



# Report Highlights

## Department of Public Safety and Corrections - Corrections Services

### *Division of Adult Probation and Parole: Offender Supervision*

DARYL G. PURPERA,  
CPA, CFE

Audit Control # 40110051  
Performance Audit Services • December 2012

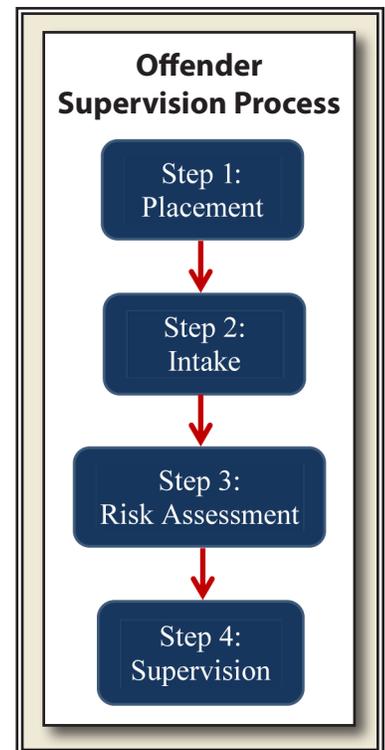
### Why We Conducted This Audit

The mission of the Division of Adult Probation and Parole (P&P) is, in part, to protect public safety by providing for the supervision of adjudicated adult offenders. As of February 6, 2012, P&P supervised 71,004 offenders. We conducted this audit to evaluate if P&P is effectively supervising offenders.

### What We Found

While P&P collects information in key performance areas, management has not established comprehensive benchmarks to evaluate the effectiveness of its offender supervision process. In addition, we determined that P&P management does not ensure staff conducts all required supervision activities according to division policy. In summary, we found:

- **P&P lacks comprehensive benchmarks to evaluate the effectiveness of its supervision process.** According to the Pew Center, recidivism is the main performance indicator for determining the effectiveness of an offender supervision program. Although P&P collects recidivism data, it lacks benchmarks to evaluate whether these rates are indicative of an effective supervision process. P&P also lacks benchmarks for the data it maintains on offender employment and substance abuse.
- **Officers did not complete initial risk assessments within required timeframes for 128 (22%) of 571 sex offenders and 7,098 (48%) of 14,718 non-sex offenders who had an intake date during calendar year 2011.** The information provided by these assessments is used to determine the number and frequency of required contacts officers need to have with offenders.
- **Officers did not make 99 (22%) of 448 required contacts for maximum offenders in our sample.** Of the 99 contacts missed, 57 (58%) were not attempted. For sex offender cases, officers made 890 (98.3%) of 905 required contacts. Offender contact is a key aspect of effective offender supervision because it gives officers the opportunity to develop a rapport with offenders and monitor their progress toward achieving desired outcomes.
- **Officers did not include comprehensive information in their case narratives for 21 (42%) of 50 maximum offenders and 14 (28%) of 50 sex offenders in our sample.** Officers rely on narratives to gain an understanding of an offender’s circumstances and progress. Case narratives also provide supervisors with information on an officer’s performance when conducting contacts.
- **Supervisors did not conduct 55 (17%) of 330 sex offender case reviews in our sample within required timeframes, but conducted all case reviews for maximum offenders on time.** Case reviews evaluate the content of case narratives to determine the quality of supervision and provide feedback to officers.
- **Regional administrators did not conduct 68 (85%) of 80 required audits of district offices during calendar years 2010 and 2011.** These audits help ensure the proper oversight of the district offices and offenders.



P&P substantially agreed with our recommendations. See management’s full response in the report.

View the full report at [www.la.gov](http://www.la.gov).

DEPARTMENT OF PUBLIC SAFETY AND CORRECTIONS -  
CORRECTIONS SERVICES  
DIVISION OF ADULT PROBATION AND PAROLE -  
OFFENDER SUPERVISION



PERFORMANCE AUDIT  
ISSUED DECEMBER 5, 2012

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**FOR QUESTIONS RELATED TO THIS PERFORMANCE AUDIT, CONTACT  
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LOUISIANA LEGISLATIVE AUDITOR  
DARYL G. PURPERA, CPA, CFE

December 5, 2012

The Honorable John A. Alario, Jr.,  
President of the Senate  
The Honorable Charles E. "Chuck" Kleckley,  
Speaker of the House of Representatives

Dear Senator Alario and Representative Kleckley:

This report provides the results of our performance audit on the Division of Adult Probation and Parole within the Department of Public Safety and Corrections - Corrections Services.

The report contains our findings, conclusions, and recommendations. Appendix A contains management's response to this report. I hope this report will benefit you in your legislative decision-making process.

We would like to express our appreciation to the management and staff within the Division of Adult Probation and Parole for their assistance during this audit.

Sincerely,

A handwritten signature in blue ink that reads "Daryl G. Purpera". The signature is fluid and cursive.

Daryl G. Purpera, CPA, CFE  
Legislative Auditor

DGP/ch

P&P 2012

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# Louisiana Legislative Auditor

Daryl G. Purpera, CPA, CFE



Department of Public Safety and Corrections -  
Corrections Services  
Division of Adult Probation and Parole - Offender Supervision

December 2012

Audit Control # 40110051

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## Executive Summary

The mission of the Division of Adult Probation and Parole (P&P) within the Department of Public Safety and Corrections - Correction Services (DPS&C-CS) is, in part, to protect public safety by providing for the supervision of adjudicated adult offenders. This performance audit evaluates whether P&P effectively supervises adult offenders. Appendix B details our scope and methodology. Our audit objective and results of our work are summarized below.

### **Objective: Is the Division of Adult Probation and Parole effectively supervising offenders?**

**Results:** While P&P collects information in key performance areas, management has not established comprehensive benchmarks to evaluate the effectiveness of its offender supervision process. For example, the 3-year and 5-year recidivism rates for all DPS&C-CS' offenders released from probation and parole during calendar year 2006 were 13.7% and 21%, respectively.<sup>1</sup> However, P&P lacks benchmarks to assess whether these rates are indicative of an effective supervision process. In addition, we determined that P&P management does not ensure staff conducts all required supervision activities according to division policy. In summary, we found:

- P&P lacks comprehensive benchmarks to evaluate the effectiveness of its supervision process. According to the Pew Center, recidivism is the main performance indicator for determining the effectiveness of an offender supervision program. Although P&P collects recidivism data, it lacks benchmarks to evaluate whether these rates are indicative of an effective supervision process. P&P also lacks benchmarks for the data it maintains on offender employment and substance abuse.
- Officers did not complete initial risk assessments within required timeframes for 128 (22%) of 571 sex offenders and 7,098 (48%) of 14,718 non-sex offenders who had an intake date during calendar year 2011. The information provided by

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<sup>1</sup> These recidivism rates were calculated by P&P using the offenders who completed probation or parole. Recidivism rates from 2006 are presented because it is the most recent year for which 3-year and 5-year recidivism rates are available. Offenders included in the 3-year calculation had re-offended as of December 31, 2009, and offenders included in the 5-year calculation had re-offended as of December 31, 2011.

these assessments is used to determine the number and frequency of required contacts officers need to have with offenders.

- Officers did not make 99 (22%) of 448 required contacts for maximum offenders in our sample. Of the 99 contacts missed, 57 (58%) were not attempted. For sex offender cases, officers made 890 (98.3%) of 905 required contacts. Offender contact is a key aspect of effective offender supervision because it gives officers the opportunity to develop a rapport with offenders and monitor their progress toward achieving desired outcomes.
- Officers did not include comprehensive information in their case narratives for 21 (42%) of 50 maximum offenders and 14 (28%) of 50 sex offenders in our sample. Officers rely on narratives to gain an understanding of an offender's circumstances and progress. Case narratives also provide supervisors with information on an officer's performance when conducting contacts.
- Supervisors did not conduct 55 (17%) of 330 sex offender case reviews in our sample within required timeframes, but conducted all case reviews for maximum offenders on time. Case reviews evaluate the content of case narratives to determine the quality of supervision and provide feedback to officers.
- Regional administrators did not conduct 68 (85%) of 80 required audits of district offices during calendar years 2010 and 2011. These audits help ensure the proper oversight of the district offices and offenders.

