FOR EXAMPLE, INCLUDES AN AUTOMATED EMPLOYEE ACCIDENT REPORTING SYSTEM (SEE #5), AUTOMATED EMPLOYEE SAFETY TRAINING RECORDS (SEE #5), AN EMPLOYEE SAFETY HANDBOOK AND EMPLOYEE SAFETY SECTION IN THE AGENCY PERSONNEL MANUAL (SEE #8), COMPILATION AND ANALYSIS OF EMPLOYEE ACCIDENT STATISTICAL DATA (SEE #6), AN EMPLOYEE SAFETY INCENTIVE/RECOGNITION PROGRAM (SEE #9), AND THE PUBLICATION OF AN EMPLOYEE SAFETY NEWSLETTER (SEE #10).

13. THE DOC WORK WITH THE DEPARTMENT OF GENERAL SERVICES, BUREAU OF RISK AND INSURANCE MANAGEMENT, TO SET UP A SCHEDULE FOR "RISK ASSESSMENT/LOSS PREVENTION SURVEYS" TO BE CONDUCTED (ON A PHASED BASIS) AT ALL DOC ADMINISTERED FACILITIES (SUCH INSPECTIONS ARE CARRIED OUT THROUGH THE BUREAU'S SAFETY AND LOSS PREVENTION DIVISION FOR PURPOSES OF DETERMINING WHERE SAFETY DEFICIENCIES EXIST AT STATE FACILITIES WHICH COULD CONCEIVABLY RESULT IN ACCIDENTAL INJURIES AND A COMMONWEALTH LIABILITY SITUATION).^{4/} THE DEPARTMENT SHOULD CONSIDER INITIALLY REQUESTING INSPECTIONS AT THOSE INSTITUTIONS CURRENTLY EXHIBITING THE HIGHEST EMPLOYEE ACCIDENT RATES (SEE TABLE D-2). THE RESULTS OF THESE INSPECTIONS SHOULD BE PROVIDED TO TOP DOC ADMINISTRATORS AND TO THE CENTRAL OFFICE SAFETY COMMITTEE FOR FOLLOW-UP AND CORRECTIVE ACTIONS AS NECESSARY.

^{4/}As of May 1988, three SCIs (Camp Hill, Greensburg and Cresson) had been inspected by the Department of General Services for risk assessment purposes.

TABLE D-1

Number of Accident Reports Filed by
DOC Employees and Annual Accident Rates (per 100 DOC Employees)
Fiscal Years 1980-81 through 1987-88 Estimated*/

<u>Fiscal Years</u>	<u>Number of Accidents</u>		
	<u>Total</u>	<u>Lost Time Accidents</u>	<u>No Lost Time Accidents</u>
1980-81.....	490	117	373
1981-82.....	696	161	535
1982-83.....	735	370	365
1983-84.....	814	a/	a/
1984-85.....	933	363	570
1985-86.....	1,066	359	707
1986-87.....	1,233	342	891
1987-88 (Estimated)*/	1,414	308	1,105

<u>Fiscal Years</u>	<u>Accident Rate per 100 DOC Employees</u> ^{b/}		
	<u>Total</u>	<u>Lost Time Accidents</u>	<u>No Lost Time Accidents</u>
1980-81.....	16.5	3.9	12.6
1981-82.....	23.1	5.4	17.8
1982-83.....	23.5	11.8	11.7
1983-84.....	25.0	a/	a/
1984-85.....	25.9	10.1	15.8
1985-86.....	27.3	9.2	18.1
1986-87.....	29.5	8.2	21.3
1987-88 (Estimated)*/	29.1	6.3	22.7

*/For fiscal year comparison purposes, FY 1987-88 accident data is estimated. Estimates were made on the basis of an actual ten-month count of accident reports filed (through April 30, 1988) and an estimated number of accidents for the last two months of FY 1987-88. Total does not add due to rounding.

a/Information not available.

