

**Audit of Staff Development and Training (SD&T) Operations
Report Number A-1415DJJ-010
June 11, 2015**

By

**The Office of the Inspector General
Bureau of Internal Audit**

Robert A. Munson
Inspector General

Michael Yu, CIA, CIG
Director of Auditing

Karen Miller
Auditor

Christina K. Daly, Secretary

THIS PAGE INTENTIONALLY LEFT BLANK




STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

DATE: June 11, 2015

TO: Christina K. Daly, Secretary
Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor

FROM: Robert A. Munson, Inspector General 

SUBJECT: Final Report - Audit No. A-1415DJJ-010, *Audit of Staff Development and Training (SD&T) Operations*

Please find the enclosed copy of our final audit report, *Audit of Staff Development and Training (SD&T) Operations*. The Bureau of Internal Audit will conduct a follow-up review to determine the status of corrective actions taken to address the reported findings.

We would like to thank Staff Development and Training for the assistance extended to our staff during the audit process. Please feel free to contact Michael Yu, Audit Director, at 850-717-2468, if you have any questions.

RM/km

Attachment

Cc: Fred Schuknecht, Chief of Staff
Denny Clark, Director of Staff Development & Training
David W. Martin, CPA, Auditor General
Kathy DuBose, Director, Legislative Auditing Committee

2737 Centerview Drive • Tallahassee, Florida 32399-3100 • (850) 488-1850

Rick Scott, Governor

Christina K. Daly Secretary

The mission of the Department of Juvenile Justice is to increase public safety by reducing juvenile delinquency through effective prevention, intervention, and treatment services that strengthen families and turn around the lives of troubled youth.

THIS PAGE INTENTIONALLY LEFT BLANK

**Office of Inspector General
Bureau of Internal Audit
Audit of Staff Development and Training (SD&T) Operations
Audit No. A-1415DJJ-010**

TABLE OF CONTENTS

EXECUTIVE SUMMARY	1
INTRODUCTION	
Background	2
Objectives, Scope, and Methodology	2
RESULTS OF AUDIT	
Finding 1 – The academy training schedules did not always meet the mandatory training hours, particularly when a holiday occurred during the scheduled academy.	3
Finding 2 – Instructor qualification records need improvement to meet the requirements of pertinent rules and regulations and ensure the integrity of the training programs.	5
Finding 3 – Overall effectiveness of training was difficult to determine as some Measures for evaluating and improving services are pending Implementation.	6
APPENDIX: Management Response	

EXECUTIVE SUMMARY

The Department of Juvenile Justice (Department), Office of the Inspector General, Bureau of Internal Audit has performed an audit of Staff Development and Training (SD&T) Operations. The audit objective was to review SD&T training program planning, development, implementation, and evaluation to assess the effectiveness of meeting the Department's training needs. The audit scope was from July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork.

SD&T provides job-related training and career development for all Department staff, and private provider staff when requested, through instructor-led and online courses. Guidelines and procedures related to staff development and training are outlined in Florida Administrative Code (F.A.C.) 63H-1, F.A.C. 63H-2.001-.008, Department Policy FDJJ-1520, and the SD&T Operating Procedure Manual.

The audit indicated that SD&T established mandatory training for Department employees, direct care staff, and supervisors, and that SD&T management monitored training activities through course evaluations, examinations, and program area managers' feedback. The audit also revealed that SD&T developed detailed procedures in the Standard Operating Procedures Manual to guide their operations in planning, developing, implementing, and evaluating new training programs; and that SD&T is actively taking steps to enhance training opportunities department-wide. However, the audit indicated that Academy classes did not always meet the requirement of mandatory training hours; SD&T did not maintain qualification records for some instructors; and SkillPro assessment measures are not implemented.

