

**STATE OF NORTH CAROLINA
DEPARTMENT OF PUBLIC SAFETY**

**DIVISION OF ADULT CORRECTIONS
COMMUNITY CORRECTIONS
LEGISLATIVE REPORT ON
PROBATION AND PAROLE CASELOADS**

March 1, 2012

**Beverly Eaves Perdue
Governor**

**W. David Guice
Director**

**Rueben F. Young
Secretary**

N.C. DEPARTMENT OF CORRECTION

DIVISION OF COMMUNITY CORRECTIONS

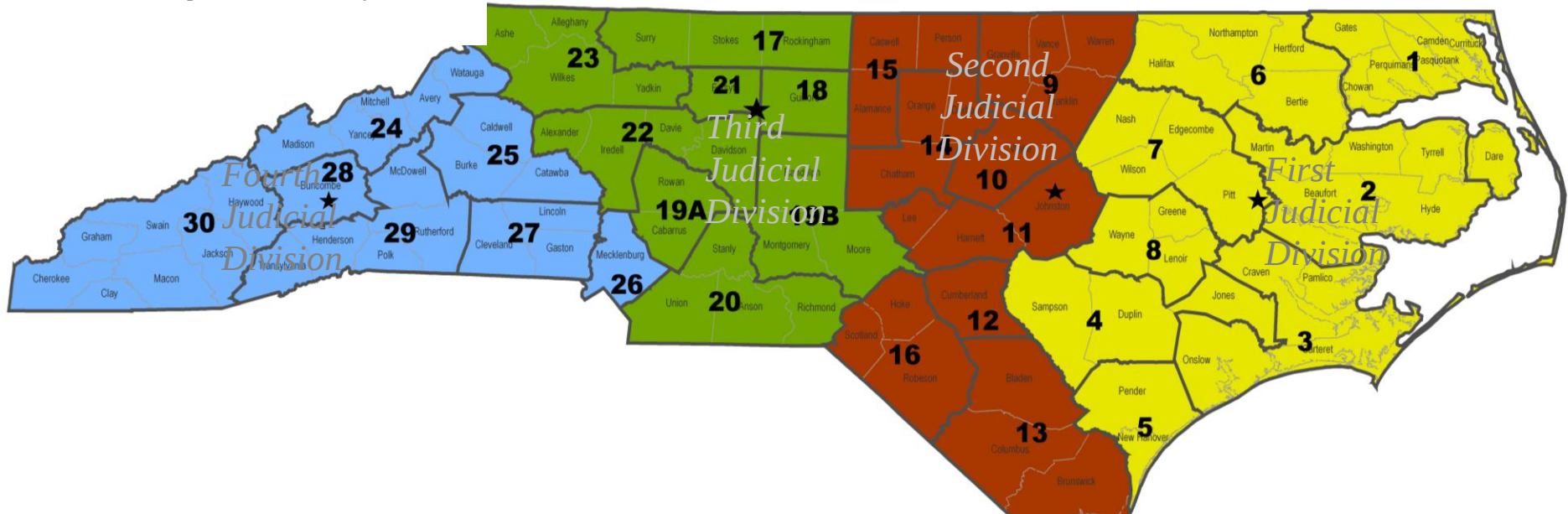
W. David Guice, Director

Diane Isaacs, Deputy Director

Felicia McLean, Asst. Director, Special Operations

Anne Precythe, Administrator Supervision Services

Cynthia M. Williams, Special Asst., Policy



Fourth Judicial Division

JD Adm.	Debra Debruhl
Asst JD Adm.	Boyce Fortner
CJPP Coord.	Nancy Pritchard
JDM Dist 24	Jerry Jackson
JDM Dist 25	Kevin Miller
JDM Dist 26	Tracy Lee
JDM Dist 27	Sandy Holland
JDM Dist 28	Lori Anderson
JDM Dist 29	Cheryl Modlin
JDM Dist 30	Dallas McMillan

Third Judicial Division

JD Adm.	Betty Bauer
Asst JD Adm.	Rose Cox
CJPP Coord.	Ashley Jane
JDM Dist 17	Brian Gates
JDM Dist 18	Max Gerald
JDM Dist 19A	Catherine Combs
JDM Dist 19B	Timothy Poole
JDM Dist 20	David Calloway
JDM Dist 21	Chris Oxendine
JDM Dist 22	David Hartley
JDM Dist 23	Nancy Gilchrist

Second Judicial Division

JD Adm.	Kim Williams
Asst JD Adm.	Lewis Adams
CJPP Coord.	Conrad Strader
JDM Dist 9	Royster Washington
JDM Dist 10	Maggie Brewer
JDM Dist 11	Joyce James
JDM Dist 12	Sharon Phillips
JDM Dist 13	Mike Frazier
JDM Dist 14	Tony Taylor
JDM Dist 15	Jeffrey Allen
JDM Dist 16	Vacant

First Judicial Division

JD Adm.	Cornell McGill
Asst JD Adm.	Carla Bass
CJPP Coord.	Candice Evans
JDM Dist 1	Ray Griggs
JDM Dist 2	Jami Stholman
JDM Dist 3	Thurman Turner
JDM Dist 4	Vacant
JDM Dist 5	Jean Walker
JDM Dist 6	Bill Mitchell
JDM Dist 7	Phyllis Leary
JDM Dist 8	Cynthia Sutton

Session Law 2011-145
REPORT ON PROBATION AND PAROLE CASELOADS

SECTION 18.13.(a) The Department of Correction shall report by March 1 of each year to the Chairs of the House of Representatives and Senate Appropriations Subcommittees on Justice and Public Safety and the Joint Legislative Corrections, Crime Control, and Juvenile Justice Oversight Committee on caseload averages for probation and parole officers. The report shall include:

- (1) Data on current caseload averages and district averages for probation/parole officer positions;
- (2) Data on current span of control for chief probation officers;
- (3) An analysis of the optimal caseloads for these officer classifications;
- (4) An assessment of the role of surveillance officers;
- (5) The number and role of paraprofessionals in supervising low-risk caseloads;
- (6) An update on the Department's implementation of the recommendations contained in the National Institute of Correction study conducted on the Division of Community Corrections in 2004 and 2008;
- (7) The process of assigning offenders to an appropriate supervision level based on a risk assessment and an examination of other existing resources for assessment and case planning, including the Sentencing Services Program in the Office of Indigent Defense Services and the range of screening and assessment services provided by the Division of Mental Health, Developmental Disability, and Substance Abuse Services in the Department of Health and Human Services; and
- (8) Data on cases supervised solely for the collection of court-ordered payments.

Introduction

The Division of Adult Corrections, Community Corrections Section is responsible for the supervision of all adult offenders on probation, parole or post-release supervision in North Carolina. Community Corrections also has oversight of the Community Service Work Program (CSWP).

Community Corrections currently employs 2,442 authorized full-time positions, including 1,943 certified positions. The Division supervises approximately 104,250 offenders on probation, parole or post-release supervision and oversees 11,970 unsupervised offenders in CSWP for a total offender population of 116,220. Judicial service coordinators manage CSWP cases and process cases out of court, while DCC probation and parole officers provide case management to offenders under its supervision.