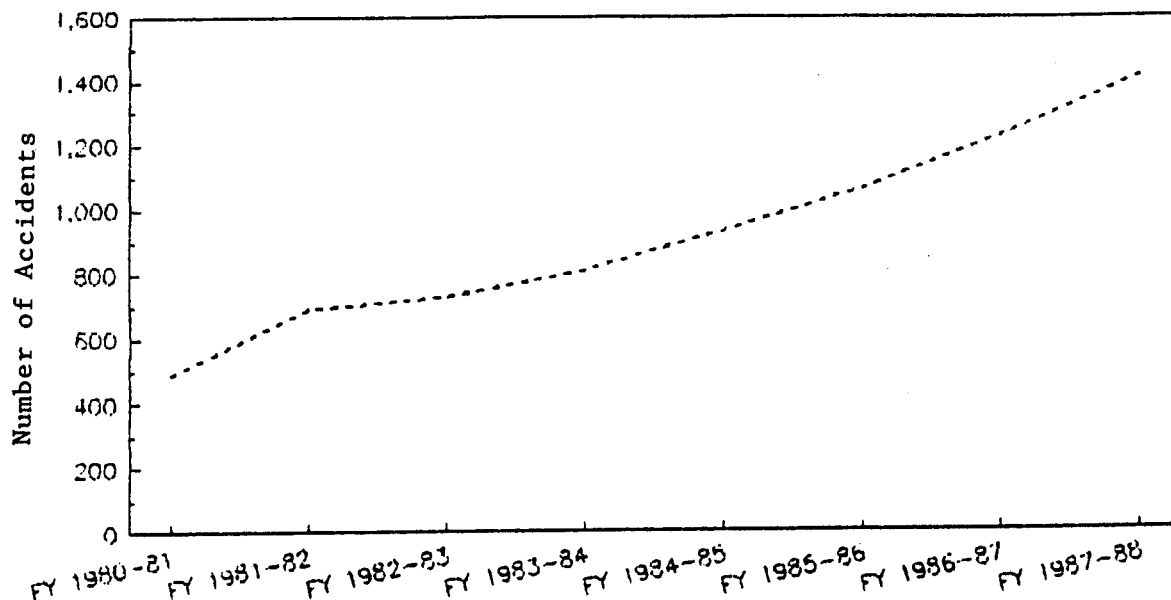
b/Calculated by dividing total number of accidents by the total number of filled positions on the DOC complement as of December 31, 1980 through 1987 then multiplying by 100 to determine accident rate per 100 employees.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

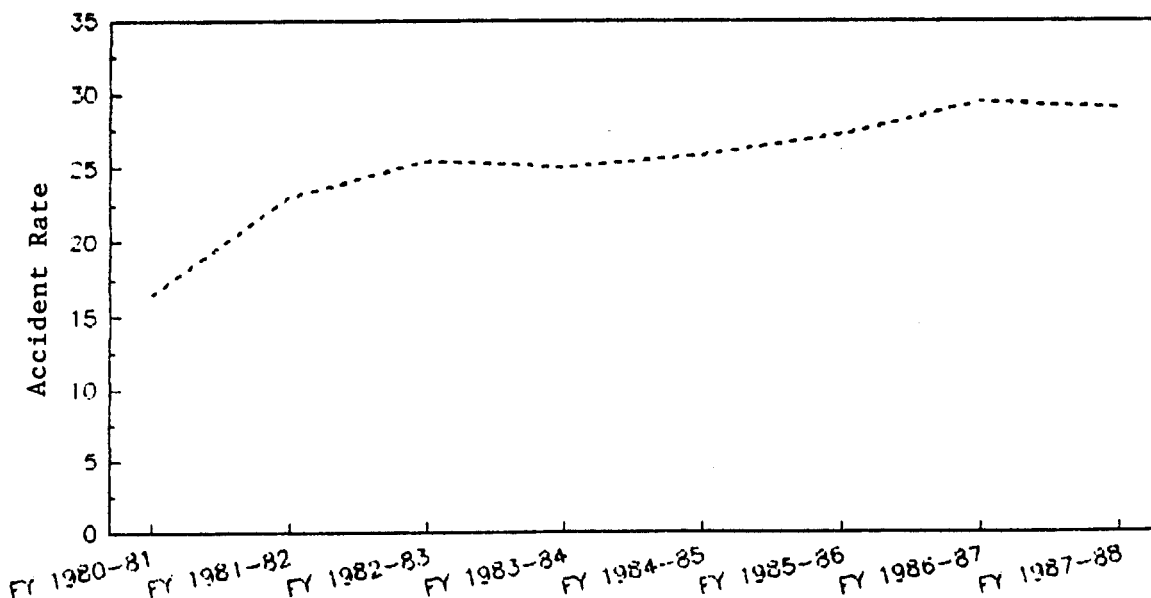
GRAPH D.A

Accident Reports Filed by DOC Employees and Annual Accident Rate (per 100 Employees), Fiscal Years 1980-81 through 1987-88 (Estimated)

A. Number of Accidents



B. Accident Rate Per 100 Employees



Source: Developed by LB&FC staff from analysis of information obtained from the Department of Corrections Bureau of Human Resources.

