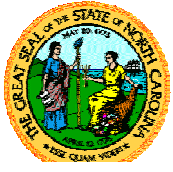


**NORTH CAROLINA  
DEPARTMENT OF CORRECTION  
DIVISION OF COMMUNITY CORRECTIONS**



Theodis Beck, Secretary

Michael F. Easley, Governor



Robert Lee Guy, Director

TO: Robert Lee Guy, Director

FROM: Betty Bauer, Acting Judicial District Manager, District 10  
Diane Isaacs, Acting Assistant Judicial District Manager, District 10  
Vernon Bryant, Acting Assistant Judicial District Manager, District 10

RE: Judicial District 10 Report

DATE: August 1, 2008

**CONFIDENTIAL REPORT: Personnel Sensitive Information Contained**

**BACKGROUND**

An investigation was ordered by Director Robert Lee Guy as a result of the Serious Crime Report on Probationer Demario Atwater. Atwater was charged with the murder of Eve Carson, UNC Chapel Hill student. The date of offense was March 5, 2008. On February 16, 2005, Atwater pled guilty to the charges of Felony Breaking and Entering (B&E), Felony Larceny and Felony Possession of Stolen Property in Wake County. Atwater received eight months minimum to 10 months maximum suspended and placed on supervised probation for thirty-six months with the following conditions:

- Pay Court Costs;
- Pay Fines;
- Pay Restitution;
- Pay Attorney Fees;
- Not to be found in or about the premises of the victim Michael Ryder and John Thompson;
- Not assault, threaten or harass John Thompson or his family;
- Not to engage in gang activity or associate with any known gang members;
- Intermediate Punishment: Intensive

As a result of the Serious Crime Audit supervision deficiencies were noted on offender Atwater. This audit was then expanded to Officer Chris Gladney's entire caseload.

On March 31, 2008 the Judicial District Manager and both Assistant Judicial District Managers were temporarily reassigned.

On March 31, 2008 we reported to Wake County as an interim management team due to the Administrative Placement of the existing Judicial District Manager and two Assistant Judicial District Managers. During our reassignment, all areas of Wake County district operations were reviewed and audited. Serious deficiencies were found in all areas resulting in the interim management team having to overhaul routine office operations, implement many new procedures and processes in accordance with DOC and DCC Policy, and provide extensive training to District Office Staff and Chief Probation/Parole

Probation • Intensive • House Arrest • Day Reporting Centers • Criminal Justice Partnerships • Post-Release • Parole  
Community Service Work Program • Interstate Compact • Substance Abuse Screening Program

Officers. In addition to the interim management team, an audit team was assembled to perform offender case file reviews to determine the extent of job performance issues.

## **FINDINGS**

Below are findings made by the interim management team from March 31, 2008 through June of 2008.

### **A. Fiscal Management**

- 1) Asset Report - the semi-annual inventory was conducted on 4-4-08. OAIIV had to be trained by an Accounting Technician as District 10 support staff were never involved in this process. The April 2008 inventory found 67 pieces of equipment missing including conference tables, desks, and copiers, etc. The missing assets are valued at \$110,823.61. The previous inventory was conducted by the JDM on 12-20-07 and he failed to report any missing assets through use of the required DC-518. A total of 36 items did not have asset tags affixed and eighteen tags were found in a box located in the supply room of the District Office. Two items had incorrect descriptions, four items physically located at the district office were not on the equipment report, and six items needed to be transferred to District 10 inventory. No previous semi-annual inventories noted or corrected the above items.
- 2) EHA Inventory – Previous managers failed to establish an EHA inventory control process to ensure assets were accounted for. Equipment was not kept in a central location. The EHA equipment inventory had never been reconciled prior to the interim management team taking control. There were many inconsistencies between the EHA Equipment Report and the Usage/Activity Report. After two days, the inventory was reconciled.
- 3) File Retention – District staff was unaware of a retention schedule and files had not been purged in several years. Outdated information and forms including old personnel files, time sheets, and community service files were taking up file space. On 5-27-08 confidential information weighing 4,245 pounds was destroyed by a commercial shredding company.
- 4) Toner Recycling – there was no established process for recycling empty toner cartridges. There were in excess of 100 empty cartridges being stored.
- 5) Offender Confiscated Weapons were discovered in a security locker without chain of custody forms per policy.
- 6) Miscellaneous – the interim management team found various equipment tags and fiscal forms thrown in a security locker including 2007 equipment tags for printers, DC-272 Transfer of Equipment forms, a list of fixed asset equipment, copies of previous internal audits, telephone bills, and copies of mileage logs.

