



**STATE OF NORTH CAROLINA  
DEPARTMENT OF CORRECTION**

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

**March 1, 2010**

**Beverly Eaves Perdue  
Governor**

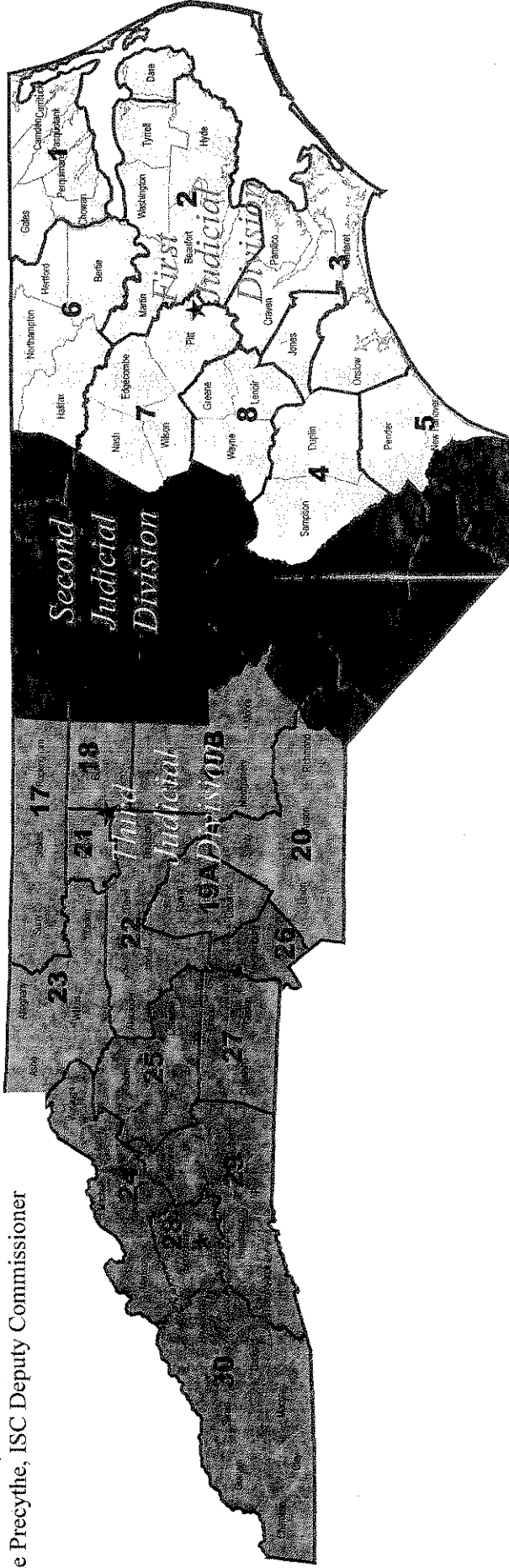
**Timothy D. Moose  
Director**

**Alvin W. Keller, Jr.  
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# N.C. DEPARTMENT OF CORRECTION

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 JDM Dist 11 Joyce James  
 JDM Dist 12 Wayne Marshburn  
 JDM Dist 13 Robert Shannon  
 JDM Dist 14 Tommy Perry  
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 JDM Dist 6 Bill Mitchell  
 JDM Dist 7 Phyllis Leary  
 JDM Dist 8 Jennifer Heath

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**Session Law 2009-451**

**REPORT ON PROBATION AND PAROLE CASELOADS Section 19.12 (a)**

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

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

## **Introduction**

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

DCC currently employs 2,582 authorized full-time positions, including 2,016 certified officers. The Division supervises approximately 114,000 offenders on probation, parole or post-release supervision and oversees 10,000 unsupervised offenders in CSWP for a total offender population of 124,000. Judicial service coordinators handle CSWP cases and cover court processing duties, while DCC probation and parole officers provide case management to offenders under its supervision.

The punishment levels for supervised offenders are community and intermediate. Under Structured Sentencing, a community punishment is any type of sentence that does not include an active punishment or an intermediate punishment. A community punishment level may include fines, restitution, community service and/or substance abuse treatment. An intermediate punishment requires the offender to be placed on supervised probation and includes at least one of the following sanctions: special probation, residential community corrections (RCC), electronic house arrest (EHA), intensive supervision, day reporting center (DRC) or drug treatment court (DTC). Driving while impaired, parole, deferred prosecution and cases from other states are not included in the intermediate and community populations, but are supervised by probation and parole officers according to orders of the court or the North Carolina Post-Release Supervision and Parole Commission.

Prior to December 1, 2009, DCC had three classes of officers to supervise offenders in the community according to the punishment ordered by the court. The department's transition toward one class of officer creates blended caseloads with a more equitable distribution of workload and responsibility among the certified staff; this transition will be complete in the spring of 2010. Because caseloads now are composed of offenders of varying punishment types and complexities, DCC is using a caseload goal of 60 offenders per officer dependent upon recommendations from the workload study being conducted by the University of North Carolina School of Social Work and any future modifications to statutory caseload goals. In addition, surveillance officers carry a caseload of absconders and assist other probation and parole officers in conducting curfew checks, drug screens, financial indebtedness checks, searches and arrests.