## Overview of the Division of Adult Probation and Parole

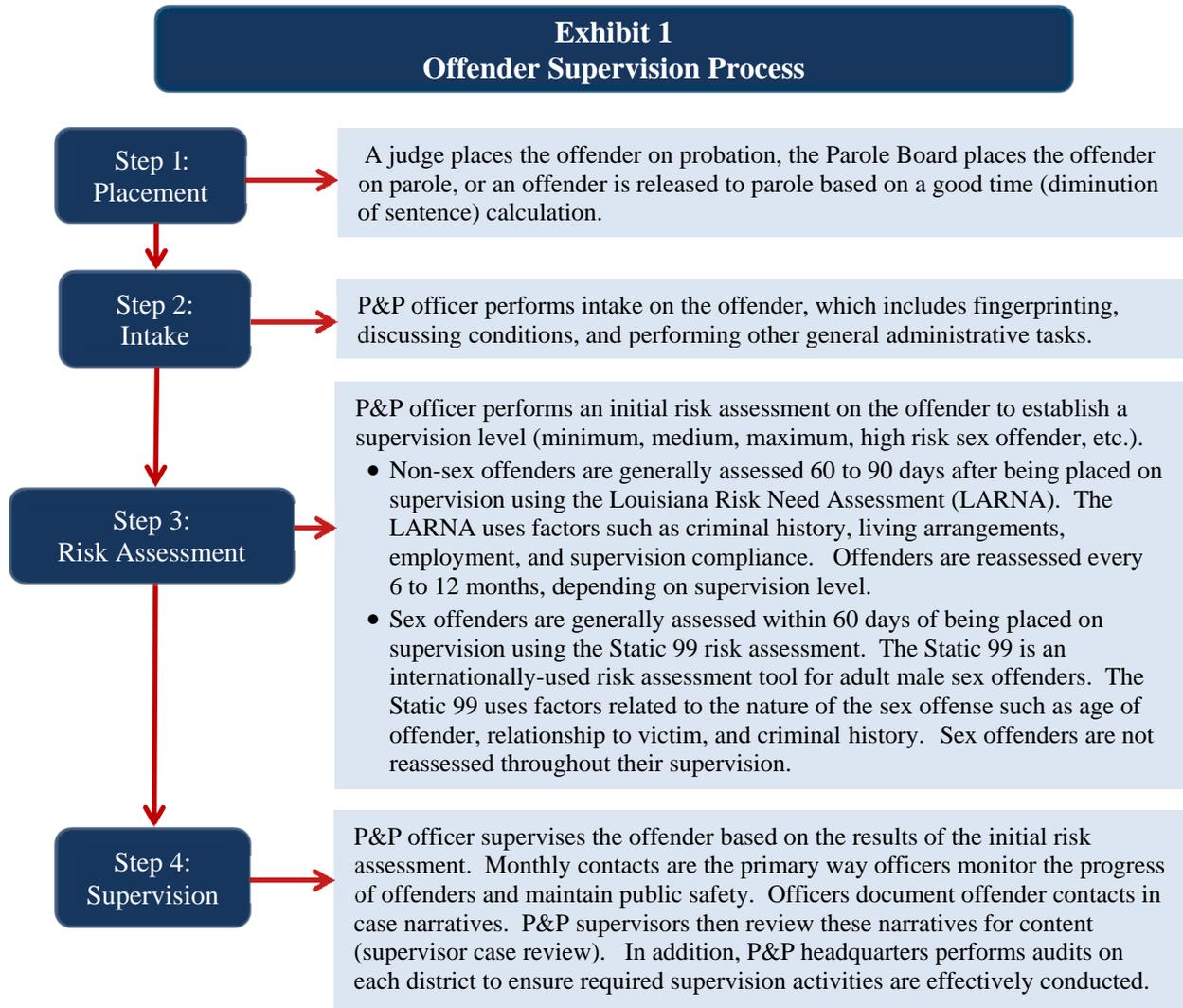
**Mission and Goals.** The mission of the Division of Adult Probation and Parole (P&P) is to protect public safety by providing for the investigation and supervision of adjudicated adult offenders through the enforcement of legal statutes and community-based programs. P&P is currently accredited by the American Correctional Association. The goals of P&P are to:

- Ensure public safety and confidence in community sanctions
- Manage P&P effectively, efficiently, and professionally

**Organizational Structure.** DPS&C-CS' headquarters, which includes P&P management, oversees the functions of P&P. The division is broken down into three regions and 21 districts. In each district, supervisors are responsible for overseeing the probation and parole officers (officers) who directly supervise offenders. As of February 6, 2012, officers supervised 71,004 offenders. Appendix C contains the organizational chart for P&P. Appendix D contains the staffing and offender count by district and offenders by supervision level as of February 6, 2012.

**Budget.** In fiscal year 2012, the operating budget for P&P was approximately \$65 million with 812 full-time employees. Approximately \$46 million (70.8%) of the operating budget was from the state general fund and \$18 million (27.7%) was from self-generated revenue, primarily from offender fees.

**Supervision Process.** Based on our review of P&P's process for supervising offenders on probation and parole, we identified four distinct steps: offender placement, intake, risk assessment, and supervision. These steps are illustrated in Exhibit 1 on the following page.



**Source:** Prepared by legislative auditor’s staff using information obtained from P&P’s Parole Officer Manual.

## Objective: Is the Division of Adult Probation and Parole effectively supervising offenders?

While the Division of Adult Probation and Parole (P&P) collects information in key performance areas, management has not established comprehensive benchmarks to evaluate the effectiveness of its offender supervision process. For example, the 3-year and 5-year recidivism rates for all DPS&C-CS' offenders released on probation and parole during calendar year 2006 were 13.7% and 21%, respectively.<sup>2</sup> However, P&P lacks benchmarks to evaluate whether these rates are indicative of an effective supervision process. In addition, we determined that P&P management does not ensure staff conducts all required supervision activities according to division policy. In summary, we found:

- P&P lacks comprehensive benchmarks to evaluate the effectiveness of its supervision process.
- Officers did not complete initial risk assessments within required timeframes for 22% of sex offenders and 48% of non-sex offenders who had an intake date during calendar year 2011.
- Officers did not make 22% of required contacts for maximum offenders in our sample but made 98.3% of required contacts for sex offenders.
- Officers did not include comprehensive information in their case narratives for 42% of maximum offenders and 28% of sex offenders in our sample.
- Supervisors did not conduct 17% of sex offender case reviews in our sample within required timeframes, but conducted all case reviews for maximum offenders on time.
- Regional administrators did not conduct 85% of required audits of district offices during calendar years 2010 and 2011.

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### **P&P lacks comprehensive benchmarks to evaluate the effectiveness of its supervision process**

According to the Pew Center, recidivism is the main performance indicator for determining the effectiveness of an offender supervision program.<sup>3</sup> The 3-year and 5-year recidivism rates for all offenders released from probation and parole during calendar year 2006

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<sup>2</sup> These recidivism rates were calculated by P&P using the offenders who completed probation or parole. Recidivism rates from 2006 are presented because it is the most recent year for which 3-year and 5-year recidivism rates are available. Offenders included in the 3-year calculation had re-offended as of December 31, 2009, and offenders included in the 5-year calculation had re-offended as of December 31, 2011.

<sup>3</sup> Pew Center on the States. "Policy Framework to Strengthen Community Corrections" (Washington, DC: The Pew Charitable Trusts, Public Safety Performance Project, December 2008).

were 13.7% and 21%, respectively. Although P&P collects recidivism data, it lacks benchmarks to evaluate whether these rates are indicative of an effective supervision process. For example, one of DPS&C-CS' performance objectives is to reduce recidivism by 5% by 2016. However, this objective includes only offenders released from DPS&C-CS' correctional facilities. This objective does not include offenders on probation who were never incarcerated.

In addition to recidivism, the Pew Center also recommends that probation agencies use additional measures such as offender employment, case closures, substance abuse, and victim restitution to help determine the effectiveness of their supervision process. As with recidivism, P&P maintains data on these measures, but has only established benchmarks for victim restitution and case closures.<sup>4</sup> P&P's benchmark for victim restitution is to collect 100% of money owed to victims. For calendar year 2011, the average percentage of victim restitution collected for closed cases was 55.6%. Beginning with fiscal year 2013, P&P management established benchmarks for case closures and plans to use this measure going forward. Without comprehensive benchmarks in all areas, P&P management cannot evaluate the effectiveness of its supervision process.

**Recommendation 1:** P&P management should develop benchmarks for all performance measures to evaluate the effectiveness of its supervision process.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated it has developed a number of performance indicators/benchmarks that are used to evaluate the effectiveness of the supervision process. In addition, its new Offender Management System (OMS) will enable the Department to expand upon the ability to define and track additional benchmarks to accomplish this goal. (See Appendix A, page A.8.)

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### **Officers did not complete initial risk assessments within required timeframes for 22% of sex offenders and 48% of non-sex offenders who had an intake date during calendar year 2011**

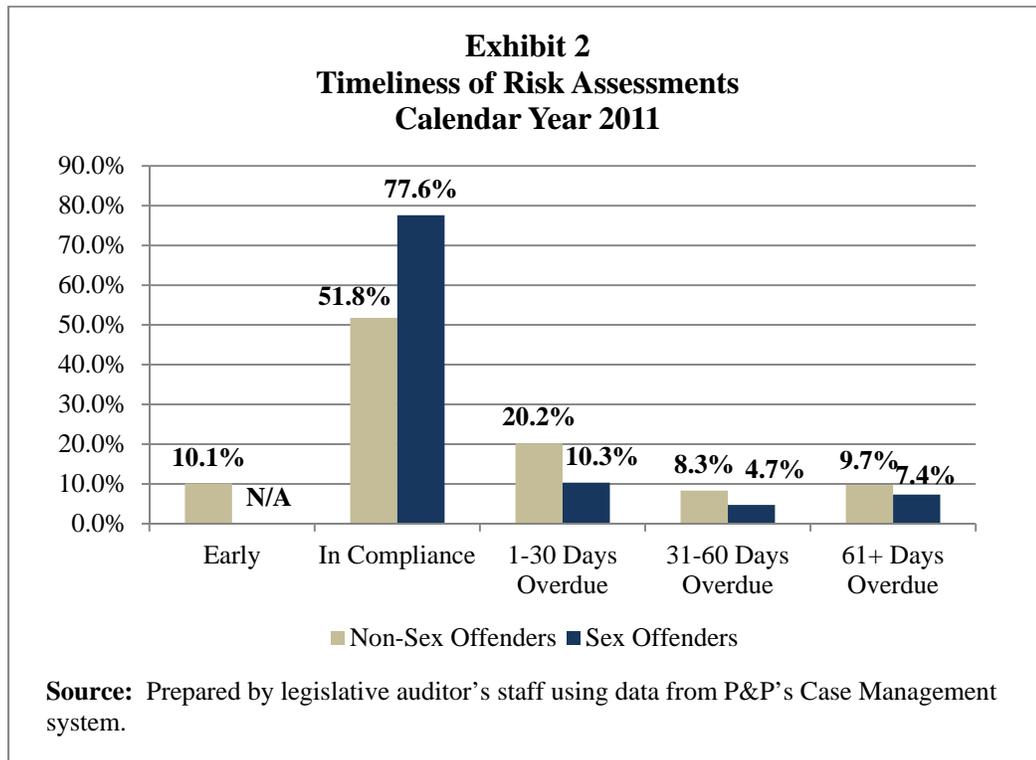
Division policy requires officers to conduct initial risk assessments of offenders to establish their supervision levels. Officers use this information to determine the frequency of required contacts they need to have with each offender.

