



MICHIGAN

OFFICE OF THE AUDITOR GENERAL



THOMAS H. MCTAVISH, C.P.A.
AUDITOR GENERAL

“...The auditor general shall conduct post audits of financial transactions and accounts of the state and of all branches, departments, offices, boards, commissions, agencies, authorities and institutions of the state established by this constitution or by law, and performance post audits thereof.”

– Article IV, Section 53 of the Michigan Constitution

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August 24, 2006

Ms. Patricia L. Caruso, Director
Department of Corrections
Grandview Plaza Building
Lansing, Michigan

Dear Ms. Caruso:

This is our report on the follow-up of the 3 material findings (Findings 1, 3, and 4) and 5 corresponding recommendations reported in the performance audit of Hiring, Training, and Staff Development Programs, Department of Corrections (DOC). That audit report was issued and distributed in March 1997; however, additional copies are available on request or at <<http://www.audgen.michigan.gov>>.

Our follow-up disclosed that DOC had complied with all 5 recommendations.

If you have any questions, please call me or Scott M. Strong, C.P.A., C.I.A., Deputy Auditor General.

AUDITOR GENERAL

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HIRING, TRAINING, AND STAFF DEVELOPMENT PROGRAMS DEPARTMENT OF CORRECTIONS FOLLOW-UP REPORT

INTRODUCTION

This report contains the results of our follow-up of the material findings and corresponding recommendations and the agency's preliminary response as reported in our performance audit of Hiring, Training, and Staff Development Programs, Department of Corrections (DOC) (#4734096), which was issued and distributed in March 1997. That audit report contained 3 material conditions (Findings 1, 3, and 4) and 7 reportable conditions.

PURPOSE OF FOLLOW-UP

The purpose of this follow-up was to determine whether DOC had taken appropriate corrective measures in response to the 3 material findings and the 5 corresponding recommendations.

BACKGROUND

DOC's hiring, training, and staff development programs consist of various programs within DOC that are designed to implement specific training requirements. Training requirements were established in Sections 791.501 - 791.517 of the *Michigan Compiled Laws*, known as the Correctional Officers' Training Act (COTA) of 1982. COTA was enacted to improve the training and education of corrections officers. COTA also created the Correctional Officers' Training Council, which develops minimum standards and requirements for the hiring and the initial and ongoing training of corrections officers.

The mission of the hiring, training, and staff development programs, as specified by COTA and DOC policy, is to improve the initial and ongoing training and education of

corrections officers and other DOC employees, to provide for the certification of State corrections officers, and to develop training standards and requirements for corrections officers.

Within DOC, the Office of Training and Recruitment (OTR) is responsible for recruiting corrections officers, developing and providing new employee training, and providing in-service training for all DOC employees. OTR administers the new recruit training program for corrections officers. New employee training for all other employees is conducted by institutional training officers (ITOs) at the employees' job sites. Yearly in-service training for both corrections officers and non-corrections officers is conducted by the ITO at the employees' job sites.

During 2005, OTR provided approximately 1 million hours of training to approximately 17,000 DOC employees. OTR oversees the training of approximately 9,600 corrections officers, annually recertifies corrections officers who have completed the mandatory training requirements, and decertifies those corrections officers who have not completed the mandatory training requirements.

SCOPE

Our fieldwork was completed during December 2005 and January 2006. We interviewed Bureau of Human Resources personnel. We reviewed statutes, policies, procedures, new employee training programs, in-service training programs, and the Michigan Corrections Organization contract. We tested DOC's compliance with selected statutes, policies, procedures, and employee training plan requirements.

FOLLOW-UP RESULTS

EFFECTIVENESS OF PROGRAMS

RECOMMENDATIONS AND RESPONSE AS REPORTED IN MARCH 1997:

1. Continuous Quality Improvement

RECOMMENDATIONS

We recommend that DOC establish a complete continuous quality improvement process to monitor and improve the effectiveness of the training provided to corrections officers and other DOC employees.

WE AGAIN RECOMMEND THAT THE CORRECTIONAL OFFICERS' TRAINING COUNCIL EVALUATE AND REPORT ON THE EFFECTIVENESS OF TRAINING PROGRAMS TO THE GOVERNOR ON AN ANNUAL BASIS AS REQUIRED BY SECTION 791.516 OF THE *MICHIGAN COMPILED LAWS*.