**Current Caseload Averages (as of January 2010)**

For the past several years, the Division has been working to utilize a supervision concept that combines all types and levels of offenders on an officer's caseload (blended caseload). The table below represents caseload averages based upon the transition to one class of officer. *Caseload averages by judicial district are shown in Appendix A.*

<b>CASELOADS BY DIVISION</b>			
<b>Location on 1/25/2010</b>	<b>Caseload Avg.</b>	<b>Current Staff</b>	<b>Offenders (non absconder)</b>
<b>DIVISION ONE</b>	<b>65.3</b>	<b>332</b>	<b>21,685</b>
<b>DIVISION TWO</b>	<b>64.8</b>	<b>406</b>	<b>26,308</b>
<b>DIVISION THREE</b>	<b>69.8</b>	<b>399</b>	<b>27,865</b>
<b>DIVISION FOUR</b>	<b>72.0</b>	<b>330</b>	<b>23,767</b>
<b>STATEWIDE TOTAL</b>	<b>68.5</b>	<b>1467</b>	<b>100,435</b>
<b>CASELOAD GOAL</b>	<b>60</b>		

*Averages depicted above for each of the four judicial divisions are based upon the completion of transition to one class of officer and show the averages if all positions were filled. Offender population in the above table does not include absconders.*

**Chief Probation Parole Officer Caseloads**

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

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

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

The Division of Community Corrections is working toward a caseload goal of 60 offenders per officer dependent on the outcome of the workload study currently being conducted by the UNC School of Social Work. The projections below show the resource needs based on complete implementation of one classification of officer.

**Supervision Projections**  
(Caseload Goal: 60)

<b>Fiscal Year</b>	<b>Projected population on June 30</b>	<b>Required Officer Resources</b>	<b>Current Officer Resources</b>	<b>Additional Resources Needed</b>
FY 2009-10	101,922	1,530	1,467	63
FY 2010-11	103,632	1,557	1,467	90
FY 2011-12	105,048	1,578	1,467	111
FY 2012-13	106,451	1,599	1,467	132
FY 2013-14	107,846	1,621	1,467	154

**Analysis of Optimal Caseloads**

G.S. 15A-1343.2(c) provides that “it is the goal of the General Assembly that, subject to the availability of funds, caseloads for probation officers supervising persons sentenced to community punishment should not exceed an average of 90 offenders per officer, and caseloads for offenders sentenced to intermediate punishments should not exceed an average of 60 offenders per officer.” However, these statutory caseload averages reflect an ideal situation if resources across the state matched offender punishment types—which they do not.

During February 2009, the Office of State Personnel released a review of officer compensation and classification in response to a legislative mandate. The results indicate the need for the Division to move towards one classification of officer, handling all types of cases or specializations where warranted. The review resulted in an officer classification which is a higher salary grade assignment than former grades for the PO1, PO2, or ICO. DCC has implemented one class of officer to a pay grade 68, but was unable to take all officers to a pay grade 69 as approved by the State Personnel Commission due to funding constraints. A second classification, judicial services coordinator (JSC), was identified as warranted to handle the court and community service placement functions and other administrative duties; the salary level for the new JSC classification remained the same as the former community service coordinators. The State Personnel Commission approved the recommendations during its February 19, 2009 meeting.

DOC used existing resources to implement these recommendations. With the move to one classification of officer, the caseload type and size will change from the current practices. The division is currently working to review this area, and will incorporate the results of the workload study authorized by the 2008 General Assembly to assist with these decisions; the study is expected to be completed by the end of 2010.

**Assessment of the Role of Surveillance Officer**

Traditionally, the role of a surveillance officer (SO) focused on working as a teammate with an assigned intensive case officer (ICO) to provide intensive supervision. The most important

duties in this concept were to conduct curfew checks on the offenders on the intensive officer's caseload multiple times during a week, conduct drug screens, ensure the payment of court indebtedness, conduct searches, and assist in arrests of the offenders.

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

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

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

The surveillance officer position has emerged as the primary law enforcement liaison for the Division, enabling a dedicated focus on control elements and allowing other officer positions to focus on offender need and case management areas. The Division continues to redefine the role and is working toward a staffing pattern of one surveillance officer per unit to perform the duties as outline above. Additionally, the Division is developing regional fugitive teams of surveillance officers to increase absconder captures.



### **Paraprofessionals**

In 2009, upon completion of the Office of State Personnel study, the State Personnel Commission recommended one class of probation officer as well as a judicial services coordinator (JSC) class. The judicial services coordinator is a reassignment from existing community service coordinators. These positions are responsible for court intake processing, community service placement and the monitoring of unsupervised community service cases. The position reduces the number of officers needed to assist in court processing. Because there are not enough JSCs statewide to effectively cover all courtrooms however, officers in some areas are still required to aid in court processing. There are currently 210 JSC positions statewide.