For all offenders that had an intake date within calendar year 2011, we found that officers did not complete 128 (22.4%) of the 571 initial risk assessments on sex offenders within the required 60 days. For non-sex offenders, officers did not complete 7,098 (48.2%) of the 14,718 required risk assessments within the required 60- to 90-day period. Of the 7,098 initial risk

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<sup>4</sup> Although P&P maintains data on offender employment, P&P management states this data is unreliable because it is not continually updated.

assessments not completed within the required timeframe for non-sex offenders, 1,491 (21%) were early and 5,607 (79%) were late. According to division policy, non-sex offender risk assessments should be completed no earlier than 60 days to allow an officer sufficient time to learn about the offender. Exhibit 2 shows the timeliness of risk assessments for the sex offenders and non-sex offenders during calendar year 2011.



**Management cites other factors as obstacles to officers completing risk assessments on time.** According to P&P management, certain factors prevent officers from completing risk assessments on time. For example, an offender may be released to a detainer, meaning he is still incarcerated because of additional pending charges, or he may be transferred from another supervision level or district. In both of these scenarios, assessing an offender within prescribed timelines is difficult. However, P&P management does not track these factors and therefore cannot tell how many of the late risk assessments were due to these factors.

**Recommendation 2:** P&P management should ensure that officers complete initial risk assessments for non-sex offenders and sex offenders in the timeframes required by division policy.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated Division management works to ensure all required duties and tasks are completed in a timely manner. The initial risk assessment is a statistically validated instrument that mandates a number of factors be met before the assessment can be completed. If any of the other factors exist, the begin date of supervision is no longer a relevant factor to be considered.

The present system cannot track individual factors; therefore, the number of “overdue” initial risk assessments cannot be determined. The Division’s opinion is that Exhibit 2 of the audit is not accurate as it counts only one of the many factors involved in this process and does not reflect the entire process. (See Appendix A, page A.8.)

**LLA Additional Comment:** Division policy sets out specific timeframes in which officers need to complete initial risk assessments for offenders. Our analysis for Exhibit 2 is based on that policy and P&P’s own data.

**Recommendation 3:** P&P management should consider documenting other factors that make the initial risk assessment difficult for the officer to complete in the required timeframes.

**Summary of Management’s Response:** P&P management agrees with this recommendation and stated these factors are currently documented manually by each officer and are used by the officer’s supervisor to monitor officer performance in the area of offender risk assessment. These factors will be traced electronically in their new web-based data system, OMS. (See Appendix A, pages A.8-A.9.)

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### **Officers did not make 22% of required contacts for maximum offenders in our sample but made 98.3% of required contacts for sex offenders**

As stated previously, officers use the information obtained from the initial risk assessment to determine the frequency of required contacts for each offender. Offender contact is a key aspect of effective offender supervision because it gives officers the opportunity to develop a rapport with their offenders and monitor their progress toward achieving desired outcomes.<sup>5</sup> Appendix E shows contact requirements by supervision level.

We selected an attribute sample of 50 maximum offender cases and 50 sex offender cases to determine if officers in this sample made the required number of contacts during calendar year 2011.<sup>6</sup> According to division policy, officers are required to make one interpersonal contact each month for maximum offenders and at least one personal contact each month for sex offenders.<sup>7</sup>

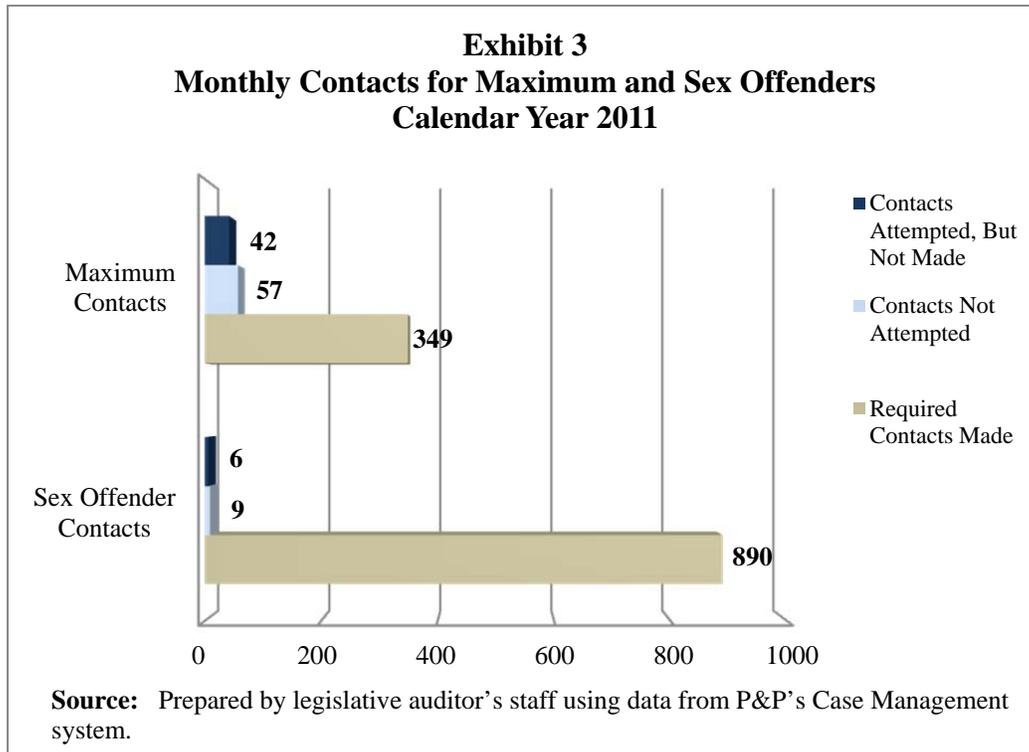
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<sup>5</sup> Taxman, Faye. “Supervision - Exploring the Dimensions of Effectiveness.” *Federal Probation Journal Volume 66 Number 2*.

<sup>6</sup> Maximum and sex offender populations were chosen for our sample because risk assessments indicate that these populations pose a higher risk to public safety and must be seen more often. For both types of offenders, we excluded from our sample of required contacts instances when an offender had a warrant, was detained, in treatment programs, or in jail.

<sup>7</sup> The P&P Officer Manual defines a personal contact as a face-to-face contact that takes place anywhere other than the office, such as residence or place of employment. Interpersonal contact is defined as either a personal contact or an office visit.

Using this criterion, we found that officers made 349 (77.9%) of 448 required contacts for maximum offenders. Of the 99 (22.1%) contacts officers did not make, they did not attempt 57 (58%) of these contacts. For sex offender cases, officers made 890 (98.3%) of 905 required contacts. Of the 15 sex offender contacts officers did not make, they did not attempt nine (60%). Exhibit 3 shows the results of our monthly contact sample.

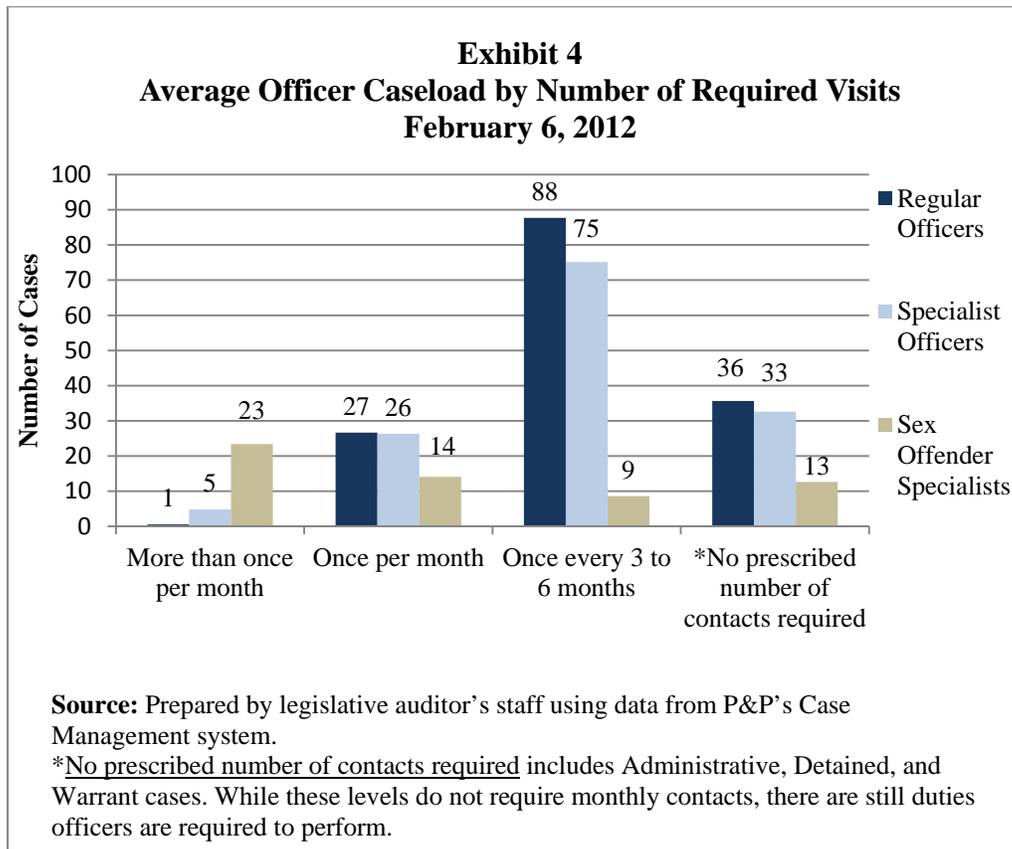


**P&P lacks an effective process to track contact compliance over time.** P&P does not maintain historical data on contacts and the current Case Management system does not notify officers or supervisors of consecutive missed contacts. Therefore, it is possible that an offender might not be supervised as required for an extended period of time. For the 50 sex offender cases in our sample, officers did not miss any required contacts consecutively. However, for nine (18%) of the 50 maximum offenders in our sample, officers did not attempt two or more contacts in a row at least once during the year. We also identified an instance where one maximum offender was not seen for an entire year before P&P issued an arrest warrant. During that year, officers only attempted one contact.

