

# Lancaster County Prison Audit Report

## Inmate Records

Testing of Prior Inmates Released March 2018 and Current Inmates as of March 2019



Brian K. Hurter, CPA  
Lancaster County Controller

**Lancaster County Prison Audit**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

TABLE OF CONTENTS

	<b><u>Page(s)</u></b>
Audit Letter to Cheryl Steberger, Lancaster County Prison Warden	
Relevant Audit Notes	1-3
Audit Findings and Observations	4-5
Audit Recommendations	6
Audit Summary of Facts	7
Audit Responses	8-10



## Controller's Office

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**Controller**  
Brian K. Hurter, CPA

August 29, 2019

Cheryl Steberger, Warden  
Lancaster County Prison  
625 East King Street  
Lancaster, PA 17602

Dear Ms. Steberger:

Attached is the report for the audit of the inmate records of the Lancaster County Prison ("Prison"), prepared by the Lancaster County Controller's Office. Our examination procedures were performed for inmates released in March 2018 and for current inmates as of March 2019. This allowed us to select a sample of current and previously released inmate records to test and audit, to ensure that inmates were not released at a time that was not in accordance with their term length.

We hope to provide recommendations for improvement to internal control, as well as continued efficiency over the Prison's operations. Additionally, we hope our recommendations can help the processes for storage, filing, and review of the documents located at the Prison. It is the responsibility of the Prison's management to ensure the operations are in compliance with applicable laws and regulations. We do not express an opinion or provide any assurance on the information examined because the limited procedures executed do not provide us with sufficient evidence to express an opinion. We did, however, note some instances that warrant mention and recommendations for correction and/or improvement, and they are described in the Findings and Observations section of this report.

Our responsibility is to audit the specific Prison department listed above, and to report the results of the audit to the Lancaster County Commissioners, the Lancaster County Prison Board, and the Lancaster County Prison Administration.

We acknowledge the cooperation and assistance that we received from the Lancaster County Prison personnel. The help from the Prison staff was instrumental to the performance of this audit.

This report is intended for the information and use of the Lancaster County Prison Administration, the Lancaster County Board of Commissioners, and the Lancaster County Prison Board and it not intended and should not be used by anyone other than these specified parties without consent. However, public policy dictates that this report is a matter of public record and its distribution is not limited.

Sincerely,

Brian K. Hurter, CPA  
Lancaster County Controller  
mw

cc: Lancaster County Board of Commissioners  
Lancaster County Prison Board



**Lancaster County Prison**  
**Relevant Audit Notes**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

**Note A – PRISON MISSION STATEMENT**

The mission of the Lancaster County Prison is to provide for the humane and secure care, custody and control of those individuals who are charged with criminal offenses, while also providing for the protection and safety of the community through the detention of such individuals.<sup>1</sup>

**Note B – DESCRIPTION OF PRISON**

The Prison, located at 625 East King Street in the City of Lancaster, is a County owned and operated facility, and it is governed by the Lancaster County Prison Board, which is comprised of the County Commissioners, President Judge, District Attorney, Sheriff, and Controller. The Warden of the Prison is Cheryl Steberger, the Deputy Warden for Operations is Robert Wolfe, the Deputy Warden for Inmate Services is Joe Shiffer, the Major is William Aberts, and the Director of Administration is Tammy Moyer. Warden Cheryl Steberger has been in her role since March 2016. The Prison acts as the custodian of those being held in custody pending the result of his/her charges and those who are sentenced to imprisonment for two years or less.

The Prison is a fundamental part of the operations of the County of Lancaster, and it conducts many programs which are necessary to help address the issues, addictions, and the educational needs of the inmates in custody. These programs are adapted based on the needs of the inmates and the evolving provisions of the law.

The Warden manages the Prison with the help of her Deputies, Major, and Director of Administration. The Warden oversees the activities of the Prison's staff, including correctional officers, supervisors, unit managers, and administrative and support staff. The Warden indirectly manages all Prison staff to ensure the safety and security at the Prison. It is also the responsibility of the Warden to maintain the proper treatment of inmates, which includes the care, custody, and control of those inmates.