The punishment levels for supervised offenders are community and intermediate. Under Structured Sentencing, a community punishment is any type of sentence that does not include an active punishment or an intermediate punishment. A community punishment level may include fines, restitution, community service and/or substance abuse treatment. An intermediate punishment requires the offender to be placed on supervised probation and includes at least one of the following sanctions: special probation, residential community corrections (RCC), electronic house arrest (EHA), intensive supervision, day reporting center (DRC) or drug treatment court (DTC). Driving while impaired, parole, deferred prosecution and cases from other states are not included in the intermediate and community populations, but are supervised by probation and parole officers according to orders of the court or the North Carolina Post-Release Supervision and Parole Commission. In June of 2011 the Justice Reinvestment Act was signed into law (SL 2011-192). This change affected sentencing laws and adjusted the definitions of community and intermediate punished offenders beginning in December 2011. This report covers sentencing practices and operations that apply to fiscal year 2010-2011.

The department's transition to one class of probation officer in 2009 created blended caseloads with a more equitable distribution of workload and responsibility among the certified staff; this transition was completed in the spring of 2010. Because caseloads are composed of offenders of varying punishment types and complexities, DCC began using a caseload goal of 60 offenders per officer to mirror goals for intermediate caseloads. In addition, surveillance officers carry a caseload of absconders and assist other probation and parole officers in conducting curfew checks, drug screens, financial indebtedness checks, report writing, searches and arrests. (See Role of Surveillance Officer)

Additionally, the agency has implemented the use of evidence based practices (EBP) for supervision of offenders. Part of the evidence based practice strategy is the use of a risk and needs assessment to compute supervision levels for offenders based on their individual criminogenic needs and risks of rearrest. The assessment process places offenders in one of five levels which determine appropriate supervision methodologies to facilitate completion of supervision and establishes minimum responses to noncompliance. The implementation of the Justice Reinvestment legislation will require the agency to establish a caseload goal of 60 high-to-moderate risk offenders per probation officer based on the use of the risk-needs assessment. Community Corrections will adjust the supervision and monitoring duties placed with probation officers and surveillance officers to meet this goal.

(1) **Current Caseload Averages (as of January 2012)**

For the past several years, Community Corrections has been working to utilize a supervision concept that combines all types and levels of offenders on an officer's caseload (blended caseload). The agency has implemented the use of evidence based practices (EBP) for supervision of offenders. Part of the evidence based practice strategy is the use of a risk and needs assessment to compute supervision levels for offenders based on their individual criminogenic needs and risks of rearrest. The assessment process places offenders in one of five levels which determine appropriate supervision methodologies to facilitate completion of supervision and establishes minimum responses to noncompliance.

The five supervision levels used by the Community Corrections are levels 1-5. The level one (L1) offenders have the highest risks and criminogenic needs and have the most restrictive supervision contact requirements along with the most severe responses to noncompliance. Offenders in the L4 and L5 populations possess the lowest levels of risks and needs, are in the least restrictive supervision levels and are eligible for Offender Accountability Reporting (OAR) via a computer or mail-in report.

The table below represents averages based upon mixed caseload of all levels. Caseload averages by judicial district are shown in Appendix A.

CASELOADS BY DIVISION			
Location on 1/21/2012	Caseload Avg.	Current Staff	Offenders (non absconder)
DIVISION ONE	66	335	22,249
DIVISION TWO	65	402	26,075
DIVISION THREE	68	399	27,247
DIVISION FOUR	68	333	22,609
STATEWIDE TOTAL	67	1469	98,180
CASELOAD GOAL	60		

The chart above reflects caseload averages if all positions were filled and if there were no extended employee absences (i.e., military leave, extended medical leave). The offender population in the above table does not include absconders.

(2) **Chief Probation Parole Officer Caseloads**

The chief probation parole officer (CPPO) is the first-line supervisor who manages the field units within the counties. In 2004, the National Institute of Corrections issued a technical assistance report that recommended a ratio of seven officers to one CPPO. The average probation officer to chief ratio statewide is currently 8:1. Appendix B represents the CPPO to officer ratio in each county.

(3) **Analysis of Optimal Caseloads**

Prior to December 2011, G.S. 15A-1343.2(c) directed that caseloads of “probation officers supervising persons sentenced to community punishment should not exceed an average of 90 offenders per officer, and caseloads for offenders sentenced to intermediate punishments should not exceed an average of 60 offenders per officer.” This statute was updated through Session Law 2011-192 - Justice Reinvestment Act and became effective in December of 2011. The caseload goal was updated to read: “caseloads for probation officers supervising persons who are determined to be high or moderate risk of rearrest as determined by the Division's validated risk assessment should not exceed an average of 60 offenders per officer.” Community Corrections is working to revise workload distribution to meet the revised caseload goal. All offenders are leveled based on their individual risk and needs assessment. The task of identifying those offenders who are high or moderate risk of rearrest is complete; however, due to resource issues, supervision and monitoring practices must be adjusted to reach the caseload goal described in the revised statute.

The 2008 General Assembly authorized a workload study which was conducted by the UNC School of Social Work. The results of the study presented in 2010 do not recommend an optimal caseload goal, but instead suggest that the current goal of 60 offenders to one officer is appropriate given the workload carried by a probation officer.

Projections by Officer Classification (Office of Research & Planning, DOC)

The Office of Research and Planning began projecting populations for DCC in 1994 when the Structured Sentencing Act was implemented. The purpose of the projections is to predict the effect of sentencing practices on future probation/post-release/parole caseloads, as well as the resources necessary to supervise these offenders. The population projections combine projected Structured Sentencing entries to probation with projected entries to probation for Driving While Impaired (DWI), post-release supervision, parole supervision, and other non-Structured Sentencing entries to supervision (i.e. deferred prosecution, Interstate Compact cases, etc.). The North Carolina Sentencing and Policy Advisory Commission provides Structured Sentencing probation entry projections for the next five years, while the Office of Research and Planning staff forecasts entries for the next five years to probation for DWI, post-release supervision, parole and other non-Structured Sentencing sentences based on historical trends.

In fiscal year 2010-'11 Community Corrections worked toward a blended caseload goal of 60 offenders per officer as directed by the general statute prior to its most recent update. The change in statute suggests a caseload goal of 60 for high-to-moderate risk offenders for probation officers. To accomplish this goal, Community Corrections will shift the monitoring of lower level offenders to surveillance officers (SO). The projections show this shift in supervision and monitoring will require additional resources for probation officers and surveillance officers' classifications. In FY 2011-2012, placing the responsibility of monitoring Level 4-5 offenders with surveillance officers shows a shortage in SO positions in the five years

of the projection. The proposed caseload goal for the lower level offenders combined with absconders was set at 120 offenders per SO. The tables below show the projections for the end of year population assigned to Probation/Parole officers or Surveillance Officers, and the current position resources versus projected staffing needs. The additional new probation officer and surveillance officer resources needed are included in the agencies expansion budget recommendations and are also priority for any reinvestment funding through the Justice Reinvestment Act. These resources are needed in order to properly supervise the additional offender population projected to be in the community based on Justice Reinvestment Act changes, such as all B1-E felons receiving additional supervision time; all F-I felons now receiving a supervision period; limitations on the revocation authority of the Courts and Post Release Parole Commission; and the return to supervision of all offenders who receive a 90-day (or less) period of confinement in response to violation. Current projections indicate a growth in the supervised offender population from the current 104,250 to over 130,000 by 2016.