We recommend SD&T develop procedures to ensure all required training hours are met. We further recommend SD&T management retain Instructor Qualification files for each instructor utilized in direct care staff training, and that such files be updated to reflect required training certificates/records in accordance with Florida Statutes, Rules, and Department policies. Finally, we recommend SD&T implement measures for evaluating SkillPro courses and work closely with the SkillPro developer and Management Information Systems (MIS) to activate the reporting mechanism in SkillPro.

Audit of Staff Development and Training (SD&T) Operations Audit # A-1415DJJ-010

INTRODUCTION

The Office of the Inspector General, Bureau of Internal Audit conducted an audit of Staff Development and Training (SD&T) Operations for the period of July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork. The audit was initiated based on our Fiscal Year 2014-2015 Audit Plan and conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*, published by the Institute of Internal Auditors.

Background

Effective July 1, 2011, The Florida Legislature amended Florida Statute 985.66, removing all references to the Juvenile Justice Standards and Training Commission. In addition to providing professional learning opportunities, development and support for department personnel, this amendment authorized the Department of Juvenile Justice (DJJ) to provide staff development and training to direct care staff.

SD&T is responsible for administering the Employee Training and Development Program governed under the Department's policy FDJJ-1520. Its main objectives are to provide job-related training and career development and to ensure compliance with applicable training requirements, guidelines, and standards. In keeping with the Department's goals, SD&T has three mission objectives:

1. To foster better staff morale and reduce mistreatment and aggressive and abusive behavior in delinquency programs;
2. To positively impact the recidivism of children in the juvenile justice system; and
3. To afford greater protection of the public through improved level of services delivered by a professionally trained juvenile justice program staff to children who are in the juvenile justice system.

SD&T provides professional training, development, and support for all DJJ and private provider staff when requested, through instructor-led and online courses. Effective February 2014, SD&T manages training records and histories for all DJJ and private provider staff through the SkillPro learning management system.

Objective, Scope, and Methodology

The audit objective was to review SD&T training program planning, development, implementation, and evaluation to assess the effectiveness of meeting the Department's

training needs. The audit scope was from July 1, 2013 through June 30, 2014, and related activities through the end of fieldwork.

To achieve the audit objective, we:

- reviewed applicable Florida statutes and rules;
- reviewed Department policies and procedures;
- reviewed the SD&T Standard Operating Procedure Manual;
- reviewed training course documents used for identifying, developing, implementing, and evaluating training needs for the Department;
- reviewed trainers/instructors files;
- reviewed completed evaluations from 40 courses;
- interviewed Department program directors / managers;
- interviewed SD&T management / staff;
- conducted surveys of supervisors and direct care staff; and
- conducted other activities deemed necessary.

RESULTS OF AUDIT

The audit revealed that SD&T established mandatory training for Department employees, direct care staff, and supervisors, as per Department policy FDJJ-1520 and Florida Administrative Code (F.A.C.) 63H-1 and F.A.C. 63H-2.001-.008; and monitored training activities through course evaluations, examinations, and program area managers' feedback. The audit also revealed that SD&T developed detailed procedures in the Standard Operating Procedures Manual to guide their operations in planning, developing, implementing, and evaluating new training programs; and that SD&T was actively taking steps to enhance training opportunities department-wide.

The audit also revealed that Academy classes did not always meet the requirements of mandatory hours as per F.A.C. 63H-2.001-.008 and F.A.C. 63H-1. Some Instructor Qualification files were not compliant with F.A.C. 63H-1.014, F.A.C. 63H-1.015, and F.A.C. 63H-2.008. Additionally, overall effectiveness of training proved difficult to assess, as the reporting tool in SkillPro is not active; data from CORE, the previous learning management system provided through SSB, Inc., was unavailable; and SD&T has not implemented some measures for evaluating and improving services.

Details of Findings and Recommendations

Finding 1: The academy training schedules did not always meet the mandatory training hours, particularly when a holiday occurred during the scheduled academy.