**Management cites additional duties and high caseloads as challenges to making required contacts.** According to P&P management, additional officer duties and high caseloads make it difficult for officers to complete required monthly contacts. For example, in addition to monthly contacts, officers are responsible for offender intake, making arrests, conducting investigations, making court appearances, processing violations, and collecting offender fees. However, P&P does not track time spent on these duties and therefore cannot determine the extent to which these duties may affect the officer’s ability to meet required contacts. In terms of caseloads, the average caseload by type of officer as of February 6, 2012, is as follows:

1. Sex Offender Specialists - caseloads average 59 cases and are primarily made up of sex offender cases
2. Specialist Officers<sup>8</sup> - caseloads average 139 cases with a mix of supervision levels focusing on high-risk offenders
3. Regular Officers - caseloads average 152 cases with a mix of supervision levels, primarily medium and minimum cases

The majority of offenders for specialist officers and regular officers only require contacts once every three to six months. This equals a total of two or four contacts per year. Exhibit 4 shows the average officer caseload by number of required visits.



**Recommendation 4:** P&P management should develop an automated process to track whether officers are making their required offender contacts.

**Summary of Management’s Response:** P&P management agrees with this recommendation and stated the new OMS will provide officers and management staff

<sup>8</sup> According to division policy, a specialist officer, including sex offender specialists, is usually an experienced officer who has a caseload comprising the most complex and sensitive cases in a district.

automated reports and notifications of required tasks, including offender contacts, and will indicate when a contact is missed during the previous month. (See Appendix A, page A.9.)

**Recommendation 5:** P&P management should develop a reporting system that notifies supervisors and officers of repeated, missed contacts.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated it manually documents and monitors this information which is used by officers and their supervisors. The present data system cannot provide this information; however, the new system, OMS, will provide such automated reports for officers and management. (See Appendix A, page A.9.)

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### **Officers did not include comprehensive information in their case narratives for 42% of maximum offenders and 28% of sex offenders in our sample**

Within seven days of an offender contact, the officer is required to document the contact in a case narrative. According to division policy, the case narrative is to be informative, comprehensive, and include information sufficient to provide a clear understanding of the case. Case narratives are important as officers do not consistently supervise the same offenders and therefore rely on narratives to gain an understanding of the offenders' circumstances and progress. In addition, case narratives provide supervisors with information about the officer's performance when conducting contacts. According to division policy, the types of information officers should address during an offender contact are as follows:

- Inquire into the offender's circumstance
- Go over the general and special conditions of that offender's supervision
- Review offender progress with substance abuse treatment, mental health treatment, and monetary payment
- Make appropriate community resource referrals, if necessary

We reviewed the most recent case narratives for the maximum offenders and sex offenders in our sample.<sup>9</sup> Overall, we found that 21 (42%) of the 50 maximum offender narratives and 14 (28%) of the 50 sex offender narratives did not contain the information needed to provide a clear understanding of the case. In addition, these narratives provided little information on the officer's performance when conducting the contact. Exhibit 5 on the following page shows examples of these narratives.

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<sup>9</sup> For our review of case narratives, we used the same attribute sample discussed on page 8 of this report. See Appendix E for a description of the methodology.

<b>Exhibit 5 Examples of P&amp;P Non-Comprehensive Narratives Calendar Year 2011</b>
Subject seen by agent getting gas at Circle K - reminded him to check the want ads in the Herald Guide since it came out today.
<name> doing ok. We went over payment information again but he still has not sent in any payments.
No problems to report.
Subject was contact this date at the tire shop. Subject was working and doing well.
<address>, advised the subject that his GPS unit would remain on him until further notice. No other problems to discuss.
<address>, subject in front of house working in his junk. Nothing to report other than the usual complaints about no money. Nothing of consequence noted at said residence.
Subject contacted at the shell gas station on hwy 447 in walker. Discussed conditions and fees. No problems or changes reported.
<b>Source:</b> Prepared by legislative auditor's staff using narratives from P&P's Case Management system.

P&P management has not developed formal guidance for officers to follow when completing their narratives, which is a potential cause for the lack of comprehensive information contained in them. Formal guidance would help ensure that officers address and document all aspects of the contact needed to provide a clear understanding of the case. According to P&P management, the division is currently developing a standardized form for case narratives.

**Recommendation 6:** P&P management should provide officers with formal guidance on the information they should include in their case narratives.

**Summary of Management’s Response:** P&P management agrees with this recommendation and stated formal training is provided to all officers in this area and that it is developing a narrative template in the new system, OMS, to assist officers in documenting offender information and supervision activities in a comprehensive manner.

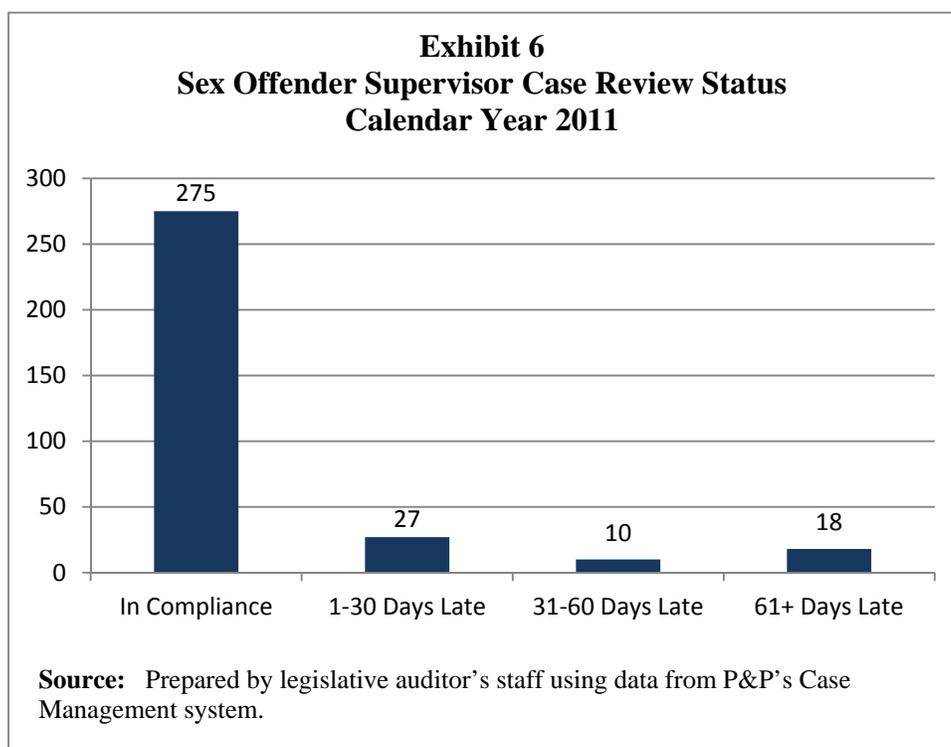
Officers are required to maintain narratives in every offender’s case record that provides a comprehensive account of the offender’s supervision. P&P evaluates narratives based on the entire narrative record and not individual narratives taken out of the context of the whole record. Considering the complexity of narratives and commentary, P&P does not agree with the auditor’s subjective evaluation of the narrative entries. (See Appendix A, pages A.9-A.10.)

**LLA Additional Comment:** According to division policy, the case narrative is to be informative, comprehensive, and include information sufficient to provide a clear understanding of the case. The case narratives for 42% of maximum offenders and 28% of sex offenders in our sample did not meet this criterion.

**Supervisors did not conduct 17% of sex offender case reviews in our sample within required timeframes, but conducted all case reviews for maximum offenders on time**

According to division policy, supervisors are required to complete case reviews on sex offender cases every other month and non-sex offender cases every 18 months. This policy further requires that supervisor case reviews evaluate the content of officer case narratives to determine the quality of supervision and provide feedback to supervising officers.

We reviewed the 50 sex offender cases and 50 maximum offender cases in our sample to determine if supervisors were conducting the case reviews on time.<sup>10</sup> We found that all maximum case reviews were conducted within the 18-month timeframe. Of the 330 sex offender case reviews supervisors conducted in 2011, 55 (16.7%) were not conducted on time. These case reviews ranged from one day late to more than 61 days late, as shown in Exhibit 6 below. Of the 18 case reviews that were conducted more than 61 days late, four were more than 120 days late, with one being 212 days late.



<sup>10</sup> We evaluated whether all supervisor case reviews for these 100 cases were completed on time from the first case review performed after September 2010 through March 2012. This P&P case review policy became effective September 2010.

**The case management system does not report cases in need of review or those overdue.** The inability of P&P's case management system to report cases in need of review or overdue is a potential cause for supervisors not conducting the reviews in a timely manner. To determine when cases require review, supervisors must manually examine officers' caseloads to see when case reviews were last completed. For some supervisors, this manual process involves the examination of over 1,000 cases.