### **Corrective Action Taken**

- 1) Semi-Annual Inspection conducted 4-4-08 involved eye-balling each item in District 10, ordering new tags by use of DC-761, placing existing tags on equipment, correcting the description by use of DC-760, adding fixed assets by use of DC-757, reporting missing assets by use of DC-518, and transfer of equipment by use of DC-272. The OAIIV was trained in completing this task.

- 2) EHA Inventory – The interim management team established a process for assigning equipment, making equipment changes, returning equipment, and reporting damaged equipment. This process was shared with all staff and has been effective in keeping the inventory system up-to-date.
- 3) File Retention – The personnel room and supply room were reorganized, out-dated forms and files were destroyed, and out-dated community service files were destroyed. A heavy duty shredder was ordered and received for the District Office and smaller shredders were ordered and received for the three building locations. Previously, there were no shredders available at the Judicial Services Building or the New Hope location.
- 4) Toner Recycling – empty cartridges are being recycled as received.
- 5) Confiscated weapons – DCC Policy regarding confiscated weapons has been reviewed with the Chief Probation Officers.
- 6) Other Corrective Action
  - Training on how to process SBI reports
  - Instruction on issuing standard equipment to new hires and those scheduled for Basic and Intermediate Training.
  - Training OAIIV to complete surplus of equipment which they had never done before.
  - Acquired a safe for storage of weapons and other assets such as stamps.
  - Acquired a freezer for Units D & E to store urine samples. Previously, officers in other buildings had to transport all urine samples to the New Hope location for storage.
  - Acquired a new copier for the District Office and new printers for the two OAIIV which increased productivity.
  - Office organization: surplus items and items no longer needed were removed creating more space and a better work environment. There has been an overall cleanup of the buildings eliminating clutter. Files have been purged and cleaned up making it easier to find items and also creating more filing space. Support staff has gotten better organized and improved their work performance.
  - Assistance was provided by Division 3 to better train the office staff. They gave guidance and information regarding their daily responsibilities. Some job duties formerly performed by the AAI have now been assigned to the OAIIV. Likewise many job duties formerly completed by the JDM have now been assigned to the support staff.
  - Communicated dissatisfaction and expectations with vendors with current janitorial contracts in two locations.
  - AJDM began inspecting CPPO firearms monthly and CPPO began monthly inspection of firearms assigned to their staff. This was not the procedure in District 10 prior to the interim management team. Provided CPPO with updated monthly firearm inspection report and updated quarterly equipment report. Outdated forms were being used.
  - Shared updated information to all staff regarding current vendor for interpreter service. District was not using current vendor.
  - Updated the security system at two locations which included adding new personnel and deleting past employees. Designated contact persons for each location in the event of an emergency. Trained contact persons in updating the system when changes occurred with employees.

## B. Personnel Findings

- 1) TAP – In May of 2008 DOC Personnel completed a review of District 10 Cycle 20 and Cycle 21 TAP packages. Below is a summary of TAP deficiencies and trends as found by DOC Personnel.

### Performance Cycle Dates:

- Employee performance cycle dates were changed when an employee was reassigned or laterally transferred. (Performance cycle dates should only change due to promotion, demotion, and short-cycle).
- Employee performance cycle dates were changed when an Interim Review was conducted late.
- Employee performance cycle dates were not changed when a promotion occurred.
- Employee performance cycle dates were changed when a position was reallocated.

### Performance Standards:

- Incorrect performance standard was used on some of the TAP packages. Particularly, supervisors need to use the new Probation/Parole Officer performance standard for the Probation/Parole Officers rather than Public Safety.

### TAP Cover Sheet:

- Information on the Cover Sheet was incomplete (i.e. cycle dates, completion dates, performance standard not indicated).
- Justifications for untimely Work Plans, Interims, and Final Evaluations were not documented in the Comments Section.