Seven data entry specialists are responsible for data entry and seven lead judicial services specialists supervise judicial services coordinators in selected areas. These positions are located in Wake, Forsyth and Mecklenburg counties. The lead judicial services specialist position was developed to relieve the current number of community service employees reporting directly to the chief probation/parole officer thereby reducing the staff to chief ratio.

### **Update of 2004 and 2008 NIC Recommendations**

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

### **Selection of a Risk Assessment**

The 2004 NIC Report recommended the use of a risk/needs assessment in the supervision of offenders. DOC sent a team to visit other states to review various instruments used in other states. A task force then reviewed available assessment tools and recommended that DOC develop its own risk/needs assessment process.

DOC has since worked to develop the Risk/Needs Assessment (RNA), which adopts an existing instrument, Offender Traits Inventory, as the risk tool, and uses an in-house tool as the needs instrument. These instruments are not currently being used to manage the offender population, but the division is moving towards implementation, including the assignment of a supervision level based on the offender's risk. The process of validating the risk instrument for the North Carolina offender population is nearly completed, with the needs instrument validation ongoing. The Division also has scheduled training and is in the process of developing automated tools to assist with case management and planning.

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

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

### **Supervision of Collection Cases**

A small number of supervised probation cases have no special condition of probation other than monetary conditions. A snapshot of the offender population in January 2010 shows that a total of 2,922 offenders have only court-ordered monetary condition in addition to the regular conditions of probation. *Appendix E shows the number of offenders by district.*

### **Summary**

DCC continues to assess its practices, policies and procedures as it moves toward implementation of evidence-based practices. The move to one class of probation officer and the creation of the judicial services coordinator position for courtroom duties will help DCC to better meet the demands of the offender population. DCC will continue to assess caseload types and size, including any recommendations from the workload study currently being conducted by the UNC School of Social Work, as it continues to review and improve community supervision strategies.

**APPENDIX A – CASELOADS BY DISTRICT**

<b>CASELOAD BY DISTRICT</b>			
<b>District</b>	<b>Caseload Avg.</b>	<b>Current Staff</b>	<b>Offenders</b>
1	36	26	930
2	69	23	1,589
3	63	55	3,486
4	69	23	1,587
5	63	60	3,789
6	62	33	2,033
7	77	68	5,218
8	69	44	3,053
<b>DIV 1 TOTALS</b>	<b>65</b>	<b>332</b>	<b>21,685</b>
<b>District</b>	<b>Caseload Avg.</b>	<b>Current Staff</b>	<b>Offenders</b>
9	64	31	1,996
10	59	102	5,992
11	70	42	2,926
12	59	54	3,174
13	75	33	2,460
14	59	74	4,370
15	80	30	2,385
16	75	40	3,005
<b>DIV 2 TOTALS</b>	<b>65</b>	<b>406</b>	<b>26,308</b>
<b>District</b>	<b>Caseload Avg.</b>	<b>Current Staff</b>	<b>Offenders</b>
17	63	39	2,453
18	66	80	5,275
19A	74	54	3,985
19B	72	44	3,151
20	72	42	3,022
21	76	54	3,486
22	76	60	4,555
23	75	26	1,938
<b>DIV 3 TOTALS</b>	<b>70</b>	<b>399</b>	<b>27,865</b>
<b>District</b>	<b>Caseload Avg.</b>	<b>Current Staff</b>	<b>Offenders</b>
24	71	19	1,352
25	79	43	3,404
26	70	102	7,121
27	73	61	4,455
28	71	40	2,827
29	69	37	2,548
30	74	28	2,060
<b>DIV 4 TOTALS</b>	<b>72</b>	<b>330</b>	<b>23,767</b>