**Recommendation 7:** P&P management should develop a more efficient process to notify supervisors when case reviews are required or overdue.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated the present system has a "field" or list of offenders for each officer with a date of last case review. While this is not an ideal management tool for this purpose, it does provide a mechanism with the dates. OMS will monitor dates and provide supervisors and officers with upcoming case review reports and notify management when case reviews are overdue. (See Appendix A, page A.10.)

**Recommendation 8:** P&P management should ensure supervisors conduct case reviews every other month on all sex offenders as required by division policy.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated P&P supervisors closely monitor and are very involved in the supervision of all sex offenders as indicated by the 98.3% sex offender contact rate by our officers. The present data system cannot efficiently track supervisor case reviews, though it does provide supervisors with a "field" or list of offenders for each officer with a date of last case review. P&P management will be able to manage this function with the implementation of the new system. P&P is also reviewing the policy on timeframe requirements for case reviews pending the implementation of the new system. (See Appendix A, page A.10.)

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## **Regional administrators did not conduct 85% of required audits of district offices during calendar years 2010 and 2011**

Division policy requires regional administrators to audit each of the 21 district offices twice a year. These audits review case supervision, investigations, violation processes, programs, and district personnel to help ensure the proper oversight of the district offices and offenders. We found that regional administrators did not complete 68 (85%) of the 80<sup>11</sup> required semiannual audits of district offices during calendar years 2010 and 2011. In addition, P&P did not audit eight (40%) of the 20 districts within a two-year period.

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<sup>11</sup> While there are 21 districts, Feliciana and West Baton Rouge districts share a district administrator and, as a result, have a combined district audit, resulting in 80 required audits over a two-year period.

According to P&P management, these audits were not conducted because of resource constraints and the division is waiting for a new case management system to streamline the process. P&P management also said that district administrators currently conduct informal monthly reviews on specific supervision areas as a substitute. However, we found that these informal reviews were not consistently conducted or documented in each district.

**Recommendation 9:** P&P management should ensure regional administrators conduct audits of its district offices twice a year as required by division policy.

**Summary of Management's Response:** P&P management agrees with this recommendation and stated that in an effort to develop a better, more in-depth, comprehensive and timely auditing process, the Regional Directors were directed by P&P headquarters to defer completing these reports to allow for the development of a more efficient and effective auditing instrument. It should be noted the Regional Directors continued their routine monthly reviews of all district work processes during this period. After much work involving staff at all levels the new auditing instrument was completed and implemented effective July 1, 2012. (See Appendix A, page A.10.)

## **APPENDIX A: MANAGEMENT'S RESPONSE**

BOBBY JINDAL  
Governor



JAMES M. Le BLANC  
Secretary

# State of Louisiana

Department of Public Safety and Corrections

November 8, 2012

Mr. Daryl Purpera, CPS, CFE  
Legislative Auditor  
P.O. Box 94397  
Baton Rouge, La. 70804-9397

Dear Mr. Purpera:

Please accept this letter as the Department of Public Safety and Corrections – Division of Probation and Parole/Adult's response to your office's performance audit of this Division. The Division's response to each of the recommendations can be found as an attachment to this letter.

I would like to take this opportunity to thank you for the professionalism displayed by the auditors during this audit process. Their acquired knowledge and desire to understand the mission of the Division has led to a thorough and objective review of this agency. Generally the Division agrees with most of the findings and recommendations. In addition to the attached responses to the findings, we offer the following information for clarification:

**Objective: Is the Division of Adult Probation and Parole effectively supervising offenders.**

*The mission of the Division of Probation and Parole is to protect public safety by providing for the investigation and supervision of adjudicated adult offenders through the enforcement of legal statutes and community based programs designed to facilitate the offender's adjustment and reintegration into society. The Division is committed to a program of offender management that will contribute to restoring the victim and community by holding the offender accountable for his actions and providing opportunities for restitution.*

**We accomplish this very unique and important mission in our community and the criminal justice system by providing effective and appropriate supervision to over 70,000 offenders placed under our supervision, either by probation ordered by the State District Court Judges, parole ordered by the Parole Board, or supervision required by the state's mandatory good-time statutes. The Probation and Parole Officers assigned to this important mission are P.O.S.T. certified law enforcement officers who work closely with local, state, and federal law enforcement agencies during the course of their duties.**

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An Equal Opportunity Employer

Probation and Parole:

- Employs 511 Probation and Parole Officers (56 less officers and over 11,000 more offenders under supervision than 10 years ago) to supervise 70,000 offenders
- Processes over 30,000 new offenders under supervision each year, while a similar number of offenders leave our supervision annually which equates to more than 100,000 individual offenders supervised in a 12 month period.
- Conducts over 3500 major investigations each year, for the decision makers in the criminal justice system, such as pre-sentence investigations for State District Court Judges, pre-parole investigations for the Parole Board and clemency investigations for the Pardon Board and Governor's Office.
- Collects victim's restitution, supervision fees, court costs and other fees and fines
- Plays a vital role in the state's Emergency Operations Plan. For example, during the flooding of the Mississippi River in May and June of 2011 our officers worked over 9,000 hours in the state's emergency response activities. Recently, during and after Hurricane Isaac, our officers worked over 4,700 hours with the National Guard, State Police and local law enforcement agencies to provide security for the DHH state food stamp offices.

The Division of Probation and Parole currently uses two different database systems to manage and to track all the processes and information to most effectively supervise offenders. The two systems are a Case Management (Probation and Parole Database) and CAJUN (Department of Corrections database). This dual entry system is labor intensive, inefficient, and is being replaced. However, the existing systems do provide important reports and tracking systems to assist officers in performing their duties and several reports to assist management in tracking performance. Among some of the reports and tracking systems utilized for this purpose:

CAJUN Reports

- Open Investigation Report by Agent
- Restitution Report by Agent and District
- Collections Report
- Intake Report/Number of case processings per month per District
- Pending Closure Report
- Officer Performance Indicator Report
- Sex Offender List
- Violation Statistics
- OPEC – Officer Performance Report which documents contacts and other performance measures

Case Management Reports/Views

- Initial Contact Report that records number of days to the initial contact
- Mandatory Contact Report - offenders needing contact based on supervision level
- View to track reassessment due date
- View to assist in tracking initial assessment dates
- View to identify last dates of a supervisors case review
- View to assist officers in identifying sex offenders requiring contact
- View to track warrant cases

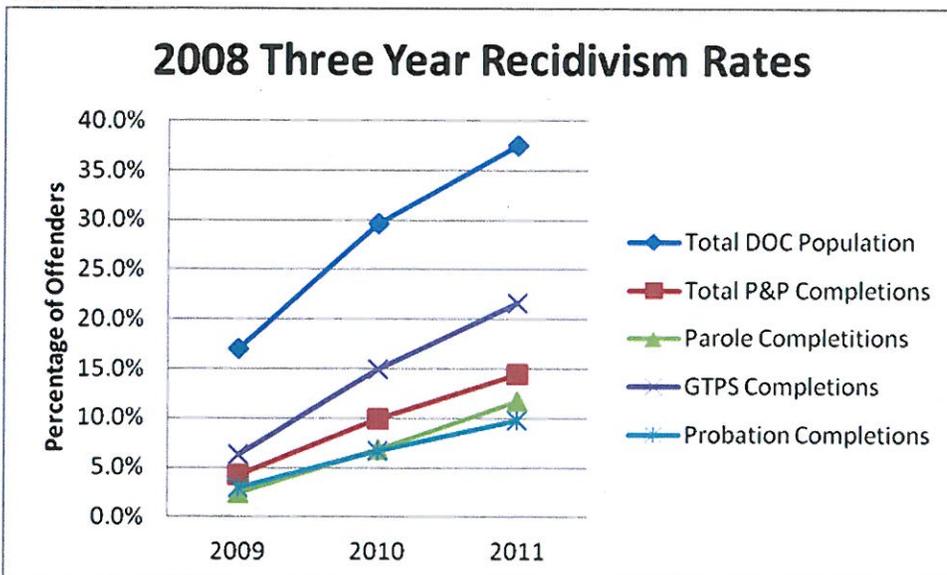
The Division has the dual responsibility of protecting public safety by holding offenders accountable to the conditions of their release and the laws of the state while providing offenders with the assistance and motivation through our Reentry Program to change their behavior and become productive, law abiding citizens. These dual functions require our officers to perform many various tasks and duties.

During the fiscal year 2011 – 2012, Probation and Parole:

- Conducted over 34,000 major and minor investigations
- Administered over 26,500 drug screens
- Executed over 6,450 felony arrests
- Collected over \$27,890,000 in victim's restitution, supervision fees, court costs and other fees and fines
- Made over 580,000 face to face contacts with the offenders under our supervision
- Are active members of the U.S. Marshall's Warrant Task Force
- Participated in other law enforcement efforts such as: Baton Rouge Violent Crimes Task Force; Baton Rouge's new anti-violent crime initiative, BRAVE; and New Orleans' multi-agency anti-violent program to reduce crime in New Orleans.
- Developed plan to implement the New Orleans Crime Prevention Initiative, beginning on July 1, 2012. This pilot plan will use best practices in front-loading resources to focus on higher risk offenders in targeted areas of New Orleans.

**P&P's success of effective supervision can be measured by comparing three year recidivism rates of offenders who completed Probation and Parole supervision to DOC's total population recidivism rates as indicated in the chart below.**

Table A



Only 14.4% of all offenders who complete Louisiana Probation and Parole after 3 years return to the DOC system as compared to 37.5% of offenders for the total DOC population. The biggest success is among the probation population. Probationers who completed return at a rate of 9.8%, while parolees return at a little higher rate.