Supervision Projections

Table I – Probation/Parole Officer Caseload Projections
Actively Supervised Cases (L1-L3, half of L4)
(Caseload Goal: 60)

Fiscal Year	Projected End of Year Supervision Population on June 30	Required Officer Resources	Current Officer Resources	Additional Resources Needed
FY 11-12	89,263	1,488	1,469	19
FY 12-13	93,662	1,561	1,469	92
FY 13-14	99,285	1,655	1,469	186
FY 14-15	103,394	1,723	1,469	254
FY 15-16	105,672	1,761	1,469	292

Table II– Surveillance Officer Caseload Projections
(Absconders, half of L4, L5)
(Caseload Goal: 120)

Fiscal Year	Projected End of Year Supervision Population on June 30	Required Officer Resources	Current Officer Resources	Additional Resources Needed
FY 11-12	33,721	281	248	33
FY 12-13	34,925	291	248	43
FY 13-14	36,550	305	248	57
FY 14-15	37,744	315	248	67
FY 15-16	38,445	320	248	72

(4) **Assessment of the Role of Surveillance Officer**

Traditionally, the role of a surveillance officer (SO) focused on working as a teammate with an assigned intensive case officer (ICO) to provide intensive supervision. The most important duties in this concept were to conduct curfew checks on the offenders on the intensive officer's caseload multiple times during a week, conduct drug screens, ensure the payment of court indebtedness, conduct searches, and assist in arrests of the offenders.

During the past several years, however, numerous changes within the criminal justice profession have occurred. Technology now can be used to enhance the control aspects of supervision, and national research concerning best practices has indicated better models for supervision and case management. Best practices now focus on the quality—not quantity—of contacts between officer and offender and support a combination of evidence-based programming and treatment as a component of supervision. As a result, the Division has taken appropriate steps to move away from the traditional intensive concept and to appropriately redefine the role of the surveillance officer.

The surveillance officer now reports to a chief probation/parole officer and provides assistance to all officers within the unit. The SO provides assistance in the management and supervision of a variety of offenders within a unit and geographical area, expanding beyond intensive cases to include day reporting centers, electronic house arrest, drug treatment courts and global positioning satellite tracking. Surveillance officer duties now include the following assignments:

- Provide field supervision support to the unit by administering drug screens, conducting warrantless searches, conducting curfew checks, providing additional offender contacts and verifying residence plans
- Facilitate the release of offenders from the Division of Prisons and implement supervision
- Assist in the enforcement of intermediate sanction conditions such as day reporting centers, drug treatment court, EHA and GPS
- Assist in monitoring sex offenders on GPS lifetime tracking
- Serve on immediate response teams to investigate and take appropriate action in response to violations for EHA and/or GPS during weekends, holidays and after normal business hours
- Serve orders for arrests on offenders under the Division's jurisdiction
- Complete extradition of offenders from jurisdictions outside of the county or state
- Effect Interstate Compact return of NC offenders in violation in other states
- Maintain a caseload of absconders to investigate, apprehend and arrest offenders
- Participate in special operations as assigned, such as community policing interventions, fugitive apprehension task forces, community threat group interventions and DWI enforcement activities

The surveillance officer position has emerged as the primary law enforcement liaison for the Division, enabling a dedicated focus on control elements and allowing other officer positions to focus on offender need and case management areas. Additionally, the Justice Reinvestment Act (SL2011-192) changes the caseload goal to 60 moderate to high risk offenders (Level 1-3) per probation officer. This change in practice will allow lower risk offenders in Levels 4 and 5 to participate in Offender Accountability Reporting (OAR). OAR allows low risk offenders to utilize technology to report remotely by computer or mail-in report to their officer and does not require face to face contact unless necessary. However, the reports and compliance must be monitored for this group of offenders. Community Corrections will train Surveillance Officers to perform the duties necessary to monitor the lower level population. These duties include checking technology reports, speaking with the offender to ensure compliance, preparing violation reports and testifying in court when necessary. The Division continues to redefine the role to perform the duties as outlined above.

(5) Paraprofessionals

In 2009, upon completion of the Office of State Personnel study, the State Personnel Commission recommended one class of probation officer as well as a judicial services coordinator (JSC) class. The judicial services coordinator position is a title reassignment from existing community service coordinators. These positions are responsible for court intake processing, community service placement and the monitoring of unsupervised community service cases. The position reduces the number of officers needed to assist in court processing. Because there are not enough JSCs statewide to effectively cover all courtrooms however, officers in some areas are still required to aid in court processing. There are currently 223 JSC positions statewide.

Seven data entry specialists are responsible for data entry and seven lead judicial services specialists supervise judicial services coordinators in selected areas. These positions are located in Wake, Forsyth and Mecklenburg counties. The lead judicial services specialist position was developed to relieve the current number of community service employees reporting directly to the chief probation/parole officer thereby reducing the staff to chief ratio. Because these are not certified positions, they are not used to help monitor the lower risk supervised offender population.

(6) Update of 2004 and 2008 NIC Recommendations

The National Institute of Corrections provided technical assistance to Community Corrections in 2004 and 2008 and made findings and recommendations intended to improve community supervision. *An update on the 2004 NIC Recommendations is included in Appendix C, while an update of the 2008 NIC Recommendations is included in Appendix D.*

(7) Selection of a Risk Assessment

The 2004 NIC Report recommended the use of a risk/needs assessment in the supervision of offenders. DOC sent a team to visit other states to review various instruments used in other

states. A task force then reviewed available assessment tools and recommended that DOC develop its own risk/needs assessment process.

DOC has since worked to develop the Risk/Needs Assessment (RNA), which adopts an existing instrument, Offender Traits Inventory, as the risk tool, and uses an in-house tool as the needs instrument. These instruments are used to manage the offender population, starting with the assignment of a supervision level based on the offender's risk and needs. The Division completed policy revisions and training, and has also developed automated tools to assist with case management and planning. Community Corrections has begun to implement evidence based practices which are research proven methods of successful offender supervision. The Risk/Needs Assessment addresses the first principle of evidence based practices – assess actuarial risk. In the fall of 2010, Community Corrections began supervision by level of risk and need.

The Sentencing Services Program of the Office of Indigent Services conducts a general sentencing services assessment for some criminal offenders as part of a plan presented to the court, but the program is not operated statewide and not used on all offenders. The assessments are provided to the court and the defense attorney for the purpose of sentencing. The Division therefore works with other partners such as the Division of Mental Health, Developmental Disabilities and Substance Abuse Services (MH/DD/SAS) of the North Carolina Department of Health and Human Services Treatment Accountability for Safer Communities (TASC) to address behavioral health needs of offenders.

Community Corrections partners with TASC and its local care managers and service providers to ensure that offenders receive the appropriate level of care for behavioral health disorders (e.g., substance abuse and mental health). Under the Offender Management Model (OMM), field staff refers offenders to local TASC staff for screening, disorder-specific assessment and treatment recommendations based on available services. Field staff and local TASC employees conduct joint case staffings to track an offender's progress in and compliance with recommended treatment services. Additionally, the Division of MH/DD/SAS coordinates DWI services for those offenders attempting to regain driving privileges.

(8) Supervision of Collection Cases

A small number of supervised probation cases have no special condition of probation other than monetary conditions. A snapshot of the offender population in January 2012 shows that a total of 1,163 offenders have only court-ordered monetary condition in addition to the regular conditions of probation. These offenders are usually eligible for the Offender Accountability Reporting (OAR) program which allows low risk offenders to utilize technology to report remotely by computer or mail-in report to their officer and does not require face to face contact unless necessary. *Appendix E shows the number of offenders by district.*

Summary

Community Corrections continues to assess its practices, policies and procedures as it moves toward full implementation of evidence based practices. The implementation of policy and supervision practice changes brought through the Justice Reinvestment Act will continue over the next year. Community Corrections will continue to assess caseload types and size, including the move toward the revised caseload goal, as it continues to review and improve community supervision strategies.

APPENDIX A – CASELOADS BY DISTRICT

CASELOAD BY DISTRICT			
District	Caseload Avg.	Current Staff	Offenders
1	60	27	1,626
2	65	24	1,553
3	59	54	3,188
4	74	22	1,623
5	63	61	3,861
6	54	34	1,821
7	77	69	5,323
8	74	44	3,254
DIV 1 TOTALS	66	335	22,249
District	Caseload Avg.	Current Staff	Offenders
9	57	30	1,697
10	57	102	5,784
11	70	42	2,931
12	68	50	3,385
13	75	34	2,552
14	58	74	4,321
15	76	30	2,265
16	78	40	3,138
DIV 2 TOTALS	65	402	26,073
District	Caseload Avg.	Current Staff	Offenders
17	58	38	2,205
18	67	78	5,256
19A	74	54	4,006
19B	72	44	3,173
20	66	42	2,779
21	66	54	3,587
22	73	62	4,528
23	64	27	1,715
DIV 3 TOTALS	68	399	27,249
District	Caseload Avg.	Current Staff	Offenders
24	59	18	1,067
25	70	45	3,101
26	70	103	7,223
27	76	62	4,698
28	58	40	2,319
29	64	37	2,379
30	65	28	1,817
DIV 4 TOTALS	68	333	22,604

APPENDIX B – OFFICER TO CPPO RATIO

Tables show officer to chief PPO ratio by unit (as of January 24,2012).

Division One Officer to CPPO Ratio						
County	Unit	Ratio		County	Unit	Ratio
Dare	5010A	8:1		Halifax	5060A	5:1
Pasquotank, Camden	5010B	7:1		Halifax	5060B	4:1
Chowan, Gates	5010C	6:1		Northampton	5060C	6:1
Currituck, Dare	5010D	8:1		Bertie	5060D	7:1
Pasquotank, Perquimans	5010E	7:1		Hertford	5060E	9:1
Beaufort	5020A	7:1		Halifax	5060F	8:1
Martin	5020B	7:1		Edgecombe	5070A	7:1
Beaufort	5020C	7:1		Wilson	5070B	9:1
Washington, Hyde, Tyrrell	5020D	7:1		Nash	5070C	8:1
Craven	5030A	9:1		Edgecombe, Nash	5070D	7:1
Craven	5030B	10:1		Wilson	5070E	9:1
Carteret	5030C	7:1		Nash, Edgecombe	5070F	7:1
Carteret, Craven, Pamlico	5030D	9:1		Pitt	5070G	7:1
Onslow	5030E	10:1		Pitt	5070H	7:1
Onslow	5030F	8:1		Pitt	5070I	8:1
Onslow	5030G	9:1		Pitt	5070J	7:1
Sampson	5040A	8:1		Pitt	5070K	6:1
Duplin, Jones	5040B	7:1		Lenoir	5080A	9:1
Duplin	5040C	7:1		Lenoir, Greene	5080B	9:1
Sampson	5040D	7:1		Greene, Lenoir	5080C	9:1
New Hanover	5050A	8:1		Wayne	5080D	7:1
New Hanover	5050B	6:1		Wayne	5080E	7:1
New Hanover	5050C	7:1		Wayne	5080F	7:1
Pender	5050D	11:1		Wayne	5080G	7:1
New Hanover	5050E	8:1		DIV AVG.		8:1
New Hanover	5050F	5:1				
New Hanover	5050G	7:1				
New Hanover	5050H	6:1				
New Hanover	5050I	9:1				

Division Two Officer to CPPO Ratio					
County	Unit	Ratio	County	Unit	Ratio
Franklin	5090A	7:1	Brunswick	5130A	7:1
Warren, Vance	5090B	7:1	Bladen	5130B	7:1
Vance	5090C	8:1	Columbus, Bladen	5130C	8:1
Granville	5090D	9:1	Columbus, Bladen	5130D	6:1
Franklin, Vance	5090E	8:1	Brunswick	5130E	5:1
Wake	5100A	7:1	Brunswick	5130F	7:1
Wake	5100B	JSC unit	Durham	5140A	8:1
Wake	5100C	9:1	Durham	5140B	8:1
Wake	5100D	9:1	Durham	5140C	8:1
Wake	5100E	9:1	Durham	5140D	8:1
Wake	5100F	7:1	Durham	5140E	8:1
Wake	5100G	7:1	Durham	5140F	8:1
Wake	5100H	7:1	Durham	5140G	JSC Unit
Wake	5100I	7:1	Durham	5140H	8:1
Wake	5100J	7:1	Durham	5140I	8:1
Wake	5100K	7:1	Chatham	5140J	7:1
Wake	5100L	8:1	Orange	5140K	6:1
Wake	5100M	8:1	Orange	5140L	6:1
Wake	5100N	9:1	Alamance	5150A	9:1
Wake	5100O	7:1	Alamance	5150B	9:1
Harnett	5110A	7:1	Alamance	5150C	5:1
Johnston	5110B	5:1	Person	5150D	7:1
Lee	5110C	7:1	Person, Caswell	5150E	6:1
Johnston	5110D	7:1	Scotland	5160A	8:1
Harnett, Johnston	5110E	7:1	Hoke	5160B	8:1
Johnston	5110F	8:1	Scotland, Hoke, Robeson	5160C	2:1
Lee, Harnett	5110G	7:1	Robeson	5160D	7:1
Cumberland	5120A	9:1	Robeson	5160E	8:1
Cumberland	5120B	8:1	Robeson	5160F	8:1
Cumberland	5120C	JSC unit	Robeson	5160G	6:1
Cumberland	5120D	8:1	DIV AVG.		7:1
Cumberland	5120E	8:1			
Cumberland	5120F	9:1			
Cumberland	5120G	8:1			

Division Three Officer to CPPO Ratio						
County	Unit	Ratio		County	Unit	Ratio
Rockingham	5170A	6:1		Richmond	5200A	5:1
Rockingham	5170B	6:1		Anson	5200B	7:1
Surry	5170C	8:1		Richmond	5200C	8:1
Stokes	5170D	9:1		Stanly	5200D	5:1
Surry	5170E	7:1		Stanly	5200E	5:1
Rockingham	5170F	7:1		Union	5200F	8:1
Guilford	5180A	8:1		Union	5200G	9:1
Guilford	5180B	9:1		Forsyth	5210A	8:1
Guilford	5180C	8:1		Forsyth	5210B	JSC Unit
Guilford	5180D	8:1		Forsyth	5210C	9:1
Guilford	5180E	6:1		Forsyth	5210D	8:1
Guilford	5180F	7:1		Forsyth	5210E	7:1
Guilford	5180G	8:1		Forsyth	5210F	8:1
Guilford	5180H	8:1		Forsyth	5210G	8:1
Guilford	5180I	7:1		Forsyth	5210H	8:1
Guilford	5180J	8:1		Alexander	5220A	8:1
Guilford	5180K	9:1		Iredell	5220B	9:1
Cabarrus	5191A	9:1		Iredell	5220C	9:1
Cabarrus	5191B	8:1		Davidson	5220D	8:1
Cabarrus	5191C	7:1		Davidson	5220E	8:1
Rowan	5191D	8:1		Davidson	5220F	8:1
Rowan	5191E	9:1		Iredell	5220G	9:1
Rowan	5191F	9:1		Davie, Davidson	5220H	6:1
Rowan	5191G	10:1		Davidson	5220I	7:1
Randolph	5192A	9:1		Wilkes	5230A	8:1
Randolph	5192B	9:1		Wilkes	5230B	8:1
Montgomery	5192C	7:1		Ashe, Alleghany	5230C	7:1
Randolph	5192D	9:1		Yadkin	5230D	7:1
Moore	5192E	8:1		DIV AVG.		8:1
Moore	5192F	9:1				