F.A.C. 63H-2.006(c) requires Juvenile Probation Officers (JPOs) to complete 224 hours of training at the academy. Training is mandated in the following subject areas: Protective Action Response (PAR); DJJ overview; legal; adolescent behavior; restorative justice; interpersonal/communication skills; human diversity; screening and intake; supervision; transfer, commitment and termination of supervision; personal safety; professionalism and ethics; and suicide recognition, prevention and intervention.

F.A.C. 63H-2.007(c) requires Juvenile Detention Officers (JDOs) to complete 120 hours of certification training at the academy. Training is mandated in the following subject areas: restorative justice; professionalism and ethics; adolescent behavior; health care; effective written communication; mental health; suicide recognition, prevention, and intervention; human diversity; and interpersonal/communication skills;

Audit staff reviewed 16 academy course files in the period from July 1, 2013 through June 30, 2014. The review indicated that 4 out of 16 courses listed below did not meet the mandatory hours required due to a conflict between a course day and an official holiday.

Academy	Scheduled Date	Official Holiday	Course Hours Missed
JDO (120 hours)	January 13 through 31, 2014	January 20, 2014	8 hours
JPO (224 hours)	January 6 through February 7, 2014	January 20, 2014	8 hours
JPO (224 hours)	January 6 through February 7, 2014	January 20, 2014	8 hours
JPO (224 hours)	May 5 through June 6, 2014	May 26, 2014	8 hours

The academy course files listed provided no alternative schedules to accommodate the course hours missed during the training academies. When interviewed, SD&T management stated that academy instructors re-captured the eight-hour holiday, throughout the remaining academy days by scheduling shorter lunches and shorter breaks.

The previous audit completed in January 2010 revealed a similar issue. Without making up the missed hours, the rules are not followed and training subject areas may not be adequately covered.

A review of certification examination records revealed that 93 percent (52 out of 56) of the JPO candidate achieved passing scores on the examination, while 100 percent of the JDO candidates (21 out of 21) achieved a passing score on the JDO certification examination.

We recommend SD&T develop procedures to ensure that all training hours are met; prevent academies from scheduling training courses during a week that includes official holidays, or provide alternative schedules to accommodate the course hours missed.

Finding 2: Instructor qualification records need improvement to meet the requirements of pertinent rules and regulations and ensure the integrity of the training programs.

F.A.C. 63H-1.014 establishes qualifications for PAR Instructors. To be qualified, PAR instructors must have one year of experience working full time, in a juvenile justice, criminal justice, or juvenile social services; maintain Facility PAR certification; successfully complete the Criminal Justice Standards and Training Commission (CSJTC) Instructor Techniques course (ITW); and successfully complete the PAR Train-the-Trainer 80-hour course conducted by a Master PAR Instructor.

F.A.C. 63H-2.008(3) mandates that all instructors must have successfully completed the CJSTC ITW course, except for field training officers and administrative staff who provide administrative, orientation, and/or Phase One training, with the exception of PAR. Additionally, any instructor who is not ITW certified must submit for approval a completed Instructor Exemption form to the Director of SD&T through their respective facility/program administrator.

When interviewed, SD&T management stated that SD&T had five full time instructors. Additionally, SD&T had three additional staff members having ITW certification, able to assist with training direct care staff.

During the audit process, we reviewed 40 training course files, and the review indicated that in addition to the five full time instructors and three SD&T staff members certified in ITW, SD&T utilized an additional eight adjunct instructors. Further review indicated that SD&T did not maintain instructor qualification files for the eight adjunct instructors.

Additionally, Instructor Qualification files for direct care staff instructors that have longevity with the Department did not contain records/certificates for all required trainings. Specifically, qualification files for Master PAR Instructors did not include a certificate/record of completion for PAR Train-the-Trainer.

Upon further request, SD&T management located and provided instructor qualification documents for all eight adjunct instructors.

SD&T management stated that they would not permit an instructor to provide training unless they were ITW certified or had an exemption form on file with SD&T. However, without documentation, instructor qualifications cannot be verified.