In fiscal year 2011 – 2012, 69% of probation and parole offenders completed Probation and Parole supervision, which exceeded Probation and Parole's official performance measurement/indicator by 11%.

A number of professional correctional organizations, such as, the American Correctional Association (ACA), the American Probation and Parole Association (APPA) and the National Institute of Corrections (NIC), as well as other organizations, such as, PEW, recommend a number of "best practices" in the field of community supervision and offender reentry. Our Division has existing policy and practice consistent with most of these recommendations and has made significant progress in adopting policy and programs to implement many more. Probation and Parole Reentry, Supervision and Sex Offender committees have been developed to continue to evaluate, adopt policy and implement some of these "best practices" and programs to increase the offender's chance of successful completion of supervision.

Some of the best practices implemented include:

- Validated and implemented a risk/needs assessment instrument in 2003.
- Established retraining of risk/needs assessment instrument in 2009-2010, and continually trains new officers in its use.
- Developed a Performance Grid of appropriate sanctions to respond to violations in a swift, certain, and consistent fashion and offers incentives to offenders for complying with the conditions of supervision.
- Promulgated rules to implement the new law allowing officers to impose administrative sanctions, in a swift and certain manner without the officer returning to court for the imposition of these sanctions. Sanctions range from increased reporting to spending a certain amount of days in jail.
- Developed new supervision strategies in dealing with low, medium, and higher risk offenders.
  - New Orleans and Baton Rouge Crime Prevention Initiatives are pilot programs to enhance supervision in an effort to reduce violent crime. Officers involved in this pilot have a caseload of 35-50 highest risk offenders in targeted high crime areas.
- Adheres to best practices in supervision of sex offenders as established by the Center for Sex Offender Management (CSOM), including:
  - the use of a sex offender specific risk assessment tool,
  - sex offender specific caseloads,
  - and sex offender specific training for officers
- Established policy for early termination of probation based on successful performance on supervision which frees resources to focus on higher risk offenders and offers incentives to offenders to comply with conditions of supervision.

- Utilizes all available programs as alternatives to revocation, when appropriate. The Don Francois Revocation Center, Blue Walters Substance Abuse Center, Louisiana Transitional Center for Woman, the day reporting center in New Orleans, and the day reporting center in Shreveport are among some of these alternatives.
- Meets with offenders in pre-release classes prior to release from state prisons.
- Collaborated with DHH and the DOC mental health director to establish policy for seamless reentry of offenders releasing from prison with serious mental health issues.
- Educates offenders on various topics through videos played in Probation and Parole lobbies throughout the state. One video produced and recorded by Probation and Parole officers is entitled, "Your Successful Guide to Parole".
- Enhanced community collaboration of community stakeholders, including providers and law enforcement agencies, through focus group meetings and other forums.
- Process of privatizing collections of fees, fines and victim restitution which will increase available time officers have to spend supervising offenders.

**Probation and Parole has been accredited by American Correctional Association (ACA) since 1994. Probation and Parole met 99% of ACA 4th Edition ACA performance standards in our most recent audit completed in August of 2012.**

ACA is a nonprofit organization, the only national accreditation program for all components of adult corrections. The accreditation process evaluates the agencies operations compared against national standards, offers ways to remedy deficiencies and to upgrade the quality of correctional programs and services. At the end of a three year accreditation period, standards for services, programs, and operations essential to good correctional management are audited for compliance.

Probation and Parole passed 171 of the 173 performance standards, and passed all mandatory standards. We failed to meet ACA Performance Standard # 4-APPFS-3E-10: "Salary levels and employee benefits for all field agency personnel are competitive with those of other components of the justice system as well as with comparable occupational groups."

ACA auditor's findings indicate, "The agency salary and benefits package is significantly lower than other law enforcement agencies in the area."

### **Challenges for Probation and Parole**

Probation and Parole faces many challenges in effectively supervising offenders in our communities. The challenges are made even more difficult with high caseloads and the need for data systems that are less labor intensive and more efficient.

## High Caseloads

*The Legislative Auditor's Performance Audit report of DPS&C-CS on December 6, 2010, noted "DOC's average caseload for probation and parole officers is already higher than what national practices recommend." It further states, "Best practice recommends a caseload of 30 offenders for high priority cases and 120 offenders for low priority cases. When compared to best practices, DOC's high priority caseloads are 50 percent higher than what national best practices recommend."*

Since fiscal year 2008-2009, the Division has had a reduction of 13 officer positions with an increase in over 4,000 offenders on supervision. The average officer caseload increased from 124 to 137 with more than 20 officers handling 200 or more offenders and over 200 officers handling more than 150 offenders. Caseloads are reduced for specialized offenders who pose the highest risk to public safety such as sex offenders and identified high risk offenders in the pilot projects. Low pay and high caseloads lead to higher turnover rates. These vacancies are filled by officer trainees who usually carry a small or no caseload during their training period. Currently, we have 59 Probation and Parole Officer 1 (trainee) positions which is 11.5% of the division's allocated officer positions. This impacts our veteran officers by driving up their caseload count.

Therefore, it is very important to continue using best practices to manage offender supervision. Front loading resources, concentrating efforts on medium to higher risk offenders, and offering incentives for offenders who comply with conditions of probation are some of the ways we are using our resources to more effectively manage offender supervision.

Holding officers and supervisors accountable for their performance through praise, constructive counseling, and documenting performance in manual roll up reports not only assists officers in efficiently managing their time, but strengthens performance as well. The Division is proactive in hiring and fills vacancies as quickly as possible. Additionally, quality training is a factor in producing more effective probation and parole officers. All probation and parole officers are required to attend yearly in-service training and all new officers are required to complete the police officers standard training academy (POST).

Another impact in the workload is that officers spend about 20 to 25% of their work time on collecting victim restitution, fines and fees for other agencies, as well as supervision fees which account for 27% of the Probation and Parole overall budget. To help manage this impact on workload and to allow officers more time to spend on supervising offenders, this past year the "request of purchase" bid was completed in order to privatize collections.

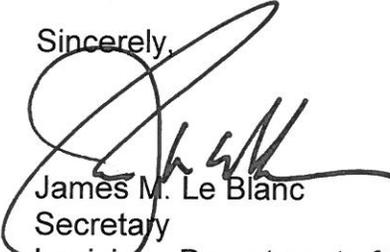
## Case Management System and Information System

*The Legislative Auditor's Performance Audit report of DPS&C-CS on December 6, 2010 indicated that "an upgraded system...could help officers meet DOC monitoring criteria..." and it "... would also allow DOC management to pull probation and parole statistics more easily and make monitoring decisions based on these reports." The report recommended that "DOC management should continue to investigate and evaluate the cost effectiveness of updating Probation and Parole's current management system to eliminate duplicative data entry and increase overall efficiency, allowing officers to spend more time monitoring offenders."*

The Department has identified inefficiencies in current data systems and recognized the need for a new web-based computer system. In 2010, the Department began working on a Business Analysis by reviewing each unit's processes. The request for purchase (RFP) process was completed midyear of 2012 and the first phase of working toward implementation began in July of the same year. The Offender Management System (OMS) will be a web-based environment that will provide offender information accessible to all sections of DOC and would follow an offender throughout his entire process in the DOC system. The sharing of offender information will reduce redundancies and will help create a seamless transition for offenders from institution to community supervision. The projected implementation date of the new offender management system is early 2014.

OMS will provide officers and supervisors with ongoing reports and organizational tools to perform their many duties. It will also provide management with a more efficient process to track activities and offender and staff performance. This will allow management to make data-based decisions and in-depth analysis of performance measures on the efficiencies and effectiveness of processes and programs.

Sincerely,



James M. Le Blanc  
Secretary

Louisiana Department of Public Safety and Corrections

Attachment – Management Response to Specific Recommendations

## Management Response to Specific Recommendations

In general P&P agrees with the recommendations of this audit.

The majority of the recommendations made in this report relate directly to the limitations and deficiencies of DOC's two out-dated data systems. DOC's CAJUN system and P&P's Case Management System have been a long standing problem. The Legislative Auditor's audit of 2010 noted P&P's information system was not a comprehensive, automated web-based data processing system. Over two years ago DOC began work on a Business Analysis Project to develop such a system. Recently the "request for purchase" process was completed and DOC's new information system is under development. This system, the "Offender Management System", will be a web-based environment and will provide our officers and P&P management with ongoing reports and organizational tools needed to perform their duties in the most effective manner. OMS will allow management to make data-based decisions on the efficiencies and effectiveness of processes and programs consistent with the recommendations of this and previous audits.

**Recommendation 1:** P&P management should develop benchmarks for all performance measures to evaluate the effectiveness of its supervisions process. (p. 7 of report)

**P&P and DOC have developed and use a number of performance indicators/benchmarks that are used to evaluate the effectiveness of the supervision process. As indicated in the report recidivism is a primary indicator of the effectiveness of supervision. P&P's three and five year recidivism rates for all offenders released on probation and parole during the calendar year of 2006 are 13.7% and 21% respectively compared to 37.7% and 47.6% for all DOC offenders. This figure is a strong indicator of the effectiveness of supervision. Offender completions are another important performance indicator/benchmark used by P&P. In 2011-2012 69% of offenders completed supervision which exceeds P&P's performance indicator by 11%.**

The Offender Management System will enable the Department to expand upon the ability to define and track additional benchmarks to accomplish this goal.

**Recommendation 2:** P&P management should ensure that officers complete initial risk assessments for non-sex offenders and sex offenders in the timeframes required by division policy. (p. 8. of the report)

**Division management works to ensure all required duties and tasks are completed in a timely manner. The initial risk assessment is a statistically validated instrument that mandates a number of factors be met before the assessment can be completed. If any of the other factors exist the begin date of supervision is no longer a relevant factor to be considered.**

**Our present data system does not track all the factors which must be considered before an initial assessment can be completed. Regardless, to protect public safety and provide assistance to offenders, all offenders are supervised at one of the highest levels of supervision until the assessment process is completed. P&P monitors the progress of every initial risk assessment manually as an officer performance indicator.**

**Our present system can not track individual factors; therefore the number of "overdue" initial risk assessments can not be determined. It is our opinion the chart on page 8 of the audit is not accurate as it counts only one of the many factors involved in this process and does not reflect the entire process.**

**Recommendation 3:** P&P management should consider documenting other factors that make the initial risk assessment difficult for the officer to complete in the required timeframes.

(p.8 of the report)

**Currently these factors are documented manually by each officer and are used by the officer's supervisor to monitor officer performance in the area of offender risk assessment. These factors will be tracked electronically in our new web-based data system, Offender Management System (OMS).**

**Recommendation 4:** P&P management should develop an automated process to track whether officers are making their required offender contacts. (p. 11 of the report)

**Our present Case Management System creates a list each month for every officer of the offenders the officer is scheduled to contact that month based on the offender's supervision level. During the month as the officer makes and documents the necessary contacts the system deletes the offenders name from the list. The offenders remaining on the list at the end of the month are manually carried over to the next month. Supervisors use this documentation to monitor officer performance in this area of our work.**

**Officers experiencing performance related problems in any area of their work are provided remedial assistance when appropriate. This assistance may include additional training and instruction, assistance and guidance by more experienced senior officers, detailed work plans to address specific problems and eventually disciplinary action if required.**

**The new Offender Management System will provide officers and management staff automated reports and notifications of required tasks, including offender contacts, and will indicate when a contact is missed during the previous month.**

**It should be noted that an offender's supervision level is only one of numerous reasons an officer contacts an offender. The average number of contacts required by supervision level a month as directed by policy is approximately 25,450. Our officers average over 49,000 offender contacts a month. Issues related to public safety and offender accountability are the two primary reasons officers make these additional unscheduled contacts.**

**Offender supervision is a complex and often dynamic process involving issues of offender behavior in the community, obtaining and keeping employment, attending mental health and/or substance abuse treatment, supporting their family and payment of victim's restitution and supervision fees and many more. Officers must prioritize their time and activities and public safety is always the top priority. This is why some scheduled contacts may be missed.**

**Recommendation 5:** P&P management should develop a reporting system that notifies supervisors and officers of repeated, missed contacts. (p. 11 of the report)

**As indicated in the previous recommendation we manually document and monitor this information which is used by our officers and their supervisors. Our present data system can not provide this information, however, our new system, OMS, will provide such automated reports for officers and management.**

**Recommendation 6:** P&P management should provide officers with formal guidance on the information they should include in their case narratives. (p. 12 of the report)

Formal training is provided to all officers in this area and we are developing a narrative template in our new system, OMS, to assist our officers in documenting offender information and supervision activities in a comprehensive manner.

Officers are required to maintain narratives in every offender's case record that provides a comprehensive account of the offender's supervision. P&P evaluates narratives based on the entire narrative record and not individual narratives taken out of the context of the whole record. Considering the complexity of narratives and commentary, we do not agree with the auditor's subjective evaluation of the narrative entries.

**Recommendation 7:** P&P management should develop a more efficient process to notify supervisors when case reviews are required or overdue. (p. 14 of the report)

Our present system has a "field" or list of offenders for each officer with a date of last case review. While this is not an ideal management tool for this purpose it does provide a mechanism with the dates.

OMS will use business rules to monitor dates and provide supervisors and officers with upcoming case review reports and notify management when case reviews are overdue.

**Recommendation 8:** P&P management should ensure supervisors conduct case reviews every other month on all sex offenders as required by division policy. (p. 14 of the report)

P&P supervisors closely monitor and are very involved in the supervision of all sex offenders as indicated by the 98.3% sex offender contact rate by our officers.

As acknowledged in the previous recommendation our present data system can not efficiently track supervisor case reviews, though it does provide supervisors with a "field" or list of offenders for each officer with a date of last case review. We will be better able to manage this function with the implementation of the new system. P&P is also reviewing the policy on time frame requirements for case reviews pending the implementation of the new system.

**Recommendation 9:** P&P management should ensure regional administrators conduct audits of its district offices twice a year as required by division policy. (p. 14 of the report)

P&P developed the Regional Site Audit to monitor work processes and employee performance in all critical areas of our work statewide. P&P has 21 district offices divided into 3 regions. Each Regional Director was required to conduct a site audit following a comprehensive format twice a year for each district office in their region. In an effort to develop a better, more in-depth, comprehensive and timely auditing process, the Regional Directors were directed by P&P HQ to defer completing these reports to allow for the development of a more efficient and effective auditing instrument.

It should be noted the Regional Directors continued their routine monthly reviews of all district work processes during this period. After much work involving staff at all levels our new auditing instrument was completed and implemented effective July 1, 2012.



Louisiana Legislative Auditor  
Performance Audit Services

Department of Public Safety and Corrections-  
Corrections Services  
Division of Adult Probation and Parole  
Checklist for Audit Recommendations

**Instructions to Audited Agency:** Please check the appropriate box below for each recommendation. A summary of your response for each recommendation will be included in the body of the report. The entire text of your response will be included as an appendix to the audit report.

RECOMMENDATIONS	AGREE	DISAGREE
<b>Recommendation 1:</b> P&P management should develop benchmarks for all performance measures to evaluate the effectiveness of its supervision process. (p. 7 of the report)	XX	
<b>Recommendation 2:</b> P&P management should ensure that officers complete initial risk assessments for non-sex offenders and sex offenders in the timeframes required by division policy. (p. 8 of the report)	XX	
<b>Recommendation 3:</b> P&P management should consider documenting other factors that make the initial risk assessment difficult for the officer to complete in the required timeframes. (p. 8 of the report)	XX	
<b>Recommendation 4:</b> P&P management should develop an automated process to track whether officers are making their required offender contacts. (p. 11 of the report)	XX	
<b>Recommendation 5:</b> P&P management should develop a reporting system that notifies supervisors and officers of repeated, missed contacts. (p. 11 of the report)	XX	
<b>Recommendation 6:</b> P&P management should provide officers with formal guidance on the information they should include in their case narratives. (p. 12 of the report)	XX	
<b>Recommendation 7:</b> P&P management should develop a more efficient process to notify supervisors when case reviews are required or overdue. (p. 14 of the report)	XX	
<b>Recommendation 8:</b> P&P management should ensure supervisors conduct case reviews every other month on all sex offenders as required by division policy. (p. 14 of the report)	XX	
<b>Recommendation 9:</b> P&P management should ensure regional administrators conduct audits of its district offices twice a year as required by division policy. (p. 14 of the report)	XX	

## APPENDIX B: SCOPE AND METHODOLOGY

We conducted this performance audit under the provisions of Title 24 of the Louisiana Revised Statutes of 1950, as amended. R.S. 54:522 directs the Legislative Auditor to establish a schedule of performance audits to ensure that at least one performance audit is completed and published for each executive agency within a seven-year period, beginning with the 1998 fiscal year. In accordance with this legislative mandate, we scheduled a performance audit of the DPS&C-CS. Based on findings from the previous audit on DPS&C-CS and the results of a risk assessment, we decided to perform a full audit on the Division of Probation and Parole, focusing on the offender supervision process. Our audit period generally covered fiscal years 2009-2011, but in some cases we reviewed data from calendar years 2009 through 2011 and data as of February 2012. The audit objective was to answer the following question:

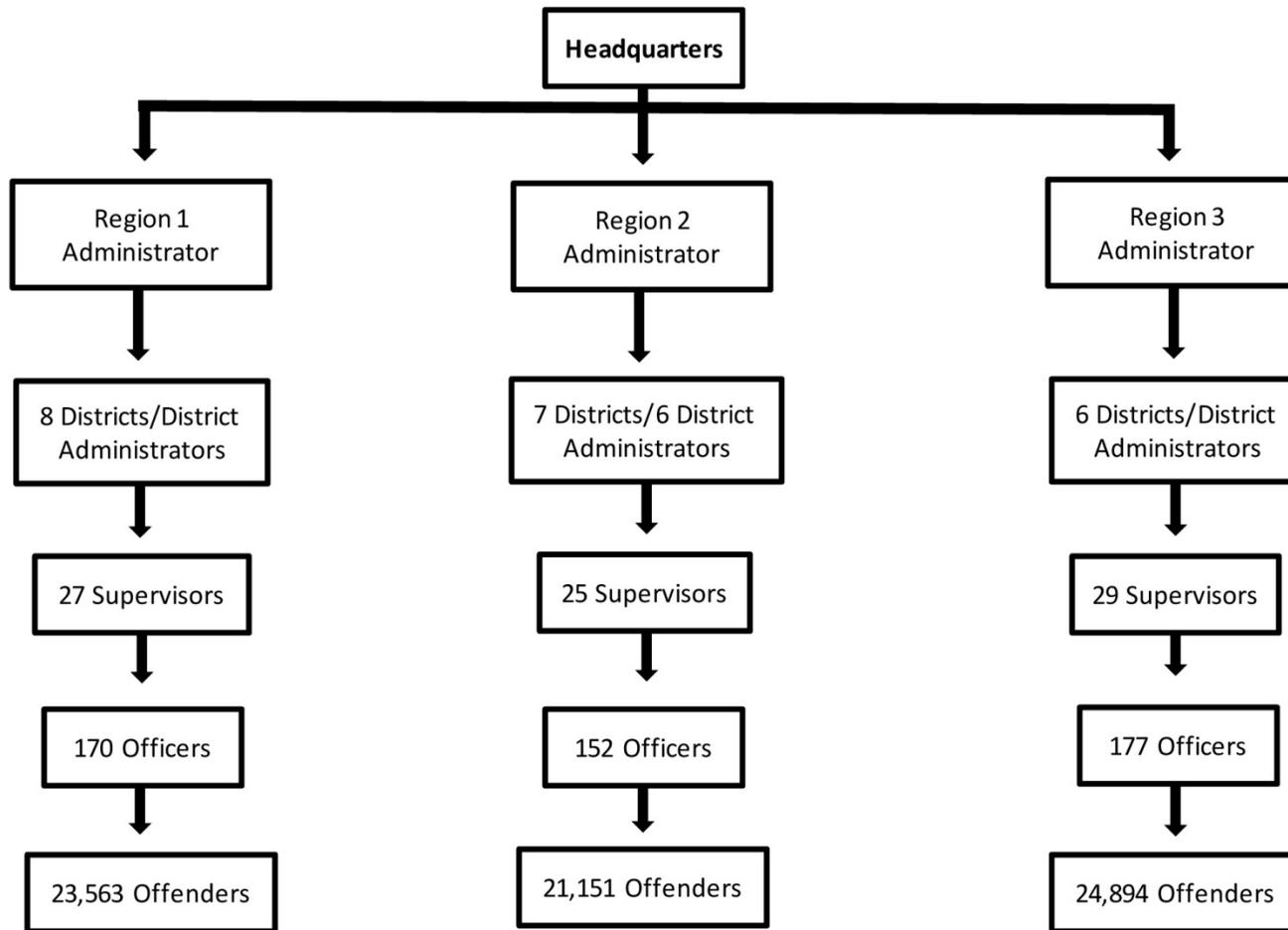
### **Is the Division of Adult Probation and Parole effectively supervising offenders?**