Division Four Officer to CPPO Ratio						
County	Unit	Ratio		County	Unit	Ratio
Madison, Yancey	5240A	7:1		Gaston	5270A	8:1
Watauga	5240B	7:1		Gaston	5270B	8:1
Avery, Mitchell	5240C	8:1		Gaston	5270C	8:1
Caldwell	5250A	7:1		Gaston	5270D	4:1
Caldwell	5250B	7:1		Gaston	5270E	8:1
Burke	5250C	7:1		Cleveland	5270F	10:1
Catawba	5250D	6:1		Lincoln	5270G	8:1
Catawba	5250E	7:1		Cleveland	5270H	9:1
Catawba	5250F	8:1		Cleveland, Lincoln	5270I	9:1
Burke	5250G	8:1		Buncombe	5280A	7:1
Mecklenburg	5260A	8:1		Buncombe	5280B	8:1
Mecklenburg	5260B	5:1		Buncombe	5280C	8:1
Mecklenburg	5260C	8:1		Buncombe	5280D	8:1
Mecklenburg	5260D	8:1		Buncombe	5280E	7:1
Mecklenburg	5260E	7:1		Buncombe	5280F	8:1
Mecklenburg	5260F	7:1		Rutherford	5290A	7:1
Mecklenburg	5260G	8:1		McDowell	5290B	7:1
Mecklenburg	5260H	4:1		Henderson	5290C	8:1
Mecklenburg	5260I	7:1		Transylvania, Henderson	5290D	8:1
Mecklenburg	5260J	8:1		Polk, Henderson, Rutherford	5290E	7:1
Mecklenburg	5260K	7:1		Rutherford, McDowell	5290F	7:1
Mecklenburg	5260L	8:1		Haywood	5300A	9:1
Mecklenburg	5260M	7:1		Swain, Jackson	5300B	9:1
Mecklenburg	5260N	8:1		Cherokee, Graham	5300C	8:1
Mecklenburg	5260O	7:1		Macon, Clay	5300D	8:1
Mecklenburg	5260P	8:1		DIV AVG.		8:1

Ratios show the number of certified staff to CPPO. Some units identified as judicial services units process probation cases out of court and are staffed with only judicial services coordinators (JSCs). Other units with smaller ratios have a mix of PPOs and JSCs; PPOs are the only staff shown in the ratio.

APPENDIX C – 2004 NIC UPDATE

- 1.1 That the offender contact requirements be modified. The existing contact requirements are too rigid, inflexible and unnecessary.
Complete. Effective November 1, 2005 DCC revised policy to cover the shift in offender case management and supervision practices. Part of the revised policies addressed modifying offender contacts. Policy revised again September 1, 2010; contacts support evidence based practices, to include remote reporting for the lowest risk offenders
- 1.2 That the division embrace a more structured case planning methodology where contacts are measured by quality rather than only quantity and fails to consider offender criminogenic needs
Complete. DCC has developed a case planning process that incorporates court-ordered conditions of probation and offender risk and criminogenic needs identified through the assessment process. Statewide training and implementation was completed in September 2010.
- 1.3 That the division should continue to monitor and evaluate revocation rates to ensure that alternatives to incarceration are being appropriately utilized.
Complete. The November 2005 revised policies included expectations to use sanction alternatives based on demonstrated need and not on a hierarchy system that emphasizes numbers. The focus moved to matching needs with alternatives, such as ensuring that offenders with positive drug screens enter sanctions that include appropriate treatment. Update: Justice Reinvestment Act (SL 2011-192) gives limited revocation authority to the Courts and to the Post Release Parole Commission. This will reduce the number of technical revocations to prison.
- 1.4 That the Offender Management Model (OMM) supported by DCC administration, be rigorously emphasized and strongly promoted.
Complete. A section within policy emphasizes OMM and its critical components.
- 2.1 That Probation/Parole Officer I's receive the same officer safety package other probation/parole officer levels receive. These staff provide public safety in the same neighborhoods for the same offenders encountering the same risk as other officers, in the performance of their duties.
Complete. The Division's move to one class of officer eliminated the PO1 classification.
- 2.2 That the compensation for division staff be evaluated and appropriately reclassified to reflect their job descriptions, abilities, and the fact that certified Probation/Parole Officers meet all statutory requirements for state law enforcement benefit programming.
Ongoing. The workload study conducted by the UNC School of Social Work reviewed duties conducted by officers and judicial services coordinators. The report offers operational recommendations in a number of areas to improve workflow, save time spent on administrative tasks and improve officer morale. The Division continues to

pursue funding for PG 69 level for probation officers and recommends inclusion in the law enforcement officer retirement benefit structure.

- 2.3 That the Certified Probation/Parole Officers be included in the state law enforcement retirement system in order to receive the benefits of the Supplement Retirement Income Plan and the Insurance Benefits Plan. They meet the statutory eligibility.

Ongoing. The Division is exploring this possibility; the change requires legislative approval and continues to be included in the agency's expansion budget requests.

- 2.4 That Probation/Parole officers be allowed to have state vehicles immediately available, to include having them at their home, in order to assure that the officers may be responsive to public safety issues.

Complete. A community parking strategy has been developed to place cars in the proximity of officers' homes. Administrative Memo 01.08.10–09 October 2009.

- 2.5 That the division hires full-time trainers. The size of the division, mandatory training requirements, and the need for additional training in areas such as cognitive behavior make this recommendation critical. In 2003, over 10,000 hours of training was provided by 130 current employees (adjunct instructors). The time spent conducting training was in addition to their current job responsibilities.

Complete. The Division has created 13 full-time trainer positions strategically located to reduce the number of training hours provided by adjunct trainers (full-time probation/parole officers). This will allow these adjuncts to focus more on their caseloads.

- 2.6 That adjunct instructors receive compensation for the time required to conduct training. The compensation should be in the form of additional pay for the additional training duties and a commensurate reduction in the number of offender supervision cases assigned to the trainer.

Complete. Full time training positions were created to reduce the need for adjunct instructors. A smaller number of adjunct instructors are still utilized, but no additional funds are available to provide compensation.

- 2.7 That specialized training programs be developed for identified classifications and tasks. These include but are not limited to the following: Judicial District Managers, Chief Probation/Parole Officers, cross training of staff, risk reduction, and case planning. Further current officer safety and related training programs need to be expanded and provided more frequently.

Complete. Peak Performance Training has been developed by the DOC Office of Staff Development and Training for front line supervisors. Specialized training has been developed for the risk/needs assessment and case planning process. Officer training specific to domestic violence, sex offenders, drug treatment courts, electronic house arrest and cognitive behavioral interventions will continue to be expanded and improved. Update: Completed training provided by The Carey Group that focused solely on risk reduction methods employed by a front line supervisor working with employees as they case manage and case plan with offenders.