**APPENDIX B – OFFICER TO CPPO RATIO**

*Tables show officer to chief PPO ratio by unit (as of January 31, 2010).*

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

Division Two Officer to CPPO Ratio					
County	Unit	Ratio	County	Unit	Ratio
Franklin	5090A	7:1	Durham	5140A	8:1
Vance, Warren	5090B	7:1	Durham	5140B	8:1
Vance	5090C	8:1	Durham	5140C	8:1
Granville	5090D	9:1	Durham	5140D	8:1
Franklin, Vance	5090E	7:1	Durham	5140E	7:1
Wake	5100A	7:1	Durham	5140F	7:1
Wake	5100B	4:1	Durham	5140G	5:1
Wake	5100C	9:1	Durham	5140H	7:1
Wake	5100D	8:1	Durham	5140I	8:1
Wake	5100E	10:1	Chatham	5140J	8:1
Wake	5100F	8:1	Orange	5140K	7:1
Wake	5100G	8:1	Orange	5140L	7:1
Wake	5100H	7:1	Alamance	5150A	8:1
Wake	5100I	8:1	Alamance	5150B	7:1
Wake	5100J	8:1	Alamance	5150C	8:1
Wake	5100K	8:1	Person	5150D	9:1
Wake	5100L	9:1	Caswell	5150E	7:1
Wake	5100M	8:1	Scotland	5160A	7:1
Wake	5100N	10:1	Hoke	5160B	9:1
Wake	5100O	7:1	Scotland	5160C	7:1
Harnett	5110A	9:1	Robeson	5160D	9:1
Johnston	5110B	8:1	Robeson	5160E	9:1
Lee	5110C	7:1	Robeson	5160F	8:1
Johnston	5110D	9:1	Robeson	5160G	9:1
Harnett	5110E	7:1	DIV. AVG		7:1
Johnston, Harnett	5110F	8:1			
Harnett, Lee	5110G	7:1			
Cumberland	5120A	9:1			
Cumberland	5120B	9:1			
Cumberland	5120C	4:1			
Cumberland	5120D	9:1			
Cumberland	5120E	9:1			
Cumberland	5120F	9:1			
Cumberland	5120G	7:1			
Brunswick	5130A	7:1			
Bladen	5130B	7:1			
Columbus	5130C	7:1			
Columbus	5130D	6:1			
Brunswick	5130E	8:1			
Brunswick	5130F	8:1			

Division Three Officer to CPPO Ratio						
County	Unit	Ratio		County	Unit	Ratio
Rockingham	5170A	7:1		Forsyth	5210A	9:1
Rockingham	5170B	7:1		Forsyth	5210B	5:1
Surry	5170C	7:1		Forsyth	5210C	9:1
Stokes	5170D	9:1		Forsyth	5210D	9:1
Surry	5170E	9:1		Forsyth	5210E	8:1
Rockingham	5170F	9:1		Forsyth	5210F	10:1
Guilford	5180A	9:1		Forsyth	5210G	10:1
Guilford	5180B	9:1		Forsyth	5210H	9:1
Guilford	5180C	8:1		Alexander	5220A	8:1
Guilford	5180D	8:1		Iredell	5220B	8:1
Guilford	5180E	4:1		Iredell	5220C	9:1
Guilford	5180F	9:1		Davidson	5220D	9:1
Guilford	5180G	9:1		Davidson	5220E	6:1
Guilford	5180H	8:1		Davidson	5220F	8:1
Guilford	5180I	8:1		Iredell	5220G	8:1
Guilford	5180J	9:1		Davie, Davidson	5220H	8:1
Guilford	5180K	9:1		Davidson	5220I	8:1
Cabarrus	5191A	9:1		Wilkes	5230A	7:1
Cabarrus	5191B	8:1		Wilkes	5230B	8:1
Cabarrus	5191C	9:1		Ashe, Alleghany	5230C	8:1
Rowan	5191D	10:1		Yadkin	5230D	7:1
Rowan	5191E	9:1		DIV AVG		8:1
Rowan	5191F	10:1				
Rowan	5191G	8:1				
Randolph	5192A	9:1				
Randolph	5192B	9:1				
Montgomery	5192C	8:1				
Randolph	5192D	8:1				
Moore	5192E	9:1				
Moore	5192F	8:1				
Richmond	5200A	7:1				
Anson	5200B	7:1				
Richmond	5200C	7:1				
Stanly	5200D	7:1				
Stanly	5200E	6:1				
Union	5200F	8:1				
Union	5200G	9:1				

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

*Units with smaller ratios are judicial services units that process probation cases out of court. There are other non-certified staff members in these units who also report to the CPPO.*

## APPENDIX C – 2004 NIC UPDATE

- 1.1 That the offender contact requirements be modified. The existing contact requirements are too rigid, inflexible and unnecessary.  
**Complete. Effective November 1, 2005 DCC revised policy to cover the shift in offender case management and supervision practices. Part of the revised policies addressed modifying offender contacts.**
- 1.2 That the division embrace a more structured case planning methodology where contacts are measured by quality rather than only quantity and fails to consider offender criminogenic needs  
**Ongoing. DCC has developed a case planning process that incorporates court-ordered conditions of probation and offender risk and criminogenic needs identified through the assessment process. This process is currently being piloted utilizing a small number of staff and offenders. Statewide training and implementation will occur in the spring of 2010.**
- 1.3 That the division should continue to monitor and evaluate revocation rates to ensure that alternatives to incarceration are being appropriately utilized.  
**Ongoing. The November 2005 revised policies included expectations to use sanction alternatives based on demonstrated need and not on a hierarchy system that emphasizes numbers. The focus moved to matching needs with alternatives, such as ensuring that offenders with positive drug screens enter sanctions that include appropriate treatment.**
- 1.4 That the Offender Management Model (OMM) supported by DCC administration, be rigorously emphasized and strongly promoted.  
**Complete. A new section within the revised policy was created solely emphasizing OMM and its critical components.**
- 2.1 That Probation/Parole Officer I's receive the same officer safety package other probation/parole officer levels receive. These staff provide public safety in the same neighborhoods for the same offenders encountering the same risk as other officers, in the performance of their duties.  
**Ongoing. The division is moving to one class of officer. When the transition is complete in the spring of 2010, there will no longer be a PO1 classification.**
- 2.2 That the compensation for division staff be evaluated and appropriately reclassified to reflect their job descriptions, abilities, and the fact that certified Probation/Parole Officers meet all statutory requirements for state law enforcement benefit programming.  
**Ongoing. The workload study being conducted by the UNC School of Social Work will review duties conducted by officers and judicial services coordinators. The report will offer workload recommendations and classification suggestions.**
- 2.3 That the Certified Probation/Parole Officers be included in the state law enforcement