We conducted this performance audit in accordance with generally accepted government auditing standards issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective. To answer our objective, we reviewed internal controls relevant to the audit objective to mitigate the risk of inaccurate data and performed the following audit steps:

- Interviewed P&P headquarters officials, regional administrators, district administrators, supervisors, and officers to determine the process to supervise offenders.
- Obtained and reviewed policies and procedures from P&P including the P&P Policy Statements and the Parole Officer Manual as well as relevant statutes (R.S. 15:826 et seq. and R.S. 36:401 et seq.) from Westlaw detailing the supervision and other performance requirements of all levels of P&P staff.
- Obtained all initial risk assessment data for non-sex offender cases from January 1, 2011, through September 30, 2011, and for sex offender cases from January 1, 2011, through October 31, 2011. We tested the reliability of the risk assessment data based on a reliability sample. Once we determined that the data was reliable, we analyzed it to determine if the risk assessments were completed timely.
- Obtained and reviewed P&P's study conducted with the SAS Institute, Inc. on the relationship of certain factors with recidivism rates. This study was commissioned to validate the LARNA risk assessment tool used by P&P to place offenders.

- Obtained P&P data directly from the P&P case management system and analyzed it to determine if officers are making all required contacts and if supervisors are completing all required case reviews. We used an attribute sample, randomized and weighted by district, of 50 maximum offender cases and 50 sex offender cases.
- Obtained actual caseloads from P&P by officer title and name and analyzed the caseload data to determine average caseloads for officers, specialists, and sex offender specialists. Because we did not use this information to support a finding, audit risk is insignificant and did not require reliability testing. This information is used for illustrative purposes only.
- Obtained and reviewed case narratives and case reviews from P&P detailing the actual performance of its required supervision processes.
- Identified obstacles to P&P meeting its supervisions requirements based on interviews with P&P headquarters officials, regional administrators, district administrators, supervisors, and officers. Researched these obstacles further to determine any potential causes and effects and what impact the obstacles have on P&P staff completing required supervision duties.
- Obtained and reviewed P&P's mission, goals, and performance indicators, as stated in the executive budget and the Louisiana Performance Accountability System.
- Obtained and reviewed P&P's monthly statistical report and summary of activities report to evaluate whether these reports provided the information needed for P&P management to determine if P&P is meeting required supervision activities.
- Tested the reliability of P&P recidivism data based on a reliability sample. Based on this work, we found that the data was sufficiently reliable to support our findings as zero errors were identified in our sample.
- Researched internal policies (ADM110 - Division Auditing Policy, SUP628 - Case Review, MIS508 - Creating Narratives, Documents, Correspondence in the Case Management System, and the Parole Officer Manual), procedures, statutory criteria, and best practices from the Pew Center on the States, the Federal Probation Journal, and the American Probation and Parole Association (APPA) on P&P supervision and determined if P&P is meeting stated criteria. The specific sources are cited throughout the audit.
- Collected best practices and P&P supervision data to determine how headquarters could improve decision-making. The specific sources are cited throughout the audit.

## APPENDIX C: DIVISION OF PROBATION AND PAROLE ORGANIZATIONAL CHART, AS OF FEBRUARY 6, 2012



**Source:** Prepared by legislative auditor's staff using P&P's human resource data and Case Management system.

## APPENDIX D: PROBATION AND PAROLE STAFFING AND OFFENDER COUNT

P&P Staffing and Offender Count by District As of February 6, 2012				
District	Region	Offenders	Officers	Supervisors
New Orleans (NOD)	3	6,498	42	6
Covington (CVD)	3	5,299	37	7
Shreveport (SPD)	1	5,165	36	6
Monroe (MOD)	1	4,960	41	6
Baton Rouge (BRD)	2	4,718	39	7
Alexandria (ALD)	1	4,678	32	5
Lafayette (LFD)	2	4,243	30	5
Jefferson Parish (JPD)	3	3,776	26	5
Amite (AMD)	2	3,743	22	4
Lake Charles (LCD)	2	3,730	24	4
New Iberia (NID)	3	3,633	28	4
Thibodaux (THD)	3	3,595	28	4
Ville Platte (VPD)	1	2,311	15	2
Donaldsonville (DVD)	2	2,213	17	3
East Jefferson (EJD)	3	2,093	16	3
Natchitoches (NAD)	1	1,898	13	1
West Baton Rouge (WBR)	2	1,894	15	1
Minden (MID)	1	1,639	11	2
Tallulah (TLD)	1	1,616	13	3
Headquarters (HQ)		1,396	0	0
Leesville (LSD)	1	1,296	9	2
Feliciana (FED)	2	610	5	1
<b>Total</b>		<b>71,004</b>	<b>499</b>	<b>81</b>
<b>Source:</b> Prepared by legislative auditor's staff using information from P&P's human resource department and Case Management system.				

## APPENDIX E: OFFENDER SUPERVISION LEVELS AND OFFENDER POPULATION

### P&P Offender Supervision Level Requirements As of February 6, 2012

Supervision Level	Number of Offenders		Face-to-Face Contacts	Residence Checks	Employment Verifications	Other Requirements
<b>Static 99-Scored Cases</b>						
Sex Offender, New	102	0.14%	3 per month	Monthly	Monthly	Monthly treatment checks
Sex Offender, High Risk*	193	0.27%	3 per month	Monthly	Monthly	Monthly treatment checks
Sex Offender, Moderate Risk*	1,074	1.51%	2 per month	Monthly	Monthly	Monthly treatment checks
Sex Offender, Low Risk*	646	0.91%	1 per month	Every other month	Monthly	Monthly treatment checks
<b>LARNA-Scored Cases</b>						
Elevated Maximum*	273	0.38%	2 per month	Every other month	As necessary	Record and treatment checks as necessary
Maximum*	5,121	7.21%	1 per month	As necessary	As necessary	Record and treatment checks as necessary
New	6,926	9.75%	1 per month	As necessary	As necessary	Record and treatment checks as necessary
Medium	18,781	26.45%	Every 3 months	As necessary	As necessary	Record and treatment checks as necessary
Minimum	18,327	25.81%	Every 6 months	As necessary	As necessary	Record and treatment checks as necessary
<b>Cases Not Scored with a Risk Assessment</b>						
Intensive, Phase 1 <sup>12</sup>	95	0.13%	2 per month	Monthly	Monthly	Monthly record checks
Intensive, Phase 2	55	0.08%	2 per month	Monthly	Monthly	Monthly record checks
Specialized Violent <sup>13</sup>	258	0.36%	2 per month	Every other month	As necessary	Record and treatment checks as necessary
<b>Cases Not Requiring Regular Contact and Not Scored with a Risk Assessment<sup>14</sup></b>						
Administrative	7,067	9.95%	N/A	N/A	N/A	See below
Detained	5,578	7.86%	N/A	N/A	N/A	Monitor charges, complete violation process
Warrant	6,179	8.70%	N/A	N/A	N/A	Attempt to locate once every 3 months
Self-Reporting	329	0.46%	N/A	N/A	N/A	Record checks every 6 months
<b>Total</b>	<b>71,004</b>	<b>100%</b>				
<b>Source:</b> Prepared by legislative auditor's staff using information from P&P's supervision policies and Case Management system.						
*Offenders in these supervision levels were the primary focus of our audit work.						

<sup>12</sup> Intensive cases are those offenders who are released to IMPACT parole, an intensive, boot-camp type supervision.

<sup>13</sup> A case is deemed Specialized Violent if the offender is convicted of two separate violent crimes as defined in R.S. 14:2.

<sup>14</sup> Administrative cases, for example, are misdemeanors, out-of-state offenders, and offenders sent to a revocation center or incarcerated for an unrelated crime. The figure also includes cases with no supervision level listed. Cases are detained when an offender is in jail due to a violation. Warrants are issued when an offender absconds from supervision. A case can be deemed self-reporting if it is a minimum case with consistent supervision compliance and meets established criteria.