TABLE D-2

DOC Employee Accident Report Rates (per 100 DOC Employees)
by DOC Facility, FYs 1986-87 and 1987-88

Facility	Accident Rate per 100 Employees ^{a/}		
	FY 1986-87	thru April 1988	Estimated FY ^{b/}
Central Office.....	2.3	3.7	4.4
Camp Hill.....	37.7	33.2	39.9
Cresson.....	4.3	7.1	8.5
Dallas.....	15.4	14.2	17.1
Frackville.....	5.1	8.6	10.3
Graterford.....	46.6	30.4	36.4
Greensburg.....	31.3	27.8	33.4
Huntingdon.....	9.2	23.5	28.2
Mercer.....	29.0	33.6	40.3
Muncy.....	62.6	41.1	49.4
Pittsburgh.....	35.4	28.6	34.3
Retreat.....	0.0	10.6	12.7
Rockview.....	24.5	21.5	25.8
Waynesburg.....	<u>19.6</u>	<u>39.5</u>	<u>47.3</u>
Total DOC.....	29.5	24.2	29.1

a/Calculated by adding accident reports filed by DOC employees (requiring both "lost time" and "no lost time") under the following disability compensation programs: (1) the "Act 632 Program" which applies to DOC employees injured by inmates; (2) the "Heart and Lung Program" which covers most injuries to corrections officers which result from causes other than actions of inmates and; (3) the "Work Related Disability Leave Program" which covers all other DOC employees whose injuries are not compensable under other work-related injury benefits programs. The total number of reported cases was divided by the DOC's filled employee complement for December 31, 1986 and 1987 and multiplied by 100 to determine the accident rate per 100 employees.

b/Rate calculated on the basis of an actual ten-month count of accident reports filed (through April 30, 1988) and an estimated number of accidents for the last two months of FY 1987-88.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

GLEN R. JEFFES
Commissioner




ERSKIND DERAMUS
Deputy Commissioner

PENNSYLVANIA BUREAU OF CORRECTION
P. O. BOX 598
CAMP HILL, PENNSYLVANIA 17011
(717) 787-7480
January 24, 1985

Volume VI
OM-086.01

SUBJECT: Safety, Sanitation and Fire Prevention

TO: Superintendents
Regional Directors
Central Office Directors

FROM: 
Glen R. Jeffes
Acting Commissioner

1. PURPOSE

This Administrative Memorandum is to provide for the establishment and monitoring of a program for safety, sanitation and fire prevention as it relates to each of the correctional institutions, facilities and centers under the jurisdiction of the **Department** of Corrections.

II. POLICY

The Department will establish a safety program and keep current an ongoing monitoring system for; safety reports, inspection procedures, equipment testing, quarterly fire drills and a records system to document all of the above, to include corrective action taken on identified deficiencies.

Personal safety of staff and inmates is of utmost importance in the Department of Corrections and shall take precedence over the protection of property and equipment. Safety is an integral part of every job from top management through supervisors to the inclusion of each individual employe and inmate. For this reason safety is a job standard for every position within the Department of Corrections.

The endorsement, promotion and training for Department safety programs will be handled through the following structure: The Central Office Safety

Committee, (Institution/Facility/Community Service Center) Safety Committee and at each location the Safety, Sanitation and Fire Officer.

III. PROCEDURE

A. CENTRAL OFFICE SAFETY COMMITTEE

The Central Office Safety Committee, composed of five members will be appointed by the Commissioner on an annual basis. The permanent Chairman shall be the the Chief of Security and Safety with primary representation from Personnel and Correctional Industries Divisions.