### Performance Logs:

- Many packages were without performance logs.
- Performance logs did not contain enough log notations to support ratings (example: two entries and one is rated VG and the other is rated BG).
- KRR, DIM, and Ratings were not assigned to log notations.
- Multiple log notations were made based on one case review. When completing case reviews, supervisors listed each individual deficient case and assigned a BG or U rating on the performance log. Therefore, several packages had an overabundance of BG and U ratings based on deficient case reviews. In addition, some of these same packages did not reflect any positive log notations in areas that the employee may be performing well.
- Below Good and Unsatisfactory performance notations were not initialed and dated by the employee.
- Below Good and Unsatisfactory performance notations did not contain corrective action, timeframe for improvement, or date for follow-up (required elements of a Coaching). Follow-ups not conducted.

### Action Plan:

- EAP Form not completed when an employee received a BG or U on an Interim or Final Evaluation.
- KRR and/or DIM was not connected or recorded on the form.
- Often, timeframe for improvement was not clearly indicated.
- Follow-ups were not conducted or documented.

#### Written Warnings:

- In many packages, we could not determine if there was active written warnings based on the review of the TAP.
- EAP Forms could not be found for all Written Warnings. KRR and/or DIM were not clearly connected to the disciplinary action (not on EAP Form, not in the Written Warning letter, not on the Performance Log).
- Supervisors did not indicate in Section D of the Final whether discipline was active or not.
- As a result of the above, several of the Written Warnings had been resolved at the Final Evaluation.
- Discipline needs to be connected to the most related KRR or DIM (not almost all KRR/DIM).

#### Work Plan:

- Untimely and/or not containing all signatures (employee, supervisor, and manager). Dates were also not recorded with the signatures.
- Not signed in the appropriate order (1<sup>st</sup> supervisor, 2<sup>nd</sup> manager, 3<sup>rd</sup> employee).

#### Interim Review:

- Untimely and/or not containing all signatures (employee, supervisor, and manager). Dates were also not recorded with the signatures.
- Not signed in the appropriate order (1<sup>st</sup> supervisor, 2<sup>nd</sup> manager, 3<sup>rd</sup> employee).
- Completed the same day as the Work Plan and possibly the Final Evaluation.

#### Final Evaluation:

- Untimely and/or not containing all signatures (employee, supervisor, and manager). Dates were also not recorded with the signatures.
- Not signed in the appropriate order (1<sup>st</sup> supervisor, 2<sup>nd</sup> manager, 3<sup>rd</sup> employee).
- Completed the same day as the Work Plan and possibly the Interim Review.
- Not all KRR and DIM in Section D were rated. Some of the ratings assigned to the individual KRR and DIM in Section D were not supported by log notations.
- Overall Rating not supported by log notations.
- Could not determine if employees were given an opportunity to provide feedback on their performance prior to the Final because Section C on the Review Form was often blank. If performance logs were submitted by the employee, the logs were not clearly noted as "Employee Feedback." Supervisors failed to rate and assign KRR/DIM to the log notations provided by the employees. Employees need further instructions as to the type of performance documentation they should be providing (employee feedback was very repetitious).
- As indicated in the "Written Warning" section, supervisors failed to record whether discipline was active or not and identify what KRR and/or DIM is connected to the discipline. (Several Written Warnings were resolved at the Final).
- Final Evaluations were not conducted when promotions occurred.

NOTE: OAIV and AAI had never entered TAP ratings into the system. This task was completed by the JDM.

- 2) Personnel Files – The files were not in proper order and some files contained medical information, PIN checks and I-9 forms. These items were to be removed from personnel files by April 2007 per instructions for DCC Admin.