The Prison's management and its Prison Board believe in the rehabilitation of those in custody. As of December 2018, the official capacity at Lancaster County Prison was 1,102. The average number of inmates throughout 2018 was 873. June saw the highest number of inmates with 936 on average, while January saw the lowest number of inmates with 808 on average. It is necessary to identify issues relating to the inmate's criminality and to implement, maintain, and monitor programs that will prepare the inmates to confront these issues in a constructive manner. The Prison attempts to prepare inmates to return to society as contributing and productive members.

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<sup>1</sup> Taken directly from Prison's website (<http://www.co.lancaster.pa.us/153/Prison>)

**Lancaster County Prison**  
**Relevant Audit Notes (*Continued*)**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

**Note C – SCOPE AND PROCEDURES OF AUDIT**

The period of review is March 2018 for previously released inmates and March 2019 for current inmates.

To test the accuracy of the Prison's record documentation, a sample was selected of current inmates and inmates previously released from the Prison and the term length documentation was audited and reviewed for each sampled inmate.

**Note D – STATUS OF PREVIOUS AUDIT FINDINGS, OBSERVATIONS, AND RECOMMENDATIONS**

On March 9<sup>th</sup>, 2018, the Lancaster County Controller issued an audit report to the Warden of the Lancaster County Prison. This audit report included a review of January 2017 for previously released inmates and July 2017 for current inmates. The audit report noted three findings along with three recommendations. Individuals can refer to that audit report for a description of the prior year findings, observations, and recommendations. During the current audit, we reviewed the status of the prior audit findings, observations, and recommendations that related to the Records Department of the Prison to ensure the operations are continuing to move forward in a manner that promotes the Prison to be more efficient, and to allow the Prison administration to be more diligent, in all aspects of the Prison's essential operations.

Regarding the recommendations described in the previous audit, the Prison administration has fulfilled two of the recommendations. The Prison fulfilled audit recommendation 2 by studying the systems of surrounding counties. The Prison also partially fulfilled audit recommendation 4 by auditing all inmate files twice per year and then reconciling the inmate files against the Unified Case Management System ("UCM"). Recommendation 4 also included an audit of the L Drive (Rolodex), but the Prison has yet to include that as a part of that audit due to time constraints and budgetary issues. The Prison did not proceed with fulfilling recommendation 3, which was to implement an electronic system to track inmate folders. While not all of the suggested recommendations have been implemented, we are pleased to see the progress the Records Department is making in their efforts to ensure no inmates are released too soon or kept longer than his/her maximum sentence.

**Lancaster County Prison**  
**Relevant Audit Notes (*Continued*)**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

**Note E – OBSERVATIONS, FINDINGS, RECOMMENDATIONS, AND  
MANAGEMENT’S RESPONSES**

The Controller reported certain observations and findings along with recommendations for improvement as a result of the examination performed over the Prison Records Department. The Warden provided responses to these observations, findings, and recommendations. The sections detailing both follow this note.

**Lancaster County Prison**  
**Audit Findings and Observations**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

This section of the report presents the findings and observations that resulted from our annual examination. Following the findings and observations, we provide recommendations to correct or better the described occurrences.

**Finding 1 – Numerous occasions when inmate record information was inconsistent between data sources:**

**Background:**

The Records Department of the Prison utilizes three different data sources to track information regarding Prison inmates. The Records Department uses a paper inmate folder, L Drive (Rolodex) (which lists an inmate's good time, minimum, and maximum dates), and UCM. Per the Prison administration, when the inmate is released from the Prison, the inmate will be removed from UCM. UCM does keep some information regarding the inmate, but specific sentencing information is removed. Additionally, the inmate folder will be moved to a separate location once the inmate has been released. All three of these data sources are used by the Prison in different ways to track items like the behavioral and legal aspects of the inmate's detainment at the Prison.