- 2.8 That the division amends hiring protocols to increase the qualified applicant pool.
Complete. New guidelines completed and implemented May-June 2009. Position vacancies for officer classifications have reached all time lows of less than 1.5% during late 2010. The Division is currently working to sustain these recruitment efforts.
- 2.9 That the division establishes a diverse employee issues committee to examine the reasons for and ways to improve employee morale and retention.
Ongoing. Officers and managers have continually been invited to participate in operations focus groups for the implementation of EBP, for recruitment and retention practices, and for behavior based hiring and interviewing. The Division has continued to use this approach with the implementation of Justice Reinvestment. Update: A position has been dedicated to address issues surrounding employee recruitment and retention.
- 3.1 That the division continues to implement their blending caseload concept. Additional statutory authority should be requested by the division, if necessary.
Complete. All counties utilize blended caseload supervision. One class of officer transition was completed in spring of 2010.
- 3.2 That the division increases the caseloads of community punishment officers. In order to achieve this objective, it will be necessary that the division adopt a risk/needs assessment instrument and a modification of the existing agency contact standards as well as a change in philosophy by existing staff concerning the necessity of contacting low risk offenders.
Complete. In November 2005, the Division raised community officer caseloads from 90 to 110. In 2009, the PO1 classification was eliminated and total blended caseloads were in effect in the spring of 2010.
- 3.3 That the division considers using paraprofessional/non-certified officers to assist with duties currently performed by certified officers relative to offenders, such as criminal record checks, monitoring of financial obligation, data entry, court processing, etc.
Complete. In 2009 upon completion of the Office of State Personnel study, the State Personnel Commission recommended one class of probation officer as well as a judicial services coordinator (JSC) class. The judicial services coordinator is a reassignment from existing Community Service Coordinators. These positions are responsible for court processing duties as well as community service placement and the monitoring of unsupervised community service cases. The position also relieves the number of officers needed to assist in court processing; however, there are not enough JSCs statewide to effectively cover all courtrooms.
- 3.4 That the sex offender control program officers, day reporting specialized officers, drug court officers, domestic violence officers be increased to meet the departments needs and goals relative to the divisions specialized programs. The team believes that the noted specialized programs are excellent. The necessary positions for expanded specialized programs will be

made available from internal transfers as community officer caseloads are increased. The availability of vacant positions will be impacted by any future growth of the offender population managed by the division, however.

Complete. There were not enough officers to cover the reduced caseloads associated with the specialization concept. The Division's move to one class of officer will allow for a blended caseload concept which includes special cases.

- 3.5 That the duties of surveillance officers be evaluated. An excessive amount of time is expended making unnecessary field contacts on assessment validated low risk offenders. The surveillance officers should be reallocated to day reporting centers or to multiple intermediate classifications for work activities of recognized high risk offenders

Ongoing. The surveillance officer now reports to a chief probation/parole officer and provides assistance to all officers within the unit. The SO provides assistance in the management and supervision of a variety of offenders within a unit and geographical area, expanding beyond intensive cases to include day reporting centers, electronic house arrest, drug treatment courts and global positioning satellite tracking. With increasing numbers of higher risk offenders under supervision, there is a greater need to focus on control in order to address offender needs. The implementation of the Justice Reinvestment Act (SL 2011-192) will change the role of the SO. Surveillance Officers will be used to monitor lower risk offenders as a result of the updated caseload goal for probation officers and the additional offenders who will be released from prison under community supervision.

- 4.1 That the division develops and/or adopts a dynamic risk/needs assessment tool to assist them in making caseload management decisions.

Complete. The Division has developed a dynamic risk and needs assessment that is being used by officers statewide. The information obtained from this assessment calculates supervision levels for offenders and has been relied upon heavily for implementation of Justice Reinvestment.

- 4.2 That the division have the authority to assign appropriate cases to staff. This will require changes in policy and statute so the division can place low risk cases that originated as an Intermediate case to a Probation/Parole Officer I caseload. Further, that high risk cases currently being managed by Community Officers are moved to Intermediate Officers. We recommend Intensive Officers and Intermediate Officers blend their caseloads when deemed appropriate by the division.

Complete. Supervision has moved to completely blended caseloads.

- 4.3. That the North Carolina general statute regarding delegated authority be expanded to make available to any offender the intermediate supervision of Day Reporting Center, Electronic House Arrest and Intensive sanctions as deemed appropriate by a validated risk assessment. Further that the division consider limiting a chief's supervision workload to no more than 12 officers.

Complete. Delegated authority changes were made via the Justice Reinvestment Act (SL 2011-192) and will be implemented in fiscal year 2011 – '12. CPPO ratio has

reduced to 8:1.

- 4.4 That the division conducts pre-sentence investigations on all offenders convicted of a felony that falls in the Intermediate/Active sentencing grid. Information provided in pre-sentence investigation reports is invaluable to the court, prosecutors, defense counsel and division staff. Further, that division provides a specific sentencing recommendation in each pre-sentence report. This information will assist the division in their efforts to concentrate on quality contacts rather than the quantity of contacts. This will also facilitate the division's migration from a pure containment model to an out-come based supervision model.
Complete. Legislation mandated that DCC and Administrative Office of the Courts conduct a feasibility study to determine the usefulness of presentence investigations. The report was presented in May of 2010.
- 4.5 That offenders be discharged from probation supervision when they have satisfied their criminogenic needs and are at a risk level that does not warrant supervision. The division will be able to identify these cases utilizing a validated risk and needs assessment.
Complete. The Division has fully implemented supervision by the new levels achieved through the use of the risk and needs assessment. Lower leveled offenders will be allowed to report by computer or mail-in report called Offender Accountability Reporting (OAR). Additionally, S.L. 2009-275 provides for the transfer of certain low risk misdemeanants placed on supervision to be moved to unsupervised probation. The offenders transferred cannot be under any special conditions, must be low risk, and must be able to continue to pay any monies owed as a part of unsupervised.
- 4.6 That the division utilizes the flexibility that will be provided when utilizing a risk and needs assessment to address other staffing needs. Community officer caseloads are low, based on national standards. The risk and needs assessment, combined with appropriate changes in supervision contact requirements, will permit increases in the size of community officer caseloads. This will enable intermediate and intensive officers to concentrate on more high-risk offenders and deliver quality specialized programming (cognitive behavior, sex offender control program, domestic violence, drug education).
Complete. The department has moved to a complete blending process and one class of officer. Implemented supervision levels based on risk and needs scores in the fall of 2010.
- 4.7 That the division, contingent on making the above changes, has the necessary policy and statutory authority to blend the high risk cases. These systematic changes should not require additional staff, unless division caseloads continue to rise.
Complete. The blending concept is complete. Supervision levels determined by risk and needs were implemented in the fall of 2010.
- 4.8 That the low risk cases being supervised solely for the collection of fines and costs be transferred to non-reporting caseloads, unsupervised probation, or supervision by paraprofessional staff.
Complete. S.L. 2009-275 provides for the transfer of certain low risk misdemeanants

placed on supervision to be moved to unsupervised probation. The offenders transferred cannot be under any special conditions, must be low risk, and must be able to continue to pay any monies owed as a part of unsupervised.