AGENCY PRELIMINARY RESPONSE

DOC agreed and will comply with these recommendations. DOC will develop a process to obtain and monitor departure reasons for corrections officer trainees. DOC also will establish methods to ensure that program assessments are distributed to participants, turned in to the Training Division, and retained in accordance with DOC's retention and disposal schedule. Further, on behalf of the Correctional Officers' Training Council, DOC will comply with the second recommendation by evaluating and reporting on the effectiveness of training programs to the Governor on an annual basis.

FOLLOW-UP CONCLUSION

We concluded that DOC had complied with these recommendations.

In regard to the first recommendation, DOC had established a continuous quality improvement process to monitor and improve training provided to corrections officers and other DOC employees. As part of this process, DOC conducts departure interviews of corrections officer trainees who resign prior to graduation. DOC also conducts post-training employee surveys and reviews weapon discharge reports and critical incident reports to assess the effectiveness of the training programs and to make changes in the training curriculum.

In regard to the second recommendation, DOC now sends an annual report of corrections officers' training to the Correctional Officers' Training Council who, in turn, sends the report to the Governor. We reviewed the 2002, 2003, and 2004 annual reports submitted to the Governor from the Council during calendar years 2003, 2004, and 2005.

COMPLIANCE WITH STATUTE, RULES, POLICIES, AND PROCEDURES

RECOMMENDATION AND RESPONSE AS REPORTED IN MARCH 1997:

3. Substance Abuse Testing

RECOMMENDATION

We recommend that DOC obtain substance abuse tests from applicants seeking employment with DOC as required by statute.

AGENCY PRELIMINARY RESPONSE

DOC agreed and will comply with this recommendation pending resolution of potential legal issues to ensure that substance abuse testing of applicants is performed pursuant to provisions of civil service rules and regulations and applicable collective bargaining agreements as required by statute.

FOLLOW-UP CONCLUSION

We concluded that DOC had complied with this recommendation.

DOC issued operating procedure 02.06.110, entitled "Controlled Substance Testing of New Employee Applicants," with an effective date of December 20, 1999 to establish a standardized controlled substance abuse testing procedure for new employee applicants. Also, DOC follows Department of Civil Service regulations for new employee drug testing.

We reviewed DOC's procedures for controlled substance testing, interviewed staff, and tested new employee files to verify that DOC now conducts pre-employment controlled substance tests following conditional offers of employment for all new employee applicants who are not currently State employees. We also verified that

DOC requires confirmation that the applicants have cleared the controlled substance tests prior to hiring.

RECOMMENDATIONS AND RESPONSE AS REPORTED IN MARCH 1997:

4. Annual Training for DOC Employees

RECOMMENDATIONS

WE AGAIN RECOMMEND THAT DOC APPROVE FORMAL WRITTEN PROCEDURES FOR THE DECERTIFICATION AND RECERTIFICATION OF CORRECTIONS OFFICERS.

We also recommend that DOC ensure compliance with its policy for monitoring the annual training provided to DOC noncustody employees.

AGENCY PRELIMINARY RESPONSE

DOC agreed and is in the process of complying with the first recommendation as it has drafted a procedure regarding corrections officer certification, decertification, and recertification. DOC will also take steps to enforce compliance with its policy for monitoring the annual training provided to DOC employees.

FOLLOW-UP CONCLUSION

We concluded that DOC had complied with these recommendations.

In regard to the first recommendation, DOC issued operating procedure 02.05.101, entitled "Corrections Officer Certification, Continuing Certification, Decertification and Recertification," with an effective date of October 14, 2002 (supersedes policy issued May 1, 2000) to establish guidelines for initial certification, continuing certification, decertification, and recertification of State corrections officers as defined in Act 415, P.A. 1982, as amended. We reviewed and tested DOC's implementation of this procedure. We verified that the Office of Training and Recruitment (OTR) now monitors corrections officers' training to determine which corrections officers have met the annual training requirements for recertification and to identify those corrections officers who have not met the training requirements. We verified that the DOC director annually recertifies and decertifies corrections officers based on OTR's determination of who has and has not met the

annual training requirements. A decertified corrections officer cannot work in any position requiring custody contact until completing the outstanding training requirements. In our testing, we determined that OTR verified that decertified corrections officers had completed all outstanding training requirements prior to being recertified.

In regard to the second recommendation, DOC has developed the Training Automated Documentation System (TADS) to provide a database for recording the types of training and hours and dates of training for employees. TADS reports are separated by employee classification and provide a means for tracking progress in meeting training requirements. DOC employees use monthly TADS reports and on-line queries of TADS to monitor the completion of mandatory training requirements for non-corrections officers (both custody and noncustody employees).