**Description:**

The audit team from the Lancaster County Controller's Office completed the inmate record testing on two days, both on location at the Prison's Records Department. The audit team selected a sample and compared the inmate sentence dates, term length information, and other miscellaneous information from the inmate folder to UCM, and the L Drive (Rolodex), when applicable. There were numerous occasions where the inmate sentence dates and term length information did not agree between the three sources. There were times when the inmate sentence dates and term length documentation agreed between two sources, but not the third source. In addition, the inmate numbering system switch (which occurred a couple of years prior) added another level of information that did not necessarily agree because an inmate might have had a prior inmate number on one document in the inmate folder, and a new inmate number on another document.

All of the occasions did indicate that using multiple data sources, all of which require information to be input ("hard-keyed") by a staff member of the Records Department of the Prison, could result in three different times when human error could occur. As a result, the incorrect inmate sentence dates (such as a term end date of 9/9/9999, which was discovered) and/or term length information could be entered into any three of the systems. Even though there were numerous occasions when the data was inconsistent between the sources, it does not appear to have an impact on the time the inmates served in Prison.

**Lancaster County Prison**  
**Audit Findings and Observations (*Continued*)**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

**Finding 2 – Inmate folder missing cover sheet (“Fly Sheet”):**

**Background:**

The audit team from the Lancaster County Controller’s Office completed testing in the Prison’s Record Department on current and prior inmate folders to verify the sample inmates were released according to the documentation in his/her folder. This required pulling the inmate folders from boxes of released or current inmates. If the inmate has been released, the Prison Records Department keeps the folders in a different location than current inmate folders.

**Description:**

While conducting the testing of the previously released Lancaster County Prison inmates, the audit team was not able to locate a cover sheet (“Fly Sheet”) in the paper file for one inmate. The cover sheet details the sentence(s) that the inmate was incarcerated on and this sheet is one of the sources that the Prison will utilize to record when an inmate has been and should be released.

**Lancaster County Prison**  
**Audit Recommendations**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

In the preceding section of this report, we listed findings and observations from our examination. This section of the report presents the recommendations we have provided to correct or better the described occurrences listed in the Audit Findings and Observations.

1. The Prison should continue to monitor the documentation that is collected in regards to an inmate's sentence(s). The Prison has begun to scan certain documentation into the UCM system, which can be extremely helpful if something becomes lost.
2. When an inmate is about to be released or the day the inmate is released, a documentation audit can be performed to verify the inmate folder has all necessary paperwork that belongs to that specific inmate and that the inmate was released in accordance with all sentence(s).
3. Further include all data sources in file audit being conducted twice a year. As noted in the audit responses, the Records department did not feel that an L Drive (Rolodex) audit would be cost effective. We recommend that the Prison Records department review options to ensure that the information maintained on the L Drive (Rolodex) is accurate.

**Lancaster County Prison**  
**Audit Summary of Facts**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

We have performed specific procedures to assist in evaluating internal control and continued effectiveness and efficiency of the Lancaster County Prison for the Records Department. Our procedures performed were created to audit the three different sources that the Prison utilizes to record an inmate's sentencing. The purpose of this audit was to test current inmates, as of March 2019, and to test previously released inmates, at March 2018, to understand if the inmate was held in Lancaster County Prison for his/her court-mandated sentence or if the inmate was released at a different time.

Reportable conditions involved issues coming to our attention relating to significant deficiencies or non-compliance that could adversely affect the Prison records. While conducting our audit, we noted findings, observations, and issues of non-compliance which are described in the Audit Findings and Observations section above. None of the findings or observations led us to believe that significant operating deficiencies had occurred.

We haphazardly sampled current and prior Prison inmates to ensure the samples were executed in accordance with Prison Administration's standards. Inherent limitations in any internal control structure can cause errors or irregularities to occur and not be detected. Our testing would not necessarily disclose all matters in the internal control structure that might be reportable conditions. We did, however, note a need to review procedures regarding records maintenance. In future audits, we will continue to re-evaluate the internal control structure to ensure that policies and procedures do not become inadequate or ineffective because of changes in conditions or design. We did not express an opinion or provide any assurance on the information examined because the limited procedures executed do not allow us sufficient evidence to express an opinion.