- 4.9** That the division considers recommending to the legislature a supervision fee system that permits a set fee. This would facilitate the collection of fees and provide officers to focus on supervision and treatment needs of the offender. Collection rates would not be adversely affected.

Ongoing. Legislative action required to enact.

- 4.10** That Driving While Impaired (DWI) level 4 and level 5 offenders be prohibited from being placed on supervised probation.

Ongoing. Legislative action required to enact.

- 4.11** That probation/parole officers workload reporting accurately reflects the actual work performed. Specifically, those officers who are supervising vacant caseloads should receive recognition and credit for the actual work they are performing.

Complete. Offenders on vacant caseloads are now reassigned to other officers who are available to supervise.

- 4.12** That the division examines Global Position Satellite (GPS) technology. Pilot projects of both active and passive GPS systems have been completed nationally. To assist in this effort a copy of the February, 2004 Washington State GPS legislative report.

Complete. GPS technology has been adopted for supervision of offenders sentenced to electronic house arrest and electronic monitoring.

- 4.13** That the division improves the Offender Population Unified System (OPUS) to increase productivity and effectiveness for staff.

Ongoing. Web tools developed to give officers an at a glance view of caseloads and red flags to include new pending charges. OPUS is being moved to a Web-based format by modules; the first phase (intake) was implemented statewide in spring of 2010. The second phase of intake to include judgment/sentence entry was implemented in spring 2011.

- 4.14.** That the division evaluates the officer safety package and other related equipment, to ensure officers have appropriate tools to carry out the performance of their duties.

Ongoing. DCC has completed the process of exchanging former body armor with more effective, lightweight body armor. Firearms and other related equipment has been updated previously. 600 Viper radios received through Recovery Act funds.

APPENDIX D – 2008 NIC UPDATES

A. Operational

1. Concentrate on the fundamentals of solid assessment, case planning, intervention strategies, and supervision to accomplish the following:

Complete. Case management planning and introduction to evidence based practices delivered spring-summer 2009. Implementation of revised supervision levels and supervision by risk-need assessment (EBP) completed in fall of 2010. Continue to work with NIC on additional training for all department staff including upper level management. The Carey Group conducted EBP training for supervisors in the last quarter of 2010 and conducted a train-the-trainer class in spring of 2011. All field staff completed basic EBP training by the fall of 2011.

- a. Identify and correct problem cases noted from special audits; and
- b. Purge caseloads of cases that can be closed or terminated.

Completed in Wake and Durham

2. Hire dedicated paraprofessionals to perform the intake duties and responsibilities.

Complete. - Judicial services coordinator classification approved by the State Personnel Commission, staffing formula completed to access position needs per county and district. In October 2009, all community service coordinator positions changed to judicial services. In November and December 2009, reallocation of POI positions to one classification of PO resulted in 79 moving to judicial services coordinator positions. Additional funding for 13 time-limited judicial services positions received, hiring process started October 2009. Officers continue to assist in areas where there are not adequate numbers of JSC to perform the intake operation.

3. Relieve the PPO positions from the escorting, intake, and other court-related administrative duties specific to the intake function.

Complete. Practices adjusted in Wake and Durham Counties. Ongoing statewide with the move to one class of PO and establishing a judicial services class of employees.

4. Provide to the Courts a directional information sheet that the Court Clerks can provide to the offenders upon the offenders being granted probation. The directional information sheet will provide the directions and phone number to the DCC intake office.

Complete. Local practice/protocols are in place in each district

5. Obtain from the Court Clerks Office a daily listing of the defendants granted probation on the previous day. This listing would be used by intake staff to reconcile the DCC probation intake and ensure that offenders sentenced to probation are assigned to supervision. Investigate if the Court can provide a computer tape to be compared against the DCC's intake data base.

Complete. DOC-MIS and AOC developed and implemented the AOC Search automated tool to provide daily disposition of cases from AOC with DCC Opus intake information

6. Develop a policy or operational instruction that establishes that out of county intake assignments are the responsibility of the receiving PPO to resolve and not the responsibility of the PO assigned to the intake office. A reasonable timeframe should be also identified for resolution.

Complete. Directive #2, 10-17-08

7. Establish and promulgate written guidance to the staff regarding the distribution of vacant caseloads. Determine the specific time period that the vacant caseload is to be redistributed to the staff (i.e., distribute cases if caseload is vacant for 30 days or more).

Complete. Directive #3, 10-17-08 and Interim Supervision Plans

8. Establish and promulgate a mitigation policy as a relief valve for staff who are assigned cases above the DCC threshold for active cases. The policy should take into consideration extending the time period to accomplish certain case-related tasks and a reduction in contact requirements.

Complete. Directive #3, 10-17-08 and Interim Supervision Plans

9. Develop a 12-15 month plan to revamp, update, merge and migrate OPUS to a more user-friendly and efficient information system. The design should encompass integration with both internal and external stakeholder systems and have operational and management report functionality and capability for all levels of organization.

Ongoing. MIS has completed several automated tools to assist with case management and manager oversight. This includes immediate notification to officers when offenders on their caseloads commit are charged with new crimes. CJLEADS is now being used by all certified field staff.

10. Develop a “quick screener” tool to be administered by line officers to identify high risk offenders assigned to the community punishment level of supervision. Low risk offenders similarly should be identified when assigned to the intermediate level of punishment.

Ongoing. Revised supervision levels and implementation of supervision based on the risk/needs assessment are now in practice. DOC Research and Planning office is reviewing the current risk assessment tool Offender Traits Inventory (OTI) for any modifications. The changes to the OTI will come with assistance from the UNC School of Social Work and through Justice Reinvestment recommendations.

11. Establish and promulgate written guidance to staff mandating the movement of inappropriately assigned cases between the community and intermediate levels.

Complete. The current statute assigns levels based on the sentences received (intermediate or community - Structured Sentencing Act 1994); the assessment process for identifying supervision levels based on offender risk and need instead of punishment type was implemented in the fall of 2010.

12. Establish and promulgate written guidance to staff instructing what types of work-related activities are appropriate for non-certified PPOs. It is recommended that non-certified PPO not provide direct offender services nor provide direct court testimony at violation hearings.
Complete. Directive #4, 10-17-08
Update. In 2010, the Division began the use of on-boarding strategies to identify, recruit and retain employees suited for the type of work performed by the agency. Created and published a new hire checklist to guide the first year of employment.
13. Seek legislation that would allow DCC staff to place a no bail hold on public safety risk felon offenders who are rearrested on a new felony charge or arrested on a violation of probation warrant.
Complete. Legislation enacted through S.L. 2009– 412 Delay Bond/Probationer Arrested for Felony. Revises the statutes concerning pretrial release, and also amends G.S. 15A-1345 concerning arrest and hearing on a probation violation. The changes require a judicial official to make a finding concerning the offenders' danger to the public prior to release on bond or pretrial conditions. If the judicial official has insufficient information to make the finding, the offender may be held in custody for up to seven days for a finding to be made.
14. Have DCC investigate the feasibility of introducing the PSI report on a trial basis to the Court. If the full PSI is not a viable option, then have the DCC develop a shorter version of the PSI that includes the official and defendant's version of the charge; the defendant's criminal, social, substance abuse, and mental history; the offender's physical health; and the PPOs recommendation to the Court.
Complete. PSI study submitted to legislature in May of 2010.
15. Develop a revised intake manual for the Wake County Intake Office that has screen shots that illustrate the intake process, identify the documents needed to begin the intake process, shows what constitutes a correct intake assignment, how to verify a home address, etc.
Complete. DCC policy and OPUS Manual provide intake details and examples. Wake County has revised its local intake procedures and processes.
16. Have Central Administration staff revise the Wake County intake manual for the purposes of state-wide uniformity in state-wide operations, where applicable.
Complete. DCC policy and OPUS Manual provide intake details for consistent statewide use; local SOP / protocol developed to complement use.
17. Establish a Criminal Justice Coordinating Council to ensure that a forum exists for stakeholders to meet regularly to discuss and plan criminal issues.
Ongoing. Legislative action required to enact.
18. DOC seek legislation so that DCC staff can access juvenile history information on offenders assigned to supervision to have a complete picture of the offender's current and prior criminal history when determining the appropriate supervision level.

Complete. Legislation enacted (S.L. 2009–372, Probation Reform). Amends several general statutes pertaining to juvenile offenders and allows adult Probation Officers access to portions of certain probationer’s juvenile record without a court order. Allows the Division of Community Corrections access to the juvenile record of those offenders placed on probation for offenses committed on or after December 1, 2009 and when the probationer is less than 25 years old. DCC may look at the records of these offenders if there is an adjudication of delinquency for acts that would be a felony if committed by an adult. Implemented supervision based on the use of the risk-need assessment for in fall of 2010.

B. Management/Personnel

1. Institute an “open and continuous” job announcement posting and hiring process to develop a qualified, ready pool of applicants to fill vacant PPO positions.

Complete. State Personnel Commission approved, process and new guidelines implemented May-June 2009

2. Recommend that the core competencies hiring criteria be revised to identify those core competencies (for example: action planning, motivating for change, dealing with resistant offenders, leveraging resources for mentally ill offenders, etc.) required for the job that are consistent with evidence-based practices.

Complete. New guidelines completed and implemented May-June 2009. Developed core competencies for probation officer and chief probation/parole officer positions; will train and implement in winter 2011

3. Discontinue the practice of assigning new PPOs to the field without having first completed the new trainee academy.

Complete. Directive #4, 10-17-08

4. Hire new PPO trainees in conjunction with commencing the dates for the new employee academy.

Complete. OSDT has worked with the Division to add additional training dates to reduce the time waiting, and have reduced the number of new hires necessary to conduct a class session. The new process has drastically reduced waiting time from employment to training to less than 30 days. New hiring practices also established for continuous posting and trainee recruitment.

5. Reduce the time period it takes for new officers to be certified.

Complete. New officers are attending basic training approximately 30 days or less from the hire date.

6. Obtain commitment from the DOC Training Division to schedule multiple new employee training academies to reduce the vacant PPO position in DCC.

Complete. OSDT has added multiple sessions and revised other criteria to eliminate the backlog.

7. Develop a formalized mentoring program to assist newly appointed PPOs.
Complete. Implementation of the Probation Field Specialist (pg 70) as authorized by the State Personnel Commission has been completed. Four positions were approved and hired in the following locations: New Hanover, Wake, Guilford and Mecklenburg.
8. Ensure updated, current DCC policies, operational procedures, and curricula are fast tracked through the Training Commission in order to ensure that the newly appointed PPOs receive the latest policies and procedures in the new employee training academy.
Complete. OSDT has updated all lesson plans with DCC to ensure that the curriculum is current with DCC policy, operational procedures and evidence based practices; all 38 lesson plans in the basic curriculum have been revised; the basic curriculum is under pilot status with the Criminal Justice Education & Training Standards Commission to give OSDT the authority to make necessary changes in the curriculum and is advising the Commission of changes as required. The Commission meets four times per year and there is no fast track through the Commission. Beginning July 2011 a five week Basic Training that is a combination of the former Basic and Intensive Training will be in place.
9. Retrain all area divisional personnel specialist in merit system rules and regulations for recruitment and selection processes, with the goal of expanding the pool of eligible applicants.
Complete. The Division worked closely with DOC Personnel to implement the new hiring guidelines and continuous posting.
10. Reduce the span of control and the areas of responsibility for DCC Central Administration. Currently, the span of control for DCC Central Administration is too large. A senior position to manage the administrative functions of the DCC would reduce the work burden on the Senior Administrator and the Director. This additional position would permit the Senior Administrator to focus on operational issues.
Complete. The organizational structure has been revised with a Deputy Director to oversee the judicial divisions and field operations and an Assistant Director to oversee special operational areas and programs.
11. Reduce the span of control for the Area Administrator. Currently, the span of control for the Area Administrator is too large. Another position is recommended to have administrative responsibilities that would reduce the workload of the Area Administrator and the Assistant Area Administrator.
Complete. The organizational structure was revised due to legislative action by consolidating judicial districts from 45 to 31 and reducing some management positions. The Judicial Division Administrator's role continues to have the same workload as no additional positions were received from the legislature for management.
12. The Reviewers recommend that a training/coaching session for management staff be provided to assist with uniformity of application in the corrective action process.

Complete. DOC-Personnel completed scheduled refresher training with appropriate staff. DCC's Deputy Director also reviews field operations investigation and disciplinary actions to ensure uniformity.

13. The DCC should review its corrective action policies and processes, as well as consider the feasibility of delegating certain disciplinary actions at the Area Administrator level.

Complete. Directive #5, 10-17-08

14. Reduce the CPPO span of control to 6 or 7 PPOs to 1 CPPO.

Ongoing. 18 additional CPPO positions were received from the legislature in 2009. Additional expansion requests will be made to continue to work toward this goal. Current average span of control is 8:1.

15. Reduce the Wake County CPPO span of control from 22 staff to 1 CPPO to function as an intake supervisor. This recommendation would require another supervisor be appointed to supervise the PPOs assigned to the Wake County intake office.

Complete. This was inaccurate information as there is not a 22 to 1 ratio for the intake staffing. There were 19 employees in the unit and a CPPO. The CPPO was responsible for the supervision of four probation officers, two lead judicial services coordinators, a data entry specialist and a processing assistant. The two lead judicial services coordinators supervised the other employees who were judicial services coordinators. The same structure currently exists.

16. Provide clerical assistance to each supervision team to support team operations and free PPOs from clerical functions, such as filing, copying, etc.

Ongoing. No new positions were funded by the legislature.

17. Conduct a state level staffing analysis to lend support for a lower span of control with the goals to improve operational effectiveness and efficiency.

Ongoing. UNC School of Social Work has advised the Division of results and recommendations based on their workload study. Ongoing work is being done to implement/adopt some of these recommendations. Additionally, the school is working with the Division on the validation of the needs portion of the risk and needs assessment used by DCC.

APPENDIX E– SUPERVISED COLLECTION CASES
Snapshot as of January 2012

Monetary Conditions Only		
District	Number	Percent
Interstate Compact	23	1.98
1	15	1.29
2	24	2.06
3	29	2.49
4	33	2.84
5	36	3.1
6	19	1.63
7	58	4.99
8	33	2.84
9	50	4.3
10	35	3.01
11	24	2.06
12	30	2.58
13	40	3.44
14	27	2.32
15	19	1.63
16	21	1.81
17	21	1.81
18	77	6.62
19A	39	3.35
19B	54	4.64
20	25	2.15
21	95	8.17
22	82	7.05
23	12	1.03
24	7	0.6
25	57	4.9
26	64	5.5
27	51	4.39
28	28	2.41
29	14	1.2
30	21	1.81
Total	1,163	