retirement system in order to receive the benefits of the Supplement Retirement Income Plan and the Insurance Benefits Plan. They meet the statutory eligibility.

**Ongoing. The Division is exploring the possibility; the change requires legislative approval.**

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

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

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

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

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

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

**The Division developed a chief probation/parole officer training academy to improve the leadership skills and abilities of first line supervisors. Specialized training has been developed for the risk/needs assessment and case planning process. Officer training specific to domestic violence, sex offenders, drug treatment courts, electronic house arrest and cognitive behavioral interventions will continue to be expanded and improved.**

- 2.8 That the division amends hiring protocols to increase the qualified applicant pool.
- New guidelines completed and implemented May-June 2009, additional revisions to be completed after the UNC Workload Study is completed (spring 2010) and implementation of supervision by risk-need assessment**

- 2.9 That the division establishes a diverse employee issues committee to examine the reasons for and ways to improve employee morale and retention.

**Ongoing. Officers and managers have been invited to participate in operations focus groups. A similar group will be created to examine ways to improve morale and retention.**

- 3.1 That the division continues to implement their blending caseload concept. Additional statutory authority should be requested by the division, if necessary.  
**Complete. All counties utilize blended caseload supervision. One class of officer transition complete in spring 2010**
- 3.2 That the division increases the caseloads of community punishment officers. In order to achieve this objective, it will be necessary that the division adopt a risk/needs assessment instrument and a modification of the existing agency contact standards as well as a change in philosophy by existing staff concerning the necessity of contacting low risk offenders.  
**In November 2005, the Division raised community officer caseloads from 90 to 110. In 2009, the PO1 classification was eliminated and total blended caseloads will be used by spring of 2010.**
- 3.3 That the division considers using paraprofessional/non-certified officers to assist with duties currently performed by certified officers relative to offenders, such as criminal record checks, monitoring of financial obligation, data entry, court processing, etc.  
**In 2009 upon completion of the Office of State Personnel study, the State Personnel Commission recommended one class of probation officer as well as a judicial services coordinator (JSC) class. The judicial services coordinator is a reassignment from existing Community Service Coordinators. These positions are responsible for court processing duties as well as community service placement and the monitoring of unsupervised community service cases. The position also relieves the number of officers needed to assist in court processing; however, there are not enough JSCs statewide to effectively cover all courtrooms.**
- 3.4 That the sex offender control program officers, day reporting specialized officers, drug court officers, domestic violence officers be increased to meet the departments needs and goals relative to the divisions specialized programs. The team believes that the noted specialized programs are excellent. The necessary positions for expanded specialized programs will be made available from internal transfers as community officer caseloads are increased. The availability of vacant positions will be impacted by any future growth of the offender population managed by the division, however.  
**There were not enough officers to cover the reduced caseloads associated with the specialization concept. The division's move to one class of officer will allow for a blended caseload concept which includes special cases.**
- 3.5 That the duties of surveillance officers be evaluated. An excessive amount of time is expended making unnecessary field contacts on assessment validated low risk offenders. The surveillance officers should be reallocated to day reporting centers or to multiple intermediate classifications for work activities of recognized high risk offenders  
**Ongoing. The surveillance officer now reports to a chief probation/parole officer and**

provides assistance to all officers within the unit. The SO provides assistance in the management and supervision of a variety of offenders within a unit and geographical area, expanding beyond intensive cases to include day reporting centers, electronic house arrest, drug treatment courts and global positioning satellite tracking. With increasing numbers of higher risk offenders under supervision, there is a greater need to focus on control in order to address offender needs. The division is continuing to evaluate the surveillance officers' role of tracking/arresting absconders.