**Lancaster County Prison**  
**Audit Responses – August 29, 2019**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

This section of the report presents responses from the Lancaster County Controller's Office to the responses received from the Warden August 12, 2019 in regards to the Lancaster County Prison draft audit, which was sent to the Prison on July 31, 2019.

- A. In response to Finding #1: The Inmate PBN or PIN numbering system change described at the bottom of the description paragraph is a direct result of a requirement of CCAP's UCM software and cannot be changed without a change of vendor away from UCM as our jail management software. This is currently being considered. Additionally, in the 2<sup>nd</sup> paragraph of the description section, the error entry of 9/9/9999 is a reoccurring issue that we usually see due to having to share our data with Adult P&P. We rely on P&P to enter their sentences into the system before we can enter sentencing dates. In the event that P&P has not entered the sentence into UCM prior to Records staff calculating the sentence, the fields are left blank and a default date of 9/9/9999 is displayed.

The only solution would be to have Records staff routinely go back once a file is checked to see if the data has been added yet, and that is not something that is a good use of Records staff time due to us relying exclusively on the inmate file and the Rolodex for scheduled releases. UCM will never be relied on to generate our schedule releases due to ongoing concerns over glitches, bugs, and times the system is down. That being said, if a section of sentencing is missed by a Records staff member, the omission will also cause the default date of 9/9/9999. So, without knowing the specific inmate or data in question, it is impossible to identify which type of error occurred. The sharing of our UCM data provides benefits to Adult P&P, but unfortunately continues to be a detriment to the prison staff who regularly utilize the software. Ideally, the prison would move away from CCAP and UCM as their software provider and move to a vendor that specializes in jail management software, as opposed to an offender-centric based system.

**Controller's Office Response:** We appreciate the Prison's added explanation as to why there may be some issues of inconsistent data between the sources. The Controller's Office re-affirms our finding and recommendations. We hope that the Prison is able to find a software provider that the department can be confident with and that the Prison's Record Department feels is useful and meets the needs of the department.

**Lancaster County Prison**  
**Audit Responses – August 29, 2019 (*Continued*)**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

- B. In response to Finding #2: Although the Records Department acknowledges the concern over the missing flysheet cited in this section, we do electronically scan all flysheets of released inmates into UCM for situations such as these.

**Controller's Office Response:** The Controller's Office re-affirms our finding and recommendations. We appreciate the Prion Records Department added procedure of scanning flysheets into UCM.

Prison's response to Note D: Reconciliation of the L Drive (Rolodex) to every legal file and sentencing dates would take 6 individuals approximately 12-16 hours. This would have to be performed in a very short period of time such as 1 day or over a weekend and could not be completed during normal business hours due to normal workload. The estimated cost of overtime, both voluntary and 7<sup>th</sup> Day Pay would most likely exceed \$3000. This financial cost does not factor in the loss of morale the staff would incur due to having to work 12 consecutive days without a day off. Additionally, the Records Department feels that there is currently no need for an electronic system to track inmate folders.

**Controller's Office Response:** The Controller's Office now understands that a reconciliation to the L Drive (Rolodex) may not be a cost-effective solution to this problem. As a result, the Controller's Office has updated audit recommendation 3.

**Lancaster County Prison**  
**Audit Responses – August 29, 2019 (*Continued*)**  
**Prior Inmates: March 2018; Current Inmates: March 2019**

**Controller's Office Summary:**

We believe that since the last audit was conducted on the Prison Records Department, there have been improvements to the processes that relate to inmate records. We believe that our recommendations will only help the Prison, but we also understand there are budgetary and time constraints to each of the recommendations. We will continue to try to help the Prison Records Department in any way that we can be of assistance. The willingness and professionalism of the Warden and her staff shows dedication to the job and to ensuring the best service is provided to the inmates of the Lancaster County Prison. Our findings and recommendations will be monitored in future audits to ensure that the findings are not reoccurring and the recommendations that are selected to be implemented are properly adhered to.