The Central Office Safety Committee shall have the responsibility to:

- 1. Endorse and promote Department-wide safety programs.**
- 2. Identify safety training needs for "Staff Development and Training" who will establish training programs in all facilities to meet these needs. These needs will relate to staff working condition as well as safety program needs for inmates.**
- 3. Monitor safety records from each facility and recommend corrective measures at those locations where safety violations are unusually high.**
- 4. Review investigative reports from the Safety, Sanitation and Fire Officer at each location.**
- 5. Review investigations and recommendations submitted by the personnel staff at each location involving work loss by staff.**

B. SAFETY, SANITATION AND FIRE OFFICER

The Regional Directors for Community Service Centers and Superintendents shall designate a safety, sanitation and fire officer who shall have the responsibility to:

- 1. Develope an institution-wide safety and fire prevention policy in line with the Department of Corrections' policies and directives.**
- 2. Work with a qualified source to review the fire protection system within the facility and to assure adequate fire protection.**
- 3. Insure that weekly safety, sanitation and fire inspections of the facility are being made (especially housing and work units).**
- 4. Oversee the training of employes in the essentials of safety, sanitation, and fire prevention.**

EXHIBIT D-A

(Continued)

5. Make a quarterly inspection and testing of all fire protection equipment.
6. Conduct periodic fire drills (at least quarterly).
7. Conduct monthly safety and sanitation inspections in coordination with the medical department (see Volume VII - OM-105.03).
8. Insure that the institution, facility or center has an on-going program for maintaining proper sanitation, including housekeeping and vermin and pest control.
9. Maintain a log of inspections, tests, special instructions and drills.
10. Investigate all institution and Community Service Center **accidents (that result in work time loss by staff) and fires** to determine: causes, effects on materials and equipment, assessment of damage, if proper procedures were followed and if preventative measures could have been taken. In addition, make a complete report to the Deputy for Operations on the findings and facts involved.
11. Review specifications for the selection and purchase of facility furnishings to assure their conformance to the fire safety requirements of the institution.
12. **Review employe accident investigations and recommendations conducted by the facility personnel staff - (all cases where there has been an employe work loss due to accidents).**
13. Participate as a permanent member of the institution or Community Service Safety Committee.
14. Provide reports and information periodically as required by the Central Office Safety Committee.

C. INSTITUTION/FACILITY SAFETY COMMITTEE

The committee at each institution shall be formed and chaired by the Deputy for Operations, and represented on this committee shall be both management and the union. Additional members shall include the safety, sanitation and fire officer and the training coordinator. The principal duty of this committee is to monitor the safety, sanitation and fire prevention programs, review fire drills and program testing, and promote employe participation, education and training.

EXHIBIT D-A

(Continued)

All personnel shall be made aware that safety, sanitation, and fire prevention is everyone's responsibility, and they shall be trained in the proper use of fire-fighting and safety equipment. They shall also be trained in the proper response to emergency situations and to recognize the signs of potentially dangerous conditions wherever they exist.

The optimum desired result of a properly planned and operated fire/safety program will be in minimal time lost for staff and inmates due to accidents and minimal damage to Commonwealth property.

This Administrative Memorandum is effective immediately and supercedes the directive titled "Safety, Fire Prevention and Sanitation", Volume VI, OM-086.01 dated February 22, 1982.

LDH/lp

cc: Deputy DeRamus
S. Sturgis
K. Robinson
F. Gillis
D. Gearhart
File

E. ABSENCE OF FORMAL ADVISORY MECHANISMS FOR DOC/PUBLIC INTERACTION

FINDING: The Department of Corrections is responsible for the administration of a state correctional system which houses over 16,800 inmates at 13 correctional institutions and 15 community service centers. Formal mechanisms to promote citizen involvement and provide opportunities for public-correctional system interaction are not operational at all of these facilities. Although citizen advisory bodies exist at all of the Department's Community Service Centers (CSCs) pursuant to written DOC policy directive, only one of the 13 state correctional institutions (SCI Dallas) had such an advisory group as of May 1988. In citing citizen advisory groups, the current Administration has indicated that methods need to be explored to develop "greater community understanding and awareness" of corrections issues as the Commonwealth's correctional system expands and inmate population increases. The establishment of citizen advisory bodies within correctional systems is consistent with standards established by the American Correctional Association and with current practice in a sampling of six selected states contacted by the auditors. State correctional officials in California, New York and Michigan reported the existence of community advisory groups at the institutional level while the remaining three states (Florida, Maryland and New Jersey) reported the use of statewide, regional and/or special purpose advisory group mechanisms (e.g., for corrections education or corrections medical services). An official of the Michigan Department of Corrections reported to the auditors that community advisory bodies are operational at each of the system's 24 adult correctional facilities while New York state corrections officials indicated that 40 of 53 of its correctional facilities have community advisory boards (reportedly, a long term goal in New York State is to establish such bodies at each of the remaining facilities). Officials in these sample states cited the value of such groups in enhancing communication and dialogue between the institution and surrounding communities, facilitating and coordinating the operation of citizen volunteer programs within the institutions, reducing concerns regarding security and allaying fears about and facilitating community acceptance of new prison facilities.^{1/} Other potential benefits identified include the possible role of citizen advisory bodies in improving the coordination of external safety-related services required by the institutions (e.g., emergency medical services, emergency management services and local fire and health services) and in facilitating inmate employment placement and housing assistance for inmates upon release. New York officials