- 4.1 That the division develops and/or adopts a dynamic risk/needs assessment tool to assist them in making caseload management decisions.  
**Ongoing. The Division has developed a dynamic risk and needs assessment that is being used by officers statewide. The information obtained from this assessment will result in supervision levels for offenders. (spring 2010)**
- 4.2 That the division have the authority to assign appropriate cases to staff. This will require changes in policy and statute so the division can place low risk cases that originated as an Intermediate case to a Probation/Parole Officer I caseload. Further, that high risk cases currently being managed by Community Officers are moved to Intermediate Officers. We recommend Intensive Officers and Intermediate Officers blend their caseloads when deemed appropriate by the division.  
**Completed. Supervision has moved to completely blended caseloads.**
- 4.3. That the North Carolina general statute regarding delegated authority be expanded to make available to any offender the intermediate supervision of Day Reporting Center, Electronic House Arrest and Intensive sanctions as deemed appropriate by a validated risk assessment. Further that the division consider limiting a chief's supervision workload to no more than 12 officers.  
**No changes to delegated authority. CPPO ratio has reduced to 8:1.**
- 4.4 That the division conducts pre-sentence investigations on all offenders convicted of a felony that falls in the Intermediate/Active sentencing grid. Information provided in pre-sentence investigation reports is invaluable to the court, prosecutors, defense counsel and division staff. Further, that division provides a specific sentencing recommendation in each pre-sentence report. This information will assist the division in their efforts to concentrate on quality contacts rather than the quantity of contacts. This will also facilitate the division's migration from a pure containment model to an out-come based supervision model.  
**Legislation has mandated that DCC and Administrative Office of the Courts conduct a feasibility study to determine the usefulness of presentence investigations. The report is due in the spring of 2010.**
- 4.5 That offenders be discharged from probation supervision when they have satisfied their criminogenic needs and are at a risk level that does not warrant supervision. The division will be able to identify these cases utilizing a validated risk and needs assessment.  
**Ongoing. The division will realize this goal upon the use of supervision by levels associated with the risk/needs assessment to be implemented in the spring of 2010.**

**Additionally, S.L. 2009-275 provides for the transfer of certain low risk misdemeanants placed on supervision to be moved to unsupervised probation. The offenders transferred cannot be under any special conditions, must be low risk, and must be able to continue to pay any monies owed as a part of unsupervised.**

- 4.6 That the division utilizes the flexibility that will be provided when utilizing a risk and needs assessment to address other staffing needs. Community officer caseloads are low, based on national standards. The risk and needs assessment, combined with appropriate changes in supervision contact requirements, will permit increases in the size of community officer caseloads. This will enable intermediate and intensive officers to concentrate on more high-risk offenders and deliver quality specialized programming (cognitive behavior, sex offender control program, domestic violence, drug education).  
**Ongoing. The department has moved to a complete blending process and one class of officer. Implementing supervision levels based on risk and needs scores in spring of 2010.**
- 4.7 That the division, contingent on making the above changes, has the necessary policy and statutory authority to blend the high risk cases. These systematic changes should not require additional staff, unless division caseloads continue to rise.  
**Ongoing. The blending concept is complete. Supervision levels determined by risk and needs will be implemented in spring 2010.**
- 4.8 That the low risk cases being supervised solely for the collection of fines and costs be transferred to non-reporting caseloads, unsupervised probation, or supervision by paraprofessional staff.  
**S.L. 2009-275 provides for the transfer of certain low risk misdemeanants placed on supervision to be moved to unsupervised probation. The offenders transferred cannot be under any special conditions, must be low risk, and must be able to continue to pay any monies owed as a part of unsupervised.**
- 4.9 That the division considers recommending to the legislature a supervision fee system that permits a set fee. This would facilitate the collection of fees and provide officers to focus on supervision and treatment needs of the offender. Collection rates would not be adversely affected.  
**Legislative action required to enact**
- 4.10 That Driving While Impaired (DWI) level 4 and level 5 offenders be prohibited from being placed on supervised probation.  
**Legislative action required to enact**
- 4.11 That probation/parole officers workload reporting accurately reflects the actual work performed. Specifically, those officers who are supervising vacant caseloads should receive recognition and credit for the actual work they are performing.  
**A computerized courtesy supervision process was added which allows officers to receive credit for additional cases for which they are responsible but not officially**

**assigned (such as vacant caseloads) and affords managers the ability to track officers providing courtesy supervision for an offender in the absence of the assigned officer.**

- 4.12 That the division examines Global Position Satellite (GPS) technology. Pilot projects of both active and passive GPS systems have been completed nationally. To assist in this effort a copy of the February, 2004 Washington State GPS legislative report.  
**GPS technology has been adopted for supervision of offenders sentenced to electronic house arrest and electronic monitoring.**
- 4.13 That the division improves the Offender Population Unified System (OPUS) to increase productivity and effectiveness for staff.  
**Web tools developed to give officers an at a glance view of caseloads and red flags to include new pending charges. OPUS is being moved to a Web-based format with the first portion (intake) being implemented statewide in spring 2010.**
- 4.14. That the division evaluates the officer safety package and other related equipment, to ensure offices have appropriate tools to carry out the performance of their duties.  
**DCC has completed the process of exchanging former body armor with more effective, lightweight body armor. Firearms and other related equipment has been updated previously. 600 Viper radios received through Recovery Act funds.**