- 3) Position History Files – tracking forms not complete, not in proper order by fiscal year or numerical order.
- 4) Personnel Processing – packages not completed timely (Pin check, conditional offer, salary administration); vacancies not filled timely.
- 5) Investigations – employee investigations were found packaged in envelopes by year and were stored in a security locker in the supply room. The number of investigations was considered minimal based on district size.
- 6) Separations and Reinstatements – the Administrative Assistant I did not know how to process separations and reinstatements. She advised these were processed by the JDM.
- 7) DC-114 – OAIIV did not know how to prepare these reimbursement forms and reported forms were prepared by the JDM.
- 8) Site Security – OAIIV did not know how to reset OPUS passwords, transfer caseloads, create phantom ID or set up new staff ID. JDM performed all site security duties.
- 9) Hiring Practices
  - Vacancies are not being filled timely.
  - Background checks and criminal record reviews are not being conducted according to policy and procedure.
  - Division Office does not have a backup plan to ensure process continues when key personnel staff are out.
  - Time management issues with staff at both District and Division Offices.
  - Promotions to ICO/IPO Positions within District 10 are made with little or no input from District Management
  - Questionable selection of new hires and promotions evident in several position history files.
- 10) Reallocations in Wake County:
  - SO #64739 to a PPO II
  - PPO I #64674 to a PPO II
  - PPO I #64625 to a PPO II
  - PPO I #64559 to a PPO II
- 11) The chart below shows vacancies in District 10:

Position #	Position	Date Vacated	County	Posting Ends	Notes
64674	PPO II	01/02/08	Wake	06/26/08	Screening in process
64625	PPO II	05/07/08	Wake	06/26/08	Screening in process
64794	PPO I	05/05/08	Wake	05/15/08	Screening in process
64559	PPO I	05/30/08	Wake	07/03/08	
64632	PPO II	06/06/08	Wake	06/12/08	Screening in process
66102	PPO II	05/27/08	Wake	06/12/08	Screening in process
61409	PPO II	06/05/08	Wake	06/12/08	Screening in process
61422	PPO II	06/23/08	Wake	06/19/08	Screening in process
64531	AJDM		Wake	07/03/08	
64725	JDM	06/24/08	Wake	07/03/08	
61430	PPO II	07/07/08	Wake	07/03/08	
64717	OAll	07/01/08	Wake	07/10/08	

**Personnel Issues**

- Doug Pardue
- Lawrence Lindsey
- Tony Taylor

**Management:**

- Reassigned
- Retired
- Reassigned

**Status**

- Completed
- Completed
- Completed

**Supervisors:**

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

- Coaching & Action Plan
- Coaching & Action Plan
- No Action Needed
- No Action Needed
- Coaching & Action Plan
- Demotion
- Written Warning
- Coaching & Action Plan
- No Action Needed
- No Action Needed
- No Action Needed
- No Action Needed

**Status**

- Pending
- Pending
- NA
- NA
- Pending
- Completed
- Pending
- Pending
- NA
- NA
- NA
- NA

<u>Supervisors</u>	<u>Officers:</u>	<u>Status</u>
➤ [REDACTED]	[REDACTED] – Written Warning	Pending
	[REDACTED] – Written Warning	Pending
➤ [REDACTED]	[REDACTED] – Written Warning	Pending
➤ [REDACTED]	[REDACTED] – Written Warning	Pending
	[REDACTED] – 2 <sup>nd</sup> Written Warning	Pending
	[REDACTED] – Written Warning	Pending
	[REDACTED] – Coaching & Action Plan	Pending
➤ [REDACTED]	[REDACTED] – Coaching & Action Plan	Pending
	[REDACTED] – Coaching & Action Plan	Pending
	[REDACTED] Resigned	Completed

**Corrective Action**

- 1) TAP – DOC Personnel met with each CPPO to review and ensure Cycle 20 TAP were completed and issued to employees. Each TAP package was reviewed with the CPPO and deficiencies were discussed. CPPO were instructed to issue Cycle 21 Work Plan and/or Interim Reviews which were due. All Cycle 20 TAP ratings were entered by the OAIV; the first time that the OAIV had ever entered TAP ratings. Cycle 21 TAP documentation is now current for all staff except those that report to the JDM. The AAI and OAIV have been instructed to submit performance logs to the Acting JDM. The CPPO have been instructed to submit performance logs to the Acting Assistant JDM. These logs will be used to keep Cycle 21 TAP current for District Office Staff and CPPO.
- 2) Personnel Files – these files were reviewed by Division 2 Personnel Tech. and improper forms were removed. Division 3 staff provided information regarding what is to be kept in personnel files.
- 3) Position History Files – Division 3 staff provided instruction on how to maintain these files.
- 4) Personnel Processing - Division 3 staff provided instruction and AAI was given a position tracking form to assist with timely processing.
- 5) Investigations – district filing system and data base needs to be established; involve CPPO in investigations resulting from complaints on unit staff. CPPO stated they were often not informed of investigation findings, especially motor fleet management complaints.
- 6) Separations and Reinstatements – AAI has been trained and is now performing this responsibility.
- 7) DC-114 – OAIV have been trained and are now performing this responsibility.
- 8) Site Security – OAIV received site security training and is now performing these duties.
- 9) Met with District OAIV and AAI upon arrival of interim management team to determine current job duties. Realigned duties for each in order to balance workload and separate fiscal and personnel responsibilities.