We recommend SD&T management retain Instructor Qualification files for each SD&T instructor as well as all adjunct instructors utilized in direct care staff training.

Finding 3: Overall effectiveness of training was difficult to determine as some measures for evaluating and improving services are pending implementation.

SD&T management indicated they rely on course evaluations, successful completion of certification examinations, and feedback from Department managers to assess the overall effectiveness of training.

The audit revealed that for academy training, instructors distributed course and instructor evaluation forms; SD&T staff reviewed the course and instructor evaluation forms; SD&T managers received summations of the evaluations forms; and program managers provided feedback to SD&T management. However, the audit indicated there are no evaluation measures for SkillPro courses. Additionally, SD&T cannot access statistical data from SkillPro, as the reporting feature in SkillPro is not operational.

When interviewed, SD&T management stated that they requested SSB, Inc, transfer data from CORE to SkillPro when the Department moved from CORE to SkillPro. (CORE is the previous learning and training management system provided by SSB, Inc. to the Department.) The data SD&T received from SSB, Inc. was in an unreadable format and could not be used for assessing the effectiveness of the training courses. Additionally, SD&T management indicated survey monkeys, a measure to enable participants to evaluate and provide feedback on SkillPro courses, are not yet operational in SkillPro. Likewise, Catapult, a contractor, employed by the Department is working to correct the reporting tool in SkillPro that will facilitate staff in obtaining statistical data for evaluating the performance of training.

We recommend SD&T fully implement measures for evaluating SkillPro courses and work closely with Catapult to activate the reporting mechanism in SkillPro.

APPENDIX

MANAGEMENT RESPONSE



**STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE**

INTEROFFICE MEMORANDUM

DATE: June 9, 2015
TO: Michael Yu, Audit Director
FROM: Denny Clark, Director of Staff Development & Training
SUBJECT: Audit Number A-1415DJJ-010



We have received your draft report of the above referenced audit and have provided a written response to the findings and recommendations in the report. Please contact me if additional information or clarification is needed.

Finding 1: The academy training schedules did not always meet the mandatory training hours, particularly when a holiday occurred during the scheduled academy.

Audit staff reviewed 16 academy course files in the period from July 1, 2013 through June 30, 2014. The review indicated that 4 out of 16 courses listed below did not meet the mandatory hours required due to a conflict between a course day and an official holiday.

The academy course files listed provided no alternative schedules to accommodate the course hours missed during the training academies. When interviewed, SD&T management stated that academy instructors re-captured the eight-hour holiday, throughout the remaining academy days by scheduling shorter lunches and shorter breaks.

Agency Response: We concur with this finding. To meet this standard the following actions will be taken:

- 1) SD&T will create a statewide class schedule for academies that are delivered during weeks with holidays and those without. The two schedules will have consistent training hours as reflected in FDJJ Training Policy 1520. The schedules will be developed by November 2015 after all analysis steps are completed.
- 2) SD&T is working with probation and detention program areas to explore the idea of having "blended" academies. These academies would cover topics that are common to both detention and probation and would be delivered regionally.

2737 Centerview Drive • Tallahassee, Florida 32399-3100 • (850) 488-1850

Rick Scott, Governor

Christina K. Daly, Secretary

The mission of the Department of Juvenile Justice is to increase public safety by reducing juvenile delinquency through effective prevention, intervention, and treatment services that strengthen families and turn around the lives of troubled youth.

Students would attend their own individual academies for job specific training. The result would be detention and probation academies that are shorten by a week or more, thus providing more opportunities to schedule academies that do not fall on a week with a holiday.

- 3) Certification training requirements have changed since the F.A.C. 63H was last updated due to changes in the job duties and tasks for both these positions and DJJ initiatives. SD&T has worked through the process for Rule revisions and changed the F.A.C. 63H so that no total hours are reflected and DJJ Training Policy 1520 is referenced. The policy indicates the content topics and minimum hours to be trained for each certification area. The revised F.A.C. 63H is waiting for legislative approval.

Finding 2: Instructor qualification records need improvement to meet the requirements of pertinent rules and regulations and ensure the integrity of the training programs.

During the audit process, we reviewed 40 training course files, and the review indicated that in addition to the five full time instructors and three SD&T staff members certified in ITW, SD&T utilized an additional eight adjunct instructors. Further review indicated that SD&T did not maintain instructor qualification files for the eight adjunct instructors.

Additionally, Instructor Qualification files for direct care staff instructors that have longevity with the Department did not contain records/certificates for all required trainings. Specifically, qualification files for Master PAR Instructors did not include a certificate/record of completion for PAR Train-the-Trainer.

Agency Response: We concur with this finding. SD&T has established a new process for maintaining documentation of instructor qualification. All instructors must complete and submit an Adjunct Instructor Form (see attached) to SD&T. All documentation for any adjunct instructor will be maintained on the SD&T K-drive at DJJ headquarters. Prior to the beginning of each training delivery all documentation and SkillPro training records will be reviewed prior to instruction to ensure that certifications are current and valid.

Finding 3: Overall effectiveness of training was difficult to determine as some measures for evaluating and improving services are pending implementation.

The audit revealed that for academy training, instructors distributed course and instructor evaluation forms; SD&T staff reviewed the course and instructor evaluation forms; SD&T managers received summations of the evaluations forms; and program managers provided feedback to SD&T management. However, the audit indicated there are no evaluation measures for SkillPro courses. Additionally, SD&T cannot access statistical data from SkillPro, as the reporting feature in SkillPro is not operational.

Agency Response: We concur with this finding. As stated in the audit report, we are working to add level I evaluations to our online courses. The current system will not allow us to gather the data so we have found another method to do so. We will use the online survey program, Survey Monkey, to attach surveys to the end of every online course. We will be able to retrieve the data through a Survey Monkey account. We have written, edited, and approved the level I survey questions and obtained permission from Research and Planning to utilize their Survey Monkey account. The next step is to add a survey slide and links to each online course. Since there are currently 82 courses on SkillPro, it will take some time to attach the survey to all courses but, we are diligently working to achieve this goal. We plan to have the survey active on all mandatory courses by September of 2015 and to all courses by June 2016.

Additionally, the audit report stated that the report function on SkillPro was not working. Catapult, Inc. has completed the corrections in the system's reporting functions and we are now able to pull reports from SkillPro.

As stated in the audit report, there is a process in place for the evaluation of instructor-led courses. This level I evaluation data is collected and reported in monthly reports submitted to the Director of SD&T and Chief of Staff. The level I data captures information about the course, instructor effectiveness, and the facilities that house the training.

cc: Christina K. Daly, Secretary
Fred Schuknecht, Chief of Staff
Robert Munson, Inspector General



Adjunct Instructor Form



Today's Date: _____ Instructor Techniques Certification (IT): Yes No

Instructor Name: _____

Program/Facility Name: _____ Address: _____

Phone Number: _____ Email Address: _____

Program Area: Detention Probation Residential Other: _____

Region: North Central South

Only complete the training exemption if you are not IT certified.

Training Exemption: Please provide your education and training experience.

Check the applicable training below:

Training Date (s): _____

Juvenile Detention /Residential Academy

Juvenile Probation Academy

PAR Train-the-Trainer

Leadership Development

Suicide Prevention Train-the-trainer

Field Training Officer

PAR Instructor Certification Renewal (ICR)

Other: _____

Instructor Signature

Date

For the use of the Office of Staff Development and Training

Completed by the Office of Staff Development & Training

Course/Module: _____

Signature of SD&T Director or Designee

mm/dd/yyyy

Email Address

IT certification verified

Exemption approved

Denied (If denied, state reason why)

Reason denied: _____