^{1/}New York State law requires that a community planning task force be formed prior to the planning, development and construction of correctional facilities so that "public comment in the agency decision-making process is assured."

also reported that their experience has been that such groups can provide input to their correctional industries program, encourage institutional purchasing and service acquisition from the surrounding area and bring in voluntary teachers from the community. PA DOC Community Service Center personnel interviewed by the auditors also cited positive results of the use of advisory bodies at the CSC level and generally expressed the opinion that such groups would also be of benefit at the SCI level. DOC officials stated to the auditors that the establishment of such advisory groups has not been actively promoted at the institutional level in the past but believe that there are potential benefits to now doing so. The DOC has established a long-range objective to set up local community advisory boards for each of its facilities by December 31, 1990. In connection with this objective the DOC sent a survey letter and questionnaire to correctional agencies in other states in order to obtain information on their experiences with establishing and using advisory groups.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC DEVELOP AN ACTION PLAN TO ACCOMPLISH ITS LONG-RANGE OBJECTIVE OF ESTABLISHING LOCAL COMMUNITY ADVISORY BODIES AT EACH OF ITS FACILITIES. THIS PLAN SHOULD INCLUDE ASSIGNMENT OF STAFF RESPONSIBILITIES AND A TIMETABLE AND KEY DATES IN THE DEVELOPMENT PROCESS.
2. THE DOC CENTRAL OFFICE SHOULD DEVELOP A PROPOSED "MODEL COMMUNITY ADVISORY STRUCTURE" (INCLUDING A PROPOSED MISSION STATEMENT, MEMBERSHIP COMPOSITION^{2/} AND OTHER OPERATIONAL GUIDELINES) FOR ESTABLISHMENT AT THE SCI LEVEL. THIS MODEL COMMUNITY ADVISORY STRUCTURE AND GUIDELINES RELATED TO IMPLEMENTATION OF SUCH A PROGRAM SHOULD BE INCORPORATED IN THE DOC'S "OPERATIONS MANUAL" AND THUS CONVENIENTLY AVAILABLE FOR PERSONNEL AT ALL CORRECTIONAL FACILITIES.
3. THE CENTRAL OFFICE OF THE DOC (E.G., THROUGH ITS PRESS OFFICE) SHOULD ENCOURAGE THE DEVELOPMENT OF COMMUNITY ADVISORY BOARDS AT EACH OF THE STATE CORRECTIONAL INSTITUTIONS IN ACCORDANCE WITH THE MODEL STRUCTURE DESCRIBED ABOVE, PROVIDE TECHNICAL ASSISTANCE AND INFORMATION EXCHANGE AS APPROPRIATE, AND MONITOR THE FUNCTIONING AND ACTIVITIES OF THE BOARDS ONCE THEY ARE FORMED.

^{2/}Membership composition of community advisory bodies might include elected state officials who represent the area in which the institution is located (or their designee), local elected officials, representatives of local law enforcement agencies and local fire, ambulance and other emergency services organizations, members of community organizations/interest groups, members of the business community, educators, clergy and other public members.

III. AUDIT METHODOLOGY AND ACTIVITIES

This report contains findings resulting from DOC performance audit activities conducted primarily during April and May 1988. The issues dealt with were generally identified earlier in the audit process but were not fully examined prior to the release of the LB&FC's first audit report volume in April 1988.

Among the activities carried out by the LB&FC audit staff in relation to the finding areas contained in this report are as follows:

