

Q00C02
Division of Parole and Probation
Department of Public Safety and Correctional Services

Operating Budget Data

(\$ in Thousands)

	<u>FY 02</u>	<u>FY 03</u>	<u>FY 04</u>	<u>FY 02-04</u> <u>Change</u>	<u>FY 05</u>	<u>FY 04-05</u> <u>Change</u>
Operations	\$74,742	\$73,391	\$79,895	\$5,153	\$79,750	-\$145
Contractual Services	3,985	3,587	3,337	-648	3,215	-122
Grants	655	655	655	0	655	0
Contingent & Back of Bill Reductions	0	0	0	0	-439	-439
Adjusted Grand Total	\$79,381	\$77,633	\$83,887	\$4,506	\$83,181	-\$706
General Funds	77,458	75,997	81,421	3,963	82,588	1,167
Contingent & Back of Bill Reductions	0	0	0	0	-439	-439
Adjusted General Funds	\$77,458	\$75,997	\$81,421	\$3,963	\$82,149	\$728
Special Funds	85	98	100	15	100	0
Federal Funds	94	64	121	28	0	-121
Reimbursable Funds	1,745	1,473	2,245	500	932	-1,313
Adjusted Grand Total	\$79,381	\$77,633	\$83,887	\$4,506	\$83,181	-\$706
Annual % Change		-2.2%	8.1%		-0.8%	

- In fiscal 2003, the division absorbed approximately \$4.9 million in cost containment by keeping positions vacant and reducing the number of contractual positions.
- A decrease of approximately \$1.3 million in reimbursable funds is attributable to the expiration of federal grants supplied through the Governor's Office of Crime Control and Prevention (GOCCP). The loss of the grant will reduce portions of the Proactive Community Supervision program including the warrant apprehension unit, employee professional development, the rapid sanctioning agent assistants, and information technology enhancements.

Note: Numbers may not sum to total due to rounding.

For further information contact: William M. Honable, Jr.

Phone: (410) 946-5530

Personnel Data

	<u>FY 02</u>	<u>FY 03</u>	<u>FY 04</u>	<u>FY 02-04</u> <u>Change</u>	<u>FY 05</u>	<u>FY 04-05</u> <u>Change</u>
Regular Positions	1,358.5	1,334.5	1,315.0	-43.5	1,315.0	0.0
Contractual FTEs	114.5	79.1	150.7	36.2	113.7	-37.0
Total Personnel	1,473.0	1,413.6	1,465.7	-7.3	1,428.7	-37.0

Vacancy Data: Regular Positions

Turnover Expectancy	85.48	6.50%
Positions Vacant as of 12/31/03	179.00	13.61%

- 43.5 regular positions were abolished from the division during fiscal 2002 through 2004 as part of cost containment.
- 24.8 contractual positions were eliminated in fiscal 2003 as part of cost containment but were restored in fiscal 2004.
- 37 contractual positions are eliminated in the fiscal 2005 allowance due to the expiration of federal grants supplied through GOCCP.
- The actual vacancy rate at mid year has consistently surpassed the budgeted turnover rate since fiscal 2000.

Analysis in Brief

Major Trends

Caseloads: Reductions in the number of offenders and cases under supervision are not consistent with the longer term trends since fiscal 1995 which show that in 2003 the average number of offenders increases by 500 annually and the average number of cases increases by 386 cases annually. **The department should be prepared to discuss the factors that influence the fluctuation of the caseload numbers and how the department estimates future caseloads. The department should also be prepared to discuss the impact of the population decline on caseloads and offender supervision.**

Recidivism: Despite the growth in the recidivism rate during fiscal 1996 and 1997, the recidivism rate for the offenders under the division's supervision appears to be in decline. **The department should be prepared to discuss the factors underlying the decrease in the recidivism rate.**

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Issