



Performance Audit

North Central Secure Treatment Unit

**Department of Public Welfare
Commonwealth of Pennsylvania**

September 2011

September 30, 2011

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

Dear Governor Corbett:

This report contains the results of a performance audit of the North Central Secure Treatment Unit of the Department of Public Welfare from July 1, 2006, to July 17, 2009. The audit was conducted under the authority provided in Section 402 of The Fiscal Code and in accordance with generally accepted government auditing standards.

The report contains six audit objectives, along with an audit scope and methodology for each objective. Overall, we present eight findings, three of which we note for you here: In Finding 1, we explain that North Central did not comply with procedures for internally investigating incidents of alleged abuse; in Finding 2, we explain that North Central did not have internal investigation policies for major disturbances; and in Finding 6, we discuss the fact that North Central was not required to follow staffing guidelines but did so on its own. For each of those findings, we have made an accompanying recommendation.

We discussed the contents of the report with North Central Secure Treatment Unit officials, whose comments are reflected in the report.

Sincerely,

JACK WAGNER
Auditor General

**North Central Secure Treatment Unit
Department of Public Welfare**

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Department of Public Welfare***Background
Information**Pennsylvania Department of the Auditor General
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**Background
Information****Department of Public Welfare – Office of Children,
Youth and Families***History, mission,
and operating
statistics*

The Office of Children, Youth and Families was established in 1980 as a distinct office within the Department of Public Welfare, and at the time of this audit fell under the Deputy Secretary for Children, Youth and Families.¹ According to the website for Office of Children, Youth and Families, “Pennsylvania’s child welfare system is county-administered and state-supervised.”² The website further explains that child welfare and juvenile justice services are organized, managed, and delivered by county children and youth agencies and county juvenile probation offices. The Office of Children, Youth and Families includes the following Bureaus:

- The Bureau of Budget and Program Support: provides support functions, which includes: budgeting; personnel; management of federal grants and revenue; fulfillment of need-based budget mandates; and administrative, financial and operational support. Leadership is also provided during program reviews and state / federal audits as well as setting fiscal policy related to allowable state and federal expenditures at the county level, and related state and Title IV-B and IV-E expenditures at the program level.³
- The Bureau of Child Welfare Services: monitors the delivery of services by county and private children and youth social service agencies throughout the Commonwealth.⁴ The Division of Licensing within the Bureau of Child Welfare Services is responsible for the regulation of public and private children and youth agencies; foster care agencies; adoption agencies; and child residential and day treatment facilities,

¹ Commonwealth of Pennsylvania, Governor’s Office, Executive Board Resolution Number OR-94-055, dated April 5, 1994.

² <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/index.htm>, viewed on May 23, 2011.

³ <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/bureauofbudgetandprogramsupport/index.htm>, viewed on May 23, 2011.

⁴ <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/bureauofchildwelfareservices/index.htm>, viewed on May 23, 2011.

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including residential services, secure care, secure detention, transitional living, outdoor, mobile, day treatment, and secure residential, that operate in the Commonwealth of Pennsylvania.⁵

- The Bureau of Policy and Program Development: develops and publishes program procedures and directives governing child welfare activities in the Commonwealth related to the administration of public and private children and youth agencies, foster family care, adoption, child residential and day treatment programs; and child protective services. This bureau also operates the *ChildLine*, a toll-free hotline for reporting child abuse and the *Abuse Registry*, a system of child abuse data that is current and organized for use in required reporting documents, such as the annual *Child Abuse Report*, and special child abuse studies.⁶
- The Bureau of Juvenile Justice Services: responsible for the management, operations, program planning and oversight of all the youth development center/youth forestry camp facilities.⁷

Bureau of Juvenile Justice Service

In 1956, the General Assembly authorized the Department of Public Welfare to establish and operate youth forestry camps and in 1959 to establish and operate youth development centers.⁸ The Department of Public Welfare established the Bureau of State Children and Youth Programs within the Office of Children, Youth and Families in 1988⁹ to administer the youth development center/youth forestry camp system. The Bureau of State Children

⁵ <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/bureauofchildwelfare/services/index.htm>, viewed on May 23, 2011.

⁶ <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/bureauofpolicyandprogramdevelopment/index.htm>, viewed on May 23, 2011.

⁷ <http://www.dpw.state.pa.us/dpworganization/officeofchildrenyouthandfamilies/bureauofjuvenilejusticeservices/index.htm>, viewed on May 23, 2011.

⁸ General Assembly of the Commonwealth of Pennsylvania, Joint State Government Commission, Services to Troubled Youth – A Review and Recommendations, Dated March 1975, Section Juvenile Justice System, subsection 3 Pennsylvania Institutions for Children, page 9, paragraph 2.

⁹ Commonwealth of Pennsylvania, Governor's Office, Executive Board Resolution Number OR-88-190, dated August 24, 1988.

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and Youth Programs' name was officially changed to the Bureau of Juvenile Justice Services in 2009.¹⁰

The Bureau of Juvenile Justice Services is responsible for the management, operations, program planning, and oversight of two youth development centers, two youth forestry camps, and three secure treatment units. The seven facilities follow: the Loysville Youth Development Center, the Youth Development Center at New Castle, Youth Forestry Camp No. 2, Youth Forestry Camp No. 3, the South Mountain Secure Treatment Unit, the North Central Secure Treatment Unit, and the Cresson Secure Treatment Unit, which is a contracted unit.

North Central Secure Treatment Unit

The North Central Secure Treatment Unit, referred to in this report as North Central, was established in January 1979, and at the time of our audit, consists of four buildings located on the grounds of Danville State Hospital in Montour County.

North Central provides secure treatment programming for adjudicated delinquent males and females. According to the website for North Central, the unit "offers a wide range of programs and services designed to meet the diverse needs of its male and female youth." The specific programs follow:

- The Substance Abuse Program is designed for the care and treatment of serious and chronic adjudicated delinquent youth with substance abuse issues. Treatment is built upon "A New Direction" curriculum that addresses the multiple issues that lead to substance abuse and criminal behavior.
- The General Secure Program is designed for the care and treatment of general delinquency juvenile male offenders. The General Secure Program also uses components of "A New Direction" curriculum since the material is also applicable to the general delinquency population, yet the

¹⁰ Commonwealth of Pennsylvania, Governor's Office, Executive Board Resolution Number OR-09-244, dated September 9, 2009.

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foundation of the program remains a cognitive behavioral and strengths based approaches.

- The Mental Health/Mental Retardation Program serves the chronic offender who has an IQ of 80 and below, and who possesses no significant deficits in adaptive behavior patterns. The program is designed to enhance the youth's self-esteem and promote a positive identity. This is accomplished through reinforcing those skills and abilities that the youth already possesses, providing him with successful experiences and allowing him to make choices.
- The Girls Program provides gender specific treatment services to adjudicated delinquent female youth. The program provides a safe, supportive environment, while encouraging and empowering young women to lead healthy lifestyles that promote dignity, integrity and responsibility. The program provides effective services for a specialized population of girls who require the highest level of care.¹¹

The educational program at North Central is provided through the Central Susquehanna Intermediate Unit #16. The school offers vocational and life skills education, to include a Culinary Arts/Food Management Program. North Central's school is an approved GED and SAT testing site.¹²

A limited number of youth are also afforded an opportunity to participate in paid work training programs that enable restitution to be paid. More specifically, North Central has twelve paid "Work Training Programs" designed to teach youth job skills and provide for a means of restoring victims through restitution payments.¹³

The following schedule presents selected unaudited North Central operating statistics compiled for the fiscal years ended June 30, 2007, and June 30, 2008:

¹¹ <http://www.dpw.state.pa.us/forchildren/juvenilejustice/juvenilejusticenorthcentralsecurereatmentunit/index.htm>, viewed on May 23, 2011.

¹² Ibid.

¹³ <http://www.dpw.state.pa.us/forchildren/juvenilejustice/juvenilejusticenorthcentralsecurereatmentunit/index.htm>, viewed on May 23, 2011.

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	Using rounding	
	2007	2008
Direct operating expenditures¹⁴		
Personnel	\$10,240,686	\$11,018,435
Other operating	<u>3,335,881</u>	<u>3,036,021</u>
Total direct operating expenditures	<u>\$13,576,567</u>	<u>\$14,054,456</u>
Salary employee complement		
Filled positions at fiscal year end	180	183
Vacant positions at fiscal year end	<u>39</u>	<u>36</u>
Total employee complement	<u>219</u>	<u>219</u>
Youth population at fiscal year end		
Boys	80	99
Girls	<u>22</u>	<u>24</u>
Total youth population	<u>102</u>	<u>123</u>
Bed capacity at fiscal year end		
Boys	97	89
Girls	<u>30</u>	<u>30</u>
Total bed capacity at fiscal year end	<u>127</u>	<u>119</u>

¹⁴ The North Central Secure Treatment Unit does not perform all of its own accounting and other administrative functions; instead it is treated as a satellite of the Loysville Youth Development Center for these purposes. The direct costs reported here include only the direct costs of the North Central Secure Treatment Unit, and do not include adjusting journal entries and other allocations of administrative costs from the Loysville Youth Development Center and from other Department of Public Welfare locations.

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	Using rounding	
	2007	2008
Youth days of care		
Boys	27,700	26,689
Girls	<u>5,757</u>	<u>9,542</u>
Total youth days of care	<u>33,457</u>	<u>36,231</u>
Available days of care ¹⁵		
Boys ¹⁶	35,405	34,677
Girls	<u>10,950</u>	<u>10,950</u>
Total available days of care	<u>46,355</u>	<u>45,627</u>
Percent utilization ¹⁷		
Boys	78.2%	77.0%
Girls	52.6%	87.1%
Direct cost per youth per day ¹⁸	\$405.79	\$387.91

¹⁵ Available days of care were determined by multiplying bed capacity by the number of calendar days per year, except for 2008 Boys capacity as defined at footnote 16.

¹⁶ The 2008 Boys capacity was reduced due to reformatting of the programs (Jackson building closed, Ravine Academy moved to Admissions, Green Building acquired the Mental Health/Mental Retardation population). Also, occupancy codes were changed in the system in April 2008. In addition, the Ravine Community Reintegration Program was dropped resulting in a loss of 6 beds, and the Farmhouse Community Reintegration Program capacity was dropped from 6 to 4 boys. As a result, the 2008 Boys capacity was equal to 34,677 days (274 days calculated at a 97 youth capacity and 91 days calculated at an 89 youth capacity).

¹⁷ Percent utilization was determined by dividing actual days of care by available days of care.

¹⁸ Direct cost per youth is calculated by dividing total direct operating expenditures by total days of care. This cost is different from a per diem cost, which excludes expenditures paid with federal appropriations, and includes accrued costs and allocations of overhead costs from the Loysville Youth Development Center and other Department of Public Welfare locations. A final per diem cost is calculated by the Department of Public Welfare, and is subject to certification by the Department of the Auditor General. The Department of the Auditor General releases certification reports under separate cover.

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**Audit
Objectives**

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

Our performance audit of the North Central Secure Treatment Unit contains six objectives. We selected the audit objectives from the following areas: incidents of abuse and other disturbances, expense transactions, employee training, staffing requirements, lines of communication and management oversight, and staff complaints. The specific audit objectives were as follows:

- One - To determine if North Central established procedures for documenting and reporting incidents of abuse and other major disturbances at the center in accordance with Department of Public Welfare policy. (Findings 1, 2, and 3)
- Two - To determine if North Central complied with purchasing policy and procedures. (Finding 4)
- Three - To determine if North Central provided new employees with training that complies with Department of Public Welfare and North Central's guidelines. (Finding 5)
- Four - To determine whether North Central assigned sufficient staff to selected shifts. (Finding 6)
- Five - To assess the effectiveness of the lines of communication in place at North Central, and to evaluate management's effectiveness in overseeing the activities of the unit. (Finding 7)
- Six - To determine if North Central established procedures for documenting and reporting staff complaints and concerns,

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and to determine if North Central took appropriate actions in response to those complaints and concerns. (Finding 8)

The scope of the audit was from July 1, 2006, to July 17, 2009, unless indicated otherwise.

To accomplish our objectives, we obtained and reviewed records and analyzed pertinent policies, agreements, and guidelines of the Commonwealth and the Department of Public Welfare. In the course of our audit work, we interviewed various facility management, staff and others. The audit results section of this report contains the specific inquiries, observations, tests, and analysis conducted for each audit objective.

Since this was the first time we conducted a performance audit at North Central, we had no prior audit issues to address in this report.

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Audit Results

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Audit Results

In the pages that follow, we have organized our audit results into the following sections, which are organized as follows under each objective:

- Statement of the objective.
- Audit scope in terms of period covered, types of transactions reviewed, and other parameters that define the limits of our audit.
- Relevant laws, policies, or agreements.
- Methodologies used to gather sufficient evidence to meet the objective.
- Finding(s) and conclusion(s), where applicable.
- Recommendations, where applicable.
- Response by the North Central Secure Treatment Unit management, where applicable.
- Our evaluation of the North Central Secure Treatment Unit management's response, where applicable.

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Incidents of Abuse
and Other Major
Disturbances*

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**Audit Results
for
Objective
One**

The objective

Objective one for our performance audit was to determine if North Central established procedures for documenting and reporting incidents of abuse and other disturbances at the center in accordance with Department of Public Welfare policy.

*Incidents of Abuse
and Other Major
Disturbances*

Scope of our audit work

We reviewed allegations of abuse and incidents of major disturbance, and selected employee training records from July 1, 2006, to December 31, 2008.

Relevant laws, policies, or agreements

The Bureau of Juvenile Justice Services (formerly the Bureau of State Children and Youth Programs) is responsible for ensuring the safety, security, and well-being of residents and employees of North Central. To ensure the safety, security, and well-being of residents, the Bureau of Juvenile Justice Services' policy and procedures manual requires all incidents of alleged abuse to be reported and investigated.¹⁹

The Bureau of Juvenile Justice Services defines an incident as an extraordinary, unexpected, or suspicious occurrence, which may impact residents, visitors, volunteers, employees, the physical plant, or the community, and/or may have the potential for media involvement.²⁰

¹⁹ The Bureau of Juvenile Justice Services has not changed the bureau name from the Bureau of State Children and Youth Programs on all its policies and procedures. Therefore the applicable policy is Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 1.06, Section: Program Management, Titled: Reporting and Investigating Alleged Child/Resident Abuse, dated February 20, 2004.

²⁰ Department of Public Welfare, Bureau of Juvenile Justice Services, Policy and Procedure Manual Number 1.03, Section: Program Management, Automated Intake and Incident Reporting System, dated October 31, 2005.

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The Bureau of Juvenile Justice Services policy and procedures manual²¹ requires all employees to independently enter any/all information prior to leaving their shift for any incident that they witnessed, have knowledge of, or in which they were a participant, into an automated intake and incident reporting system. In addition, if a restraint of any type is used, the Bureau of Juvenile Justice Services' policy and procedures manual requires the following information:

Employees must document the time the manual restraint began and the duration of the procedure in the unit/cottage communication log, the Incident Reporting System, and the Restrictive Procedure Log.²²

Employees must be trained in Safe Crisis Management prior to administering any restraint technique.²³

As part of the training requirements, an employee must complete both a written and physical skills test. North Central has established protocol for requiring immediate verbal notification to the facility director or designee when incidents of alleged abuse and/or other disturbances occur. In addition, all incidents of alleged abuse must be reported to ChildLine,²⁴ which is the central clearinghouse for all investigative reports. ChildLine immediately notifies the Montour County Children and Youth Agency to begin an investigative procedure and initiate a written safety plan. The Bureau of Juvenile Justice Services also requires North Central to begin an internal investigation of incidents of alleged abuse.²⁵

²¹ Ibid.

²² Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 6.01, Section: Behavior Management, Titled: Restrictive Procedures issued February 20, 2004.

²³ Ibid.

²⁴ Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 1.06, Section: Program Management, Titled: Reporting and Investigating Alleged Child/Resident Abuse, issued February 20, 2004.

²⁵ Ibid.

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Finally, the Department of Public Welfare's personnel manual provides further guidance on handling abuse incidents.²⁶

Methodologies to meet our objective

To establish our understanding of Department of Public Welfare policies and Bureau of Juvenile Justice Services' policies and North Central requirements for handling incidents of abuse and other major disturbances, we reviewed the policies and procedures as referenced in the above summary of relevant policies.

We interviewed the North Central director, program managers, youth development counselor manager, and human resource manager, the Loysville Youth Development Center manager, and the director of the Montour County Children & Youth Agency.

We reviewed the communication log, incident reporting system, and restrictive procedure log, and the automated intake and incident reporting system user guide.

We selected 22 of 80 incidents of alleged abuse that occurred during the period from July 1, 2006, to December 31, 2008, and tested 19 of 80 incidents of alleged abuse (2 of the incidents were withdrawn and 1 was under investigation at the time of our audit), or 24 percent of the incidents, to ascertain if the incidents of alleged abuse were properly reported and investigated.

We also tested 100 percent of the training records for the 39 employees who used restraints to ensure they were trained in safe crisis management as required by policy for the period from July 1, 2006, to December 31, 2008.

Finally, we reviewed 4 of 22 incidents of major disturbance, 18.1 percent of the incidents, to ensure that these incidents were reported and investigated.

²⁶ Department of Public Welfare, Personnel Manual, Section 7181 Patient/Individual Abuse, reissued June 22, 1995.

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*Audit Results:
Incidents of Abuse
and Other Major
Disturbances*

Finding 1**The North Central Secure Treatment Unit did not comply with procedures for internally investigating incidents of alleged abuse.**

We randomly selected 19 incidents of alleged abuse for further investigation. Our purpose was to test for compliance with Bureau of Juvenile Justice Services' policy for conducting internal investigations and preparing comprehensive reports about the results of the internal investigations. The Bureau of Juvenile Justice Services' policy²⁷ states as follows: "All agencies... will report and independently investigate any allegation of resident abuse."²⁸

The policy also outlines the investigation process as follows:

The director or designee will immediately commence an internal investigation or instruct trained management employees to conduct an investigation immediately. The internal investigation is not in lieu of the county children and youth agency investigation and is conducted to determine adherence to policies and procedures.²⁹

Our audit found that 13 of the 19 incidents selected for further investigation of alleged abuse were not internally investigated as required. Without an internal investigation, there can be no plan of action to protect the victim and other residents from further abuse by the perpetrator.

We did find that all incidents of abuse were reported to the Montour County Children and Youth Agency through ChildLine, and that a safety plan was implemented at North Central.

²⁷ Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 1.06, Section: Program Management, Titled: Reporting and Investigating Alleged Child/Resident Abuse, issued February 20, 2004.

²⁸ Ibid.

²⁹ Ibid.

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The Bureau of Juvenile Justice Services' policy also requires the following actions:

It is the responsibility of the designated investigator to prepare a comprehensive report that will be submitted to the director within 24 hours after completion of the investigation. At the conclusion of the investigation, the alleged perpetrator will be advised of the findings. This report will be kept on file in the director's office and maintained in the archives³⁰

Internal investigations *were* conducted for the remaining six incidents in our sample. We did find, however, that two of the six did not have documentation verifying that a comprehensive report was submitted to the director, and none of the six had documentation to show that a meeting was held with the alleged perpetrator after the investigation and report were completed.

**Recommendation
for Finding 1**

1. The North Central Secure Treatment Unit should comply with the policies and procedures of the Bureau of Juvenile Justice Services regarding the independent investigation and preparation of a comprehensive written report for all allegations of resident abuse.

*Response from North Central Secure Treatment Unit
management:*

North Central Secure Treatment Unit management will take steps to ensure future compliance with the Bureau of Juvenile Justice Services' policy governing procedures for internally investigating incidents of alleged abuse.

³⁰ Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 1.06, Section: Program Management, Titled: Reporting and Investigating Alleged Child/Resident Abuse, issued February 20, 2004.

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Finding 2

The North Central Secure Treatment Unit did not have internal investigation policies for major disturbances.

Although we found policies of the Bureau of Juvenile Justice Services for incidents of *alleged abuse*, we found no policies and procedures requiring a formal internal investigation of a *major disturbance*, which is defined by that Bureau as “three or more residents involved in the same incident.”³¹

According to management of the North Central Secure Treatment Unit, it did investigate incidents of disturbance. However, in reviewing incident files for four such major disturbances at the facility, we found that three of the four incidents did not have internal investigation reports included in the files.

Without a formal policy for investigating and reporting the results of internal investigations, North Central’s efforts to determine the causes of the major disturbances are not consistent. Furthermore, without an internal investigation and an accompanying report, no reliable plan of action can be established to protect residents or staff from further disturbances.

**Recommendation
for Finding 2**

2. Absent a direct policy for investigating and reporting major disturbances, the North Central Secure Treatment Unit should follow the Bureau of Juvenile Justice Services’ criteria for investigating and reporting incidents of alleged abuse.

*Response from North Central Secure Treatment Unit
management:*

North Central management stated that in the absence of direct policies and procedures requiring a formal internal investigation of major disturbances, they will take steps to ensure future compliance with the BJJS [Bureau of Juvenile

³¹ Department of Public Welfare, Bureau of Juvenile Justice Services, Policy and Procedure Manual Number 1.03, Section: Program Management, Titled: Automated Intake and Incident Reporting System Appendix C, Incident Classification Definitions revised July 8, 2005, issued on October 31, 2005.

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*Justice Services] policy governing procedures for internally
investigating incidents of alleged abuse.*

Finding 3

**The North Central Secure Treatment Unit had
documentation to show that its employees were trained in
safe crisis management techniques.**

For the period from July 1, 2006, to December 31, 2008, we tested 100 percent of the training records for the 39 employees who used restraints on residents. Our purpose was to test for compliance with the Bureau of Juvenile Justice Services' policy on training stated as follows: "Employees must be trained in Safe Crisis Management prior to administering any restraint technique."³² Employees who used restraints were required to complete both a physical and written test.

In reviewing the training records of all 39 employees, we found that each employee's file contained both a written and physical skills test certificate for safe crisis management techniques.

³² Department of Public Welfare, Bureau of State Children and Youth Programs, Policy and Procedure Manual Number 6.01, Section: Behavior Management, Titled: Restrictive Procedures, issued February 20, 2004.

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General
Expenditures*

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**Audit Results
for
Objective
Two**

The objective

Objective two for our performance audit was to determine if North Central complied with purchasing policy and procedures.

Scope of our audit work

*General
Expenditures*

We examined expenditure transactions from the fiscal years ended June 30, 2007, and June 30, 2008.

Relevant laws, policies, or agreements

North Central operates under the jurisdiction of the Bureau of Juvenile Justice Services and follows that bureau's purchasing policy and procedure. The Bureau of Juvenile Justice Services' purchasing policy was developed in 2008 to ensure operational and budgetary efficiency by establishing a regular process for all purchase requests.³³ Purchases must have either a completed and approved agency purchase request form or a completed and approved Supplier Relationship Management system order. The Bureau of Juvenile Justice Services' purchasing policy provides specific procedures designed to enhance the Commonwealth's procurement policy.

The Commonwealth of Pennsylvania also has a Field Procurement Handbook that continues to govern procurement in the Commonwealth of Pennsylvania.³⁴

Methodologies to meet our objective

To establish our understanding of Commonwealth of Pennsylvania and Bureau of Juvenile Justice Services' procurement policies, we reviewed the Field Procurement Handbook and the purchasing

³³ Department of Public Welfare, Bureau of Juvenile Justice Services, Purchasing Policy and Procedure, issued December 17, 2008.

³⁴ Commonwealth of Pennsylvania, Governor's Office Manual M215.3 Revision No. 4, Field Procurement Handbook, issued April 17, 2003.

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policy and procedure as referenced in the above summary of relevant laws, or policies.

We interviewed the Bureau of Juvenile Justice Services' facility financial manager to obtain an understanding of the implementation of the handbook and policy.

Using auditors' professional judgment, we selected 60 out of 3,293 transactions from the fiscal years ended June 30, 2007, and June 30, 2008, from the following budget areas:

- | | |
|-------------------------|----------------------------|
| ✓ Travel | ✓ Office supplies |
| ✓ Educational supplies | ✓ Other computer equipment |
| ✓ Wearing apparel | ✓ Specialized services |
| ✓ Housekeeping supplies | ✓ Miscellaneous |
| ✓ Motorized equipment | |

Finding 4**The North Central Secure Treatment Unit complied with procurement policy.**

For 60 selected expenditure transactions, we examined the files for evidence of supporting documentation such as an agency purchase request form (APR), purchase order, invoice, receiving documentation, and relevant journal entries in the accounting system. We also looked for evidence of required approvals.

According to the Bureau of Juvenile Justice Services' policy, APR's are required to be prepared by the requestor and approved by their immediate supervisor and then forwarded to the proper work area supervisor for approval. In our detailed review of the supporting information pertaining to the 16 expenditure transactions that required an APR form, we found that the transactions selected for audit were processed in accordance with the Bureau of Juvenile Justice Services' policy.

We also selected 31 purchases that used a Supplier Relationship Management (SRM) order. According to policy of the Bureau of

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Juvenile Justice Services, orders placed in the SRM system must be routed for approval to appropriate supervisory personnel. We found that all 31 purchases were supported by a requisition, the transactions were approved, and the SRM orders were processed in accordance with the Bureau of Juvenile Justice Services' policy.

Finally, we examined the supporting documentation for 13 journal entries posted to the accounting system. All journal entries included detailed descriptions, were properly supported, and were approved for posting to the accounting system.

Overall, our testing determined that all 60 transactions selected for audit had supporting documentation such as the purchase order, receiving report or other determination of proper receipt, and the required signatures for payment approval and posting to the accounting system.

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New Employee
Orientation
Training*

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**Audit Results
for
Objective
Three**

The objective

Objective three for our performance audit was to determine if North Central provided new employees with training that complied with Department of Public Welfare and North Central's guidelines.

Scope of our audit work

*New Employee
Orientation
Training*

North Central hired 122 new staff in the 30 month period from July 1, 2006, to December 31, 2008. North Central's new employees were required to receive new employee orientation training. We used that population to select a group of employees for testing.

Relevant laws, policies, or agreements

North Central's new employee orientation training is conducted by the Eastern Region Training Unit, which is under the jurisdiction of the Bureau of Juvenile Justice Services. The orientation training conducted by the Eastern Region Training Unit incorporates training requirements from all of the following sources: the Pennsylvania Code,³⁵ a Governor's management directive,³⁶ the Department of Public Welfare personnel manual,³⁷ and the Bureau of Juvenile Justice Services' policy and procedure manual.³⁸ The Pennsylvania Code specifically requires an employee to receive at least 30 hours of training within 120 days after the calendar day of hire.

³⁵ The Pennsylvania Code, Chapter 3800 Child Residential and Day Treatment Facilities, Section 3800.58 Staff Training.

³⁶ The Commonwealth of Pennsylvania, Governor's Office Management Directive 535.1 Amended, Employee Training and Development, dated February 9, 2000.

³⁷ Department of Public Welfare, Personnel Manual, 7124 In-Service Training, Section 7124.1B Orientation Program, issued May 12, 1995, and reissued February 19, 1999.

³⁸ Department of Public Welfare, Bureau of Juvenile Justice Services, Policy and Procedures, Section: Employee Development, Title: Employee Development and Training Manual 10.02, dated January 9, 2008.

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Orientation
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Methodologies to meet our objective

To establish our understanding of the policies and procedures for new employee orientation training, we reviewed the Pennsylvania Code, Governor's directive, Department of Public Welfare, and Bureau of Juvenile Justice Services' orientation training requirements as referenced in the preceding summary of relevant codes or policies.

We interviewed the Human Services Program Specialist Supervisor from the Eastern Region Training Unit and the Human Resources Analyst II from the Bureau of Juvenile Justice Services to establish our understanding of the implementation of the new employee orientation training requirements.

Using our professional judgment, we selected 25 employees from the 122 new employees (20 percent) hired between July 1, 2006, and December 31, 2008. We then examined the training files for the 25 new employees and tested for compliance with new employee orientation training requirements.

Finding 5**The North Central Secure Treatment Unit ensured that new employees received the required orientation training.**

The hiring of 122 employees at North Central between July 1, 2006, and December 31, 2008, required an extensive commitment to provide new employee orientation training.

In auditing the training files for the 25 employees involved in our examination, we found that North Central provided 24 of the 25 with 75 hours of orientation training within 120 calendar days of hire. All the employee files contained supporting documentation of the 75 hours of training, which was 45 hours above the 30 hours required by the Pennsylvania Code.

Although the remaining employee was repeatedly excused from the required training by management, that employee did ultimately

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receive the 75 hours of training as well, according to the training file.

Facility management explained that new employees received the additional 45 hours of non-mandated training to enhance their skills in providing quality services to residents. The additional hours included training in such areas as gang awareness, listening skills, and diversity.

With a 96 percent compliance rate on timeliness (24 of 25 employees) and a 100 percent compliance rate on training (25 of 25 employees) beyond the required 30 hours, we concluded that North Central provided the necessary new employee orientation training.

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Requirements*

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**Audit Results
for
Objective
Four**

The objective

Objective four for our performance audit was to determine whether North Central assigned sufficient staff to selected shifts.

Scope of our audit work

*Staffing
Requirements*

We selected 59 weekly shift schedules from the 30 month period beginning on July 1, 2006, through December 31, 2008.

Relevant laws, policies, or agreements

North Central provides secure treatment programming through four secure care programs, which include a Substance Abuse, General Secure, Mental Health/Mental Retardation, and Girls Program. Also, North Central operates a non-secure care program through its community reintegration program. Individuals committed to North Central are housed in four buildings located on the grounds of Danville State Hospital. North Central is responsible for the diverse needs of its residents, and must ensure that it has sufficient staff levels available at all times.

The Department of Public Welfare's Bureau of Juvenile Justice Services, the statewide overseer of child welfare services and youth development centers, has mandated staffing ratios for private providers contracted by the state. Chapter 3800, Child Residential and Day Treatment Facilities, of the Pennsylvania Code dealing with public welfare established requirements for staff levels for private providers of child residential facilities and secure care facilities contracted by the state.³⁹ For facilities providing secure care, the Pennsylvania code specifies the following requirement:

There shall be one child care worker present with the children for every six children during awake hours. There shall be one child care worker present

³⁹ 55 Pa. Code, § 3800.51-58, Staffing, and § 3800.274, Additional requirements.

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with the children for every 12 children during sleeping hours.⁴⁰

For non-secure treatment programs similar to North Central's community reintegration program, the Pennsylvania code also specifies the following requirement:

There shall be one child care worker present with the children for every eight children during awake hours. There shall be one child care worker present with the children for every 16 children during sleeping hours.⁴¹

Methodologies to meet our objective

To establish our understanding of the regulations governing private providers of child residential facilities and secure care facilities contracted by the state, we reviewed the provisions of Title 55, Chapter 3800 for staff levels as referenced in the above summary of relevant codes and policies.

We interviewed the North Central Director and the youth development counselor managers to obtain an understanding of the staff assignments.

We examined weekly sign-in sheets and resident census reports related to 59 shift schedules selected at random from the shift schedules for the period from July 1, 2006, to December 31, 2008.

Finding 6

North Central Secure Treatment Unit officials followed state staffing guidelines even though they were not required to do so.

The Department of Public Welfare's Bureau of Juvenile Justice Services, the statewide overseer of child welfare services and

⁴⁰ 55 Pa. Code, § 3800.55, "Child Care Worker."

⁴¹ 55 Pa. Code, § 3800.274, "Additional requirements."

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youth development centers, has mandated staffing ratios for private providers contracted by the state.⁴² At the same time, these regulations do not apply to state-run child residential facilities. The Pennsylvania Code specifically includes the following exemption: “This chapter does not apply to the following: Child residential and child day treatment facilities operated directly by the Department of Welfare.”⁴³

Our audit of 59 shift schedules at North Central showed that, on one hand, the staff assignment levels did reflect the staffing required by the state code. On the other hand, as mentioned previously, North Central was not required to follow these staff level requirements.

If facilities run by the Department of Public Welfare—including the North Central Secure Treatment Unit—are not *required* to have the same staff levels as the facilities run by private providers, there is the potential for staff levels at the former facilities to be less than optimal (e.g., haphazard scheduling, a failure to be diligent in providing sufficient replacement staff, and overall decreased accountability), thus jeopardizing the safety of residents and staff.

**Recommendation
for Finding 6**

3. Absent specific requirements from the Bureau of Juvenile Justice, North Central Secure Treatment Unit should document that it will adopt the same staffing ratios as private providers.

*Response from North Central Secure Treatment Unit
management:*

In regards to the Staffing finding, it has been and continues to be our understanding that while Department youth development centers/youth forestry camps are exempt from the licensing process outlined in 55 Pa. Code § 3800, “Child Residential and Day Treatment Facilities”, it has been and continues to be the Department’s intent to apply the same

⁴² 55 Pa. Code, § 3800.51-58, Staffing, and § 3800.274, Additional requirements.

⁴³ 55 Pa. Code, § 3800.3(1), Exemptions.

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*standards to its facilities as those applied to private facilities.
As a result, North Central Secure Treatment Unit applies the
standards in establishing staffing ratios and consistently
meets and/or exceeds the minimum staffing ratios as per the
3800 Regulations.*

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Lines of
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**Audit Results
for
Objective
Five**

The objective

Objective five for our performance audit was to assess the effectiveness of the lines of communication in place at North Central, and to evaluate management’s effectiveness in overseeing the activities of the treatment unit.

*Lines of
Communication*

Scope of our audit work

We reviewed the complement report for 2008 and conducted interviews with selected levels of management in that complement report.

Relevant laws, policies, or agreements

Clear communication is essential to ensure a safe, secure, and productive environment for any facility to operate efficiently. A structured form of communication throughout the organization will help facilitate quality supervision in treatment programs for residents, as well as improve the professional development of direct care staff, maintenance, and administrative support staff.

The Bureau of Juvenile Justice Services’ Policy and Procedure Manual includes requirements for reporting incidents and establishes responsibility for internal verbal notifications and external verbal notifications.⁴⁴

Methodologies to meet our objective

To establish our understanding of the requirements for maintaining lines of communication, we reviewed the North Central complement report for 2008, and the Bureau of Juvenile Justice Services Policy and Procedure Manual as referenced in the preceding summary of relevant policies.

⁴⁴ Department of Public Welfare, Bureau of Juvenile Justice Services, Policy and Procedure Section: Program Management, Manual Number 1.03, “Automatic Intake and Incident Reporting System,” issue date October 31, 2005.

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We interviewed the Regional Director of the Eastern Region of the Bureau of Juvenile Justice Services. We also interviewed the North Central program directors for the substance abuse program and for the mental health/mental retardation, and girls program. Next, we interviewed other North Central employees including, a youth development counselor manager, a youth development counselor supervisor, a youth development counselor, a youth development aide supervisor, a youth development aide, the maintenance supervisor, and the safety supervisor. Our interviews were conducted to obtain an understanding of the lines of communication at North Central.

We also reviewed the North Central organization chart as of February 24, 2009, and minutes from administrative meetings, such as the Functional Safety and Management Committee Meeting from July 2008 through June 2009, and the Labor Management Meetings from July 2007 through May 2009.

Finding 7**The North Central Secure Treatment Unit established lines of communication between multiple programs housed on the campus.**

Based on our audit work, we found that North Central management recognized the need for communication between the multiple programs housed on the North Central campus, as well as between management and union employees. The importance of verbal notification of incidents was reinforced in a Bureau of Juvenile Justice Services' internal memo from 2007, which required verbal notification to each level of management for incidents occurring at the facility. All employees we interviewed said they followed the same procedures in the event of reporting an incident or critical concern.

We identified the following methods that North Central has established to enable its lines of communication:

- Monthly meeting between facility directors and all program discipline supervisors.

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- Weekly leadership conference calls between bureau directors and regional directors.
- Weekly meetings between regional directors and facility directors.
- Weekly meetings between facility directors and each individual program discipline supervisor, including the program supervisor, maintenance supervisor, school supervisor, dietary supervisor, health services supervisor, training supervisor, state court unit supervisor and counseling center supervisor.
- Weekly staff meetings between management and union employees with at least one meeting being mandatory every month.
- Daily staff shift change meetings.
- Staff members' use of the automated intake and incident reporting system; also use of log books to record and disseminate information about incidents and issues.
- Staff members' use of handheld radios for immediate contact with other staff and the facility has an overhead paging system.

For incidents of miscommunication that do occur, North Central officials noted that they continually review such incidents in order to further develop and improve overall communications.

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**Audit Results
for
Objective Six**

Staff Complaints

The objective

Objective six for our performance audit was to determine if North Central established procedures for documenting and reporting staff complaints and concerns, and to determine if North Central took appropriate actions in response to those complaints and concerns.

Scope of our audit work

We reviewed the 41 grievances filed during the period from July 1, 2007, through April 13, 2009, and performed a detailed analysis of a sample of 12 of those grievances.

Relevant laws, policies, or agreements

North Central had 219 approved complement positions as of June 29, 2009, and 195 positions were represented by four different unions. The American Federation of State, County and Municipal Employees (AFSCME), Pennsylvania Social Services Union (PSSU), Office of Professional Employees International Union (OPEIU), and Service Employees International Union (SEIU) represent the rights of North Central employees when a formal grievance is filed.

The Department of Public Welfare has established a formal policy for grievances.⁴⁵ The applicable collective bargaining unit agreements⁴⁶ outline the formal process for North Central staff to follow in order to lodge complaints and concerns in the form of a grievance and establish procedures utilized for a timely investigation and resolution.

⁴⁵ Department of Public Welfare, Personnel Manual, Section 7176 "Grievances," issued July 15, 1998.

⁴⁶ Master Agreement between Commonwealth of Pennsylvania and Council 13, American Federation of State, County and Municipal Employees, AFL-CIO; July 1, 2007, to June 30, 2011.

Agreement between Commonwealth of Pennsylvania and PSSU Local 668 SEIU Pennsylvania Social Services Union; July 1, 2007, to June 30, 2011.

Agreement between Commonwealth of Pennsylvania and the Service Employees International Union, District 1199P, CTW, CLC; July 1, 2007, to June 30, 2011.

Memorandum of Understanding between Commonwealth of Pennsylvania and OPEIU Healthcare Pennsylvania, Local 112 for July 1, 2007, to June 30, 2011.

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In addition, the Bureau of Juvenile Justice Services has a policy for managing complaints and requires a timely investigation of all complaints.⁴⁷ Informally, North Central staff voice complaints and concerns by notifying immediate supervisors or management officials and discussing issues during scheduled meetings at the facility.

Methodologies to meet our objective

To establish our understanding of the requirements for handling staff complaints, we reviewed the AFSCME, PSSU, OPEIU, and SEIU collective bargaining unit agreements relating to the recording, reporting, and resolving of staff complaints and concerns as referenced in the preceding summary of relevant agreements.

We interviewed North Central's Director, a youth development counselor manager, the human resource analyst/labor relations coordinator, the AFSCME chief union steward, PSSU and AFSCME union stewards and an AFSCME staff representative to establish our understanding of complaint processes.

We also reviewed labor management meeting and administrative meeting minutes for the period July 1, 2007, through April 13, 2009.

We obtained a listing of the grievances filed from July 1, 2007, through April 13, 2009, from the human resource analyst/labor relations coordinator. Using auditors' professional judgment, we selected 12 of 41 grievances, or 30 percent of the total, for review.

⁴⁷ Department of Public Welfare, Bureau of Juvenile Justice Services (Bureau of State Children and Youth Programs), Policy and Procedure, Section: Program Management, Manual Number 1.09, "Management of Complaints," effective date February 20, 2004.

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Finding 8

The North Central Secure Treatment Unit addressed employee complaints appropriately.

Collective bargaining unit agreements established formal procedures for lodging and resolving complaints. The purpose of our test was to determine if the grievances were resolved appropriately and in a timely manner. From July 1, 2007, through April 13, 2009, members of the four unions filed 41 grievances, as illustrated in the following table:

Union	Number of Employees	Number of Grievances
American Federation of State, County and Municipal Employees	138	38
Pennsylvania Social Services Union	55	3
Office of Professional Employees International Union	1	0
Service Employees International Union	<u>1</u>	<u>0</u>
Total	<u>195</u>	<u>41</u>

Our review of the documentation for 12 grievances that we selected for detailed review showed that 10 of the grievances were resolved appropriately and that 2 of the grievances were in the investigation stage during the time of our audit.

All the grievances were recorded on a grievance form and resolutions were documented properly. Initial meetings between union representatives and North Central management to resolve the grievances were scheduled during the month immediately following the filing date.

Regarding complaints that were not lodged as formal grievances, we noted that 16 different types of regularly scheduled committee meetings occurred at North Central during the audit period, and that such meetings provided employees with an avenue to voice concerns and complaints informally. For example, our review of Labor Management and Administrative Meeting minutes revealed that management and staff met on a regular basis in order to discuss and resolve issues.

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