- Contacts were made with staff assigned to the Planning, Research and Statistics Division of the Department of Corrections, as well as the DOC Chief Counsel in the interest of identifying provisions of current state corrections law which may require revision or update. Contact was also made by the audit staff with the Legislative Reference Bureau and legislative staff regarding this issue area.
- The auditors met with DOC staff assigned to the Bureau of Classification Services at the central office and spoke with the managers of the various diagnostic and classification centers located throughout the state correctional system. In conjunction with the audit finding in this area, the auditors reviewed pertinent DOC policies and made a field visit to the Central Diagnostic and Classification Center located at SCI Camp Hill. In addition to participating in an orientation session conducted with newly committed inmates, the auditors sat in on several classification meetings conducted with recently classified inmates and developed an understanding of the diagnostic and classification procedure employed by the Department of Corrections.
- The auditors reviewed diagnostic center reports submitted to the DOC central office from the various DCCs. Reports were reviewed in the interest of determining timeliness of inmate processing as well as rationales provided for delayed classifications. Information developed from these reports was tabulated and analyzed by the auditors.
- Ongoing contacts were made with the Chief of the DOC's Affirmative Action Division as well as with the affirmative action officers of several other state agencies including the Pennsylvania State Police, and the Departments of Public Welfare and Transportation. Contact was also made with the Executive Director of the Pennsylvania Human Relations Commission and staff of the PA Civil Service Commission regarding minority hiring issues.
- Input was solicited from affirmative action liaisons assigned to the various state correctional institutions as well as a sampling of recently hired minority employees and selected minority organizations in the interest of developing information on the Department's affirmative action program.
- Information maintained by the DOC Affirmative Action Division including actual DOC employment vs. minimum representation targets was compiled by the auditors, tabulated, reviewed and analyzed. Additional-

ly contacts were made with the Governor's Office of Administration Bureau of Personnel's Division of Affirmative Action and Contract Compliance, as well as the EEO Administrator of the Federal Bureau of Prisons.

- Ongoing contacts with the Chief of the DOC Security, Fire and Safety Division and the newly hired Fire Safety Coordinator were maintained by the auditors. Relevant DOC policies and guidelines were reviewed in the interest of determining the nature of the Department's safety program and staff assigned to the DOC Staff Development and Training Division were contacted.

- Contact was made with the Deputy Superintendents for Operations and Safety, Sanitation and Fire Officers assigned to the various DOC state correctional institutions. Union representatives for the various DOC employee collective bargaining units were also contacted for input regarding the issue of employee safety.

- Contact was made with representatives of other state agencies including the Department of General Services Bureau of Risk and Insurance Management, the Department of Health, and the Governor's Office of Administration Personnel Management Review Division regarding employee safety issues. Contact was also made with the DOC Bureau of Human Resources for the purpose of developing accident and workers compensation benefit data.

- Contact was made by the auditors with the DOC Press Secretary and Legislative Liaison regarding the possible establishment of citizen advisory bodies to the DOC. The superintendent of SCI Dallas and the chairperson of the citizen advisory body in place at that institution were also contacted as part of the auditors' work in this area. The auditors also contacted the DOC community service center regional directors to develop information on citizen advisory groups working with community service centers located within their individual regions.

- Contacts with the correctional agencies of various selected states were also made by the auditors to develop information on safety programs, affirmative action efforts and citizen involvement mechanisms.

- The auditors met with each of the Deputy Commissioners of the PA DOC for purposes of receiving their input and comments regarding the issues dealt with in this performance audit report.

IV. APPENDIX

RESPONSE OF THE PA DEPARTMENT OF CORRECTIONS TO THIS REPORT

DAVID S. OWENS, JR.
COMMISSIONER



PENNSYLVANIA DEPARTMENT OF CORRECTIONS
P. O. BOX 598
CAMP HILL, PENNSYLVANIA 17011
(717) 975-4860

DEPUTY COMMISSIONERS
ADMINISTRATION
LEE T. BERNARD II
CORRECTIONAL SERVICES
LOWELL D. HEWITT
PROGRAMS
ERSKIND DERAMUS

June 22, 1988

Mr. Richard D. Dario
Executive Director
Legislative Budget and Finance Committee
Room 400 - Finance Building
Harrisburg, PA 17105-8737

Dear Mr. Dario:

Thank you for the opportunity to review the draft of Volume II of the Legislative Budget and Finance Committee's performance audit. I have reviewed this document with key executive staff. We are essentially in agreement with the findings you have presented.

I am assigning members of our Central Office staff responsibility for developing and implementing plans of action for improvements in the six areas highlighted in this report. I must note that several of your recommendations will require additional funding and/or changes in legislation.

I will be unable to attend the committee meeting scheduled for June 29. Deputy Bernard will represent the agency in my absence.

I wish to express my appreciation for the time and effort which your office put into this report.

Sincerely,

A large, stylized handwritten signature in black ink, appearing to read "David S. Owens, Jr.".

David S. Owens, Jr.
Commissioner

DSO/LTB/nc