- 10) Other – Both OAIIV have received:
  - Refresher Payroll courses in Beacon
  - Authorization to access AOC
  - Up-dated Policy and Procedure Manuals
  - Training on setting up security codes for alarm systems
  - Attended Division 3 training concerning Beacon time entry, pay check receipts and how to pull various screens and reports for personnel and salary information
  - Assistance provided by Division 3 in all personnel areas
- 11) Division and District staff need extensive training in merit based hiring and time management.

C. Operational Findings

- 1) Offender Case File Audit - an audit team was assembled to perform offender case file reviews to determine the extent of the job performance deficiencies in Wake County. Nine hundred forty-four of the 7,424 offender files were reviewed representing an audit of 13% of the total offender population. The findings follow:

<b>Files OK</b>	<b>Moderate Problems</b>	<b>Serious Problems</b>	<b>Administrative Follow-up</b>	<b>Violation Staffings</b>	<b>Total</b>
174	171	237	340	22	944
18%	18%	25%	36%	2%	

61% of the cases reviewed were marked for a 30-day follow-up and will require additional actions be taken to comply with policy.

The audit indicated that some CPPO were meeting expectations. However, the audit revealed the following deficient trends in case management by certain Chief Probation/Parole Officers:

- case reviews coded as (2) moderate problem when a (3) serious problem or (4) administrative review was appropriate
- no action taken when staff fail to follow CPPO directives from case reviews
- although normally thorough, initial case reviews often not timely
- instances of multiple follow-up case reviews without addressing officer’s job performance
- case reviews coded (2) for moderate problems but no comments by CPPO
- Absconder cases not reassigned to ISO in timely manner. CPPO not involved in process of assigning intensive offenders to ISO. This responsibility was left to individual officers.
- DCI absconder packets not approved or submitted timely
- no standard procedure for absconder cases regarding who updates PPO5 to L05 and who assigns case to ISO
- assigning expired cases to officers
- high number of unsuccessful terminations
- high number of expired cases which have not been closed and were apparent when completing the monthly CPPO report
- approving violation reports without absconder requirements being met
- violation reports approved after expiration date
- violation process not approved in a timely manner
- no vacancy plans to ensure vacant caseloads are distributed in a manner which balances workload among staff throughout the unit or district

- transfer and transmittal process between Wake and Durham Counties is an area of concern and case files are often not sent or received in a timely manner
- local practice of allowing 14 days to begin EHA sanction

Likewise, the audit indicated that some officers were meeting job performance expectations. However, the audit revealed the following deficient trends in case management by certain PPOI, PPOII, PPOIII and ISO:

- violation reports not prepared timely following CPPO approval of violation report
- violation reports one year old or older pending with no disposition
- violation reports not issued timely – issued one day to 30 days prior to expiration
- lengthy supervision lapse with no contact before violation reports are issued
- failure to maintain offender contact pending disposition of violation hearing
- OFA and violation reports not served timely nor any attempt to serve even when offenders are in custody
- violation reports and modification orders issued without CPPO approval
- cases expiring with restitution owed/financial obligations
- cases not submitted to CPPO timely for closure on PPO5
- DCI packets not prepared/submitted in a timely manner
- DCI packets returned by DCI and not resubmitted timely
- notice of arrest not sent to DCI timely
- absconder process not initiated timely
- absconder supervision requirements not met per policy
- failure to verify treatment
- failure to follow policy regarding first 30 days of supervision
- failure to supervise courtesy cases
- minimal curfew checks for intensive offenders
- tendency to not follow-up with offenders who fail to appear in court for probation violation hearings
- failure to resume supervision following absconder capture despite being released on bond
- home contacts, field contacts and weekend contacts less than minimum requirements per policy
- minimum supervision requirements not met for Intensive offenders
- warrantless searches and drug screens below minimum requirements
- narrative writing lacks detail and omits relevant information such as court dispositions
- case files lack copies of court orders, especially revocation orders
- Two areas of concern with ISC are initial transfers and handling violations returned to the field. Deficiencies were found in requesting reporting instructions, transfer requests, and submitting completed transfer packets following the receipt of reporting instructions from other states and a lack of follow up to ensure the packets have been submitted to the ISC office.
- Confusion on how to handle NC cases returned from the ISC office with violations.
- In some instances, intermediate punishment offenders were assigned to PPOI caseloads.
- Deficiencies in processing new cases by Judicial Services Unit