## APPENDIX D – 2008 NIC UPDATES

### A. Operational

1. Concentrate on the fundamentals of solid assessment, case planning, intervention strategies, and supervision to accomplish the following:  
**Ongoing – case management planning and introduction to evidence-based practices delivered spring-summer 2009. Continue to work with NIC on additional training for 2010. Implementation of revised supervision levels and supervision by risk-need assessment (EBP) planned for spring-summer 2010**
  - a. Identify and correct problem cases noted from special audits; and
  - b. Purge caseloads of cases that can be closed or terminated.**Completed in Wake and Durham**
2. Hire dedicated paraprofessionals to perform the intake duties and responsibilities.  
**Ongoing - Judicial services coordinator classification approved by the State Personnel Commission, staffing formula completed to access position needs per county and district. In October 2009, all community service coordinator positions changed to judicial services. In November and December 2009, reallocation of POI positions to one classification of PO resulted in 79 moving to judicial services coordinator positions. Additional funding for 13 time limited judicial services positions received, hiring process started October 2009.**
3. Relieve the PPO positions from the escorting, intake, and other court-related administrative duties specific to the intake function.  
**Practices adjusted in Wake and Durham Counties. Ongoing statewide with the move to one class of PO and establishing a judicial services class of employees.**
4. Provide to the Courts a directional information sheet that the Court Clerks can provide to the offenders upon the offenders being granted probation. The directional information sheet will provide the directions and phone number to the DCC intake office.  
**Local practice/protocols are in place in each district**
5. Obtain from the Court Clerks Office a daily listing of the defendants granted probation on the previous day. This listing would be used by intake staff to reconcile the DCC probation intake and ensure that offenders sentenced to probation are assigned to supervision. Investigate if the Court can provide a computer tape to be compared against the DCC's intake data base.  
**DOC-MIS and AOC developed and implemented the AOC Search automated tool to provide daily disposition of cases from AOC with DCC Opus intake information**
6. Develop a policy or operational instruction that establishes that out of county intake assignments are the responsibility of the receiving PPO to resolve and not the responsibility of the PO assigned to the intake office. A reasonable timeframe should be also identified for resolution.

**Completed – Directive #2, 10-17-08**

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

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

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

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

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

**MIS is in the process of developing, with several tools completed. Piloting a Web based automated intake system in Wake, Wilson, and Harnett counties. MIS continues to develop applications and is also assisting with the development of CJLEADS.**

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

**Ongoing with the development of the risk/needs assessment, revised supervision levels and implementation of supervision based on the risk/needs assessment planned for spring-summer 2010.**

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

**The current statute assigns levels based on the sentences received (intermediate or community - Structured Sentencing Act 1994); in the process of developing the use of the assessment process for supervision purposes with planned implementation for spring-summer 2010.**

12. Establish and promulgate written guidance to staff instructing what types of work-related activities are appropriate for non-certified PPOs. It is recommended that non-certified PPO not provide direct offender services nor provide direct court testimony at violation hearings.

**Completed – Directive #4, 10-17-08**

13. Seek legislation that would allow DCC staff to place a no bail hold on public safety risk felon offenders who are rearrested on a new felony charge or arrested on a violation of probation warrant.

**Legislation enacted through S.L. 2009– 412 Delay Bond/Probationer Arrested for Felony. Revises the statutes concerning pretrial release, and also amends G.S. 15A-1345**

**concerning arrest and hearing on a probation violation. The changes require a judicial official to make a finding concerning the offenders' danger to the public prior to release on bond or pretrial conditions. If the judicial official has insufficient information to make the finding, the offender may be held in custody for up to seven days for a finding to be made.**

14. Have DCC investigate the feasibility of introducing the PSI report on a trial basis to the Court. If the full PSI is not a viable option, then have the DCC develop a shorter version of the PSI that includes the official and defendant's version of the charge; the defendant's criminal, social, substance abuse, and mental history; the offender's physical health; and the PPOs recommendation to the Court.  
**Currently under review and study, study report to legislature due in May 2010.**
15. Develop a revised intake manual for the Wake County Intake Office that has screen shots that illustrate the intake process, identify the documents needed to begin the intake process, shows what constitutes a correct intake assignment, how to verify a home address, etc.  
**DCC policy and OPUS Manual provide intake details and examples. Wake County has revised its local intake procedures and processes.**
16. Have Central Administration staff revise the Wake County intake manual for the purposes of state-wide uniformity in state-wide operations, where applicable.  
**DCC policy and OPUS Manual provide intake details for consistent statewide use; local SOP / protocol developed to complement use.**
17. Establish a Criminal Justice Coordinating Council to ensure that a forum exists for stakeholders to meet regularly to discuss and plan criminal issues.  
**Legislative action required to enact.**
18. DOC seek legislation so that DCC staff can access juvenile history information on offenders assigned to supervision to have a complete picture of the offender's current and prior criminal history when determining the appropriate supervision level.  
**Legislation enacted (S.L. 2009-372, Probation Reform). Amends several general statutes pertaining to juvenile offenders and allows adult Probation Officers access to portions of certain probationer's juvenile record without a court order. Allows the Division of Community Corrections access to the juvenile record of those offenders placed on probation for offenses committed on or after December 1, 2009 and when the probationer is less than 25 years old. DCC may look at the records of these offenders if there is an adjudication of delinquency for acts that would be a felony if committed by an adult. Planning to implement supervision based on the use of the risk-need assessment for spring-summer 2010.**