The audit revealed the following deficiencies in OPUS data entry by certain supervisors and officers:

- cases not submitted to CPPO timely for closure on PP05
- incorrect sanction begin dates
- PP05 not updated with L05/G05

- L05/OT80 do not match
  - cases entered on OT80 with no L05
  - cases not being put in unavailable/non-reporting status
  - PP05 coded incorrectly by CPPO when closing case
- 2) Staff Direction and Communication – directions given to staff by previous management team at times went against DCC Policy as well as good business practices such as:
- Managers failed to enact supervision plans for vacant caseloads. CPPO reported having to devise their own emergency supervision plans within their units or with one other supervisor in their zone despite the number of vacancies within the unit. Auditors determined that significant offender supervision deficiencies were found in vacant/courtesy caseloads. Management’s failure to meet with CPPO to develop supervision plans for vacant caseloads through the most effective and efficient use of all staff may have contributed to these supervision deficiencies.
  - Managers allowed a practice of 14 day EHA hook-up in violation of DCC policy.
  - Some CPPO reported that one AJDM discouraged them from giving follow-up case reviews and discouraged them from addressing staff for failure to follow CPPO case review directives and conduct required home conducts per policy.
  - Some CPPO reported that one AJDM approved assigning Intermediate Punishment offenders to PPOI.
  - The “Officer of the Day” policy continued despite a directive that the practice be discontinued in an Administrative Memorandum from the Director dated 2-1-02. This administrative memorandum was necessary as a result of a previous investigation in District 10 during 2000/2001.
  - Teamwork between Special Ops CPPO and Field CPPO did not exist and it appeared that no effort was made to resolve divisiveness and improve relationships.
  - Managers provided very little oversight of operations. Available data and batch jobs were not utilized by managers or shared with CPPO in an effort to improve operational deficiencies.
  - Workload of 2 AJDM not balanced. One AJDM managed 8 field units whereas the other AJDM managed 4 units made up of three Special Operations and Judicial Services.
  - Serious crime report audits substantially less than most urban areas.
  - The decision by one AJDM to allow intermediate offenders to be assigned to PPOI caseloads compromised staff and public safety by requiring untrained/less qualified staff to supervise high risk offenders.
  - Management’s lack of oversight regarding the practice of officers assigning surveillance officers to perform curfew checks on intensive offenders potentially compromised field operations and public safety.

**Corrective Action:** As a result of audit findings and observations of acting managers, the following corrective action has been taken by the interim management team:

- CPPO instructed to complete all follow-up reviews as result of audit as well as routine case reviews. There has been a substantial increase in the number of case reviews performed each month. A plan has been implemented to assist those CPPO who are behind on case reviews.
- Discussed case review policy with CPPO; explained purpose of administrative follow-up review and expectation for follow-up case reviews. There has been significant improvement in case review coding with what appears to be an appropriate increase in the

number of cases coded for a follow-up review. Field CPPO related that previous AJDM discouraged use of this type of review code.

- CPPO given examples of Employee Action Plans to use when addressing performance issues.
- CPPO provided with a check-off list to use as a guide prior to approving DCI packages. Any returns due to errors were reviewed with individual CPPO. Since March 2008 there has been a reduction in the number of offenders in absconder status without warrants on file with DCI.
- Discontinued practice of officers assigning absconder cases to ISO. Absconder cases are now assigned to ISO by CPPO following their review of file.
- Discontinued practice of officers assigning an ISO to conduct curfew check on Intensive offenders. A new process has been implemented whereby ISO assignment occurs during the intake process and CPPO/ISO are notified of case on day of conviction.
- Addressed and monitored expired cases with CPPO and sent out lists of cases for closure. Since March 2008 there has been a reduction in cases past the expiration date which have not been closed.
- Interim management team worked with CPPO to develop vacancy plans using resources from throughout the district. Resources from the three Special Ops units have assisted with vacant field position. This practice of special ops. assisting field units did not occur in the past.
- Discontinued local practice allowing 14 days to begin EHA sanction. Written memo to all staff from acting manager clarifying DCC Policy and expectation of immediate hook-up of EHA.
- Distributed list to CPPO for corrective action of offenders having no contact in 90 days.
- ISC staff will be training all CPPO on the specific ISC issues identified earlier. Field staff will be trained at a future date.
- A lead community service coordinator in Wake County reviewed hundreds of cases for any data entry errors. As a result of the findings, the CCA for Division 2 devised refresher training. The purpose of this training was to go over the repetitive errors that were occurring during court processing, emphasize the importance of entering correct data and explain consequences that occur when data is not entered correctly. The training was also designed to re-train processors so that data entry procedures were more uniform within the district. Training sessions were held with all staff from the judicial services unit attending. Trainees were given mock documents to enter and process offenders with various scenarios similar to those encountered daily in the court system. Once data entry was completed, screens were checked for accuracy and corrections needed were made by trainees.
- Interim management team met with Judicial Services Unit to stress importance of accuracy of probation judgments. Emphasized expectation for immediate action in correcting judgment errors such as missing AOC-CR-603, page 2.
- All employees were required to submit work schedules which were approved by managers and supervisors.
- The procedure for calendaring District and Superior Court Probation Violations will be improved beginning July 2008. PPO will no longer have to recalendar Superior Court cases after every hearing, rather the clerk's office will be responsible for getting cases calendared when they are continued in open court. Probation violations will be calendared just as local law enforcement officers' cases (by the supervising officer's court date) and notification of the court date given by the Magistrate will be emailed to DCC to ensure

immediate notification of DCC offenders' arrest on probation violation. This procedure is not yet finalized.

- Provided “At a Glance Report” to each CPPO and conducted individual discussions regarding the unit’s strengths and weaknesses.
- Acting AJDM visited each location regularly and attended unit staff meetings. Attended swearing in ceremonies for officers completing Basic Training.
- The following reports are now being generated from local law enforcement agencies and forwarded to new designated CPPO for distribution to District 10 staff:

DCC Offenders (statewide) with active warrants from Wake and Durham County Law Enforcement Agencies. This report was created by the Warrant Task Force meetings with the Wake County Sheriff's Office. The warrants task force made up of a CPPO and four ISO will work to assist local law enforcement with the service of OFA.

DCC Offenders (statewide) with new charges entered into AOC. This report was created to assist with the notification of all new charges that are entered into AOC, on DCC offenders, in the following counties: Wake, Durham, Johnston, Granville, Orange and Chatham. This report is generated daily and a designated CPPO is distributing it to all Wake County DCC Staff as well as other managers in the state that have offenders listed on the report.

Jail Weekend Offender Report - met with the Sheriff's staff regarding issues with jail weekends. This report was previously picked up by an OA and distributed out to the other units but the information was not always received nor was it received in a timely manner. This report is now emailed to a designated CPPO on Monday and is distributed, by email, to all staff in Wake County. This assists with detecting violations regarding offenders' special probation sanction. **(This report is not new but the procedure for dissemination is new).**

- A Warrant Task Force was created in April 2008 between DCC and WCSO which has opened the lines of communication regarding service of DCC warrants as well as local law enforcement warrants.
- A procedure was put into place to have offenders from the annex jail locations (located outside of downtown) brought to the main jail for service of additional charges/probation violation. Previously the PPO was required to transport the offender in a non-secured car from the annex location to the main jail to serve additional warrants/probation violations.
- A designated CPPO is emailing a list of all active Wake County offenders to local law enforcement agencies on a monthly basis. Response from the local agencies regarding this information has been positive.
- Wake County DCC now has a position on the Criminal Justice Operations Committee that meets monthly to discuss topics regarding criminal justice issues. This committee has been meeting for several years without DCC presence. It is also part of the Central Warrant Repository concept that (prior to this meeting) had not considered the number of warrants issued by probation officers.
- Distributed Operational Procedure for TASC to include a referral form when scheduling TASC appointments.
- Reviewed policy regarding Serious Crime Reports and required submission per policy. In 2007, only 7 SI reviews were conducted by District 10 management. Only 2 SI reviews

were conducted from 1-1-08 through 3-31-08. The interim management team has conducted 18 SI reviews from 4-1-08 through 6-24-08.

- Conducted New Hire Orientation for all staff hired between March 31, 2008 and present.
- Distributed Quarterly Seizure Report for CPPO to begin using per policy. CPPO were not aware of this report.
- Reviewed with CPPO the proper procedure for serving parole warrants.
- Provided CPPO with list of past due Risk Needs Assessments, expired cases, and 90 day no contact report. Reviewed applicable policies and addressed these deficiencies with individual CPPO.
- Reviewed with CPPO policy regarding tolling cases, extending probation periods, violation process to include time/date stamping of violations reports.
- Met with two Wake County District Court Judges in effort to promote DCC and address any concerns from judiciary.
- Established a weekly on-call CPPO to be available to staff working evenings and weekends.
- Training – worked to insure officers received appropriate training and attended re-certification training as needed.
- Met with Audit team regarding operations to determine areas that need attention and improvement.
- Designated an ISO to supervise CTG cases in each unit.
- Significant improvement in reducing the number of offenders having no contact for 90 days.
- Mandated that Intermediate Punishment offenders not be assigned to PPOI caseloads
- Discontinued “Officer of the Day” concept which relieved officers of providing OA backup during lunch. Officers also relieved from meeting with offenders from vacant caseloads; offenders are to be supervised per policy by the assigned courtesy officer. This process also required the designated “Officer of the Day” to transport sentenced offenders twice daily from the jail annex to the Judicial Services Unit for processing. Efforts are being made to revise this process by eliminating transportation of offenders.
- Transmittal/Transfer Policy reviewed with CPPO. Acting managers in Districts 10 and 14 have communicated and worked together to resolve transmittal/transfer concerns. When concerns did occur, they were investigated by interim management and addressed with staff.
- Opened lines of communication between Special Ops and Field Services and demanded teamwork.
- Compiled and distributed District 10 Resource Document which is available to all staff on the shared drive. Designated CPPO is responsible for updates to the document.

## **CONCLUSION**

Based on the forgoing information which outlines the interim management team findings and corrective action taken we conclude previous management and supervision of officers and offenders failed to meet standard or policy. Although there are many dedicated employees in District 10 they were never positioned by management to positively influence operations across the district.

## **Recommendation for Future Management Team**

### Personnel

- Additional TAP training for CPPO and AAI especially as it relates to TAP entries and coachings
- Additional training for AAI as it relates to personnel processing, position history files, separations, and reinstatements
- Time Management Training for AAI
- Develop a written responsibility chart for JDM, AJDM, CPPO, AAI, OAIV, OAIII

### Operations

- Reassemble audit team to return in six months to determine if there has been improvement in previously found deficiencies
- Case review training for CPPO
- Training for field staff regarding Absconder Process, Violation Policy, DCI absconder packets, Case Management Expectations and Requirements, Narrative Writing, ISC, Transfer/Transmittal process
- Monthly Batch Jobs need to be run by JDM/CCA and shared with all CPPO
- Managers and CPPO need to work together to develop a written emergency supervision plan for each caseload vacancy. Plans to be kept on file in District Office
- Better utilization of Surveillance Officer resources
- Review of Judicial Services Unit resources and processes to include responsibilities of data entry positions and elimination of the practice of staff transporting offender from the jail annex to Judicial Services for processing.
- Evaluate OPUS training needs for CPPO, field officers, Judicial Services and OAIII
- Supervision zones need to be reviewed and caseloads balanced
- Realign units to where each AJDM manages six units and Special Ops units are split between the two AJDM
- Unit reorganization in effort to have experienced staff in all units
- Establish unit integrity to where staff are in same location as CPPO
- Ensure that new leased space is accessible to bus line
- Explore team supervision