## **B. Management/Personnel**

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



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

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

**New guidelines completed and implemented May-June 2009, additional revisions to be completed after the UNC Workload Study is completed (spring 2010) and implementation of supervision by risk-needs assessment**

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

**Completed – Directive #4, 10-17-08**

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

**OSDT has worked with the division to add additional training dates to reduce the time waiting, and have reduced the number of new hires necessary to conduct a class session. The new process has drastically reduced waiting time from employment to training to less than 30 days.**

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

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

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

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

7. Develop a formalized mentoring program to assist newly appointed PPOs.

**Implementation of the Probation Field Specialist (pg 70) as authorized by the State Personnel Commission is in the planning stages for implementation after completion of the move to one class of PO and implementation of EBP.**

8. Ensure updated, current DCC policies, operational procedures, and curricula are fast tracked through the Training Commission in order to ensure that the newly appointed PPOs receive the latest policies and procedures in the new employee training academy.

**OSDT is working to update all lesson plans with DCC to ensure that the curriculum is current with DCC policy and operational procedures; all 38 lesson plans in the basic curriculum have been revised; the basic curriculum is under pilot status with the Criminal Justice Education & Training Standards Commission to give OSDT the authority to make necessary changes in the curriculum and is advising the Commission of changes as required. The Commission meets four times per year and there is no fast track through the Commission.**

9. Retrain all area divisional personnel specialist in merit system rules and regulations for recruitment and selection processes, with the goal of expanding the pool of eligible applicants.  
**The Division is working closely with DOC Personnel to implement the new hiring guidelines and continuous posting. Individual training sessions have been completed and communication/ review is ongoing**
  
10. Reduce the span of control and the areas of responsibility for DCC Central Administration. Currently, the span of control for DCC Central Administration is too large. A senior position to manage the administrative functions of the DCC would reduce the work burden on the Senior Administrator and the Director. This additional position would permit the Senior Administrator to focus on operational issues.  
**The organizational structure has been revised with a Deputy Director to oversee the judicial divisions and field operations and an Assistant Director to oversee special operational areas and programs.**
  
11. Reduce the span of control for the Area Administrator. Currently, the span of control for the Area Administrator is too large. Another position is recommended to have administrative responsibilities that would reduce the workload of the Area Administrator and the Assistant Area Administrator.  
**The organizational structure was revised due to legislative action by consolidating judicial districts from 45 to 31 and reducing some management positions. The Judicial Division Administrators role continues to have the same workload as no additional positions were received from the legislature for management.**
  
12. The Reviewers recommend that a training/coaching session for management staff be provided to assist with uniformity of application in the corrective action process.  
**The division is working with DOC-Personnel to schedule refresher training with appropriate staff.**
  
13. The DCC should review its corrective action policies and processes, as well as consider the feasibility of delegating certain disciplinary actions at the Area Administrator level.  
**Completed – Directive #5, 10-17-08**
  
14. Reduce the CPPO span of control to 6 or 7 PPOs to 1 CPPO.  
**18 additional CPPO positions were received from the legislature. Additional expansion requests will be made to continue to work toward this goal.**
  
15. Reduce the Wake County CPPO span of control from 22 staff to 1 CPPO to function as an intake supervisor. This recommendation would require another supervisor be appointed to supervise the PPOs assigned to the Wake County intake office.  
**This was inaccurate information as there is not a 22 to 1 ratio for the intake staffing. There were 19 employees in the unit and a CPPO. The CPPO was responsible for the supervision of four probation officers, two lead judicial services coordinators, a data**

**entry specialist and a processing assistant. The two lead judicial services coordinators supervised the other employees who were judicial services coordinators. The same structure currently exists. In the spring when one class of officer is implemented, the probation officers will be replaced with judicial services coordinators.**

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

**No new positions were funded by the legislature.**

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

**UNC School of Social Work is in the process of completing a study, with results due during the spring-summer of 2010.**

## APPENDIX E- SUPERVISED COLLECTION CASES

*Snapshot as of January 2010*

<b>Monetary Conditions Only</b>		
District	Number	Percent
Central Administration	46	1.57
1	59	2.02
2	60	2.05
3	81	2.77
4	58	1.98
5	69	2.36
6	79	2.7
7	128	4.38
8	147	5.03
9	118	4.04
10	107	3.66
11	72	2.46
12	60	2.05
13	91	3.11
14	93	3.18
15	66	2.26
16	71	2.43
17	53	1.81
18	121	4.14
19A	85	2.91
19B	151	5.17
20	69	2.36
21	210	7.19
22	277	9.48
23	26	0.89
24	40	1.37
25	80	2.74
26	131	4.48
27	116	3.97
28	93	3.18
29	22	0.75
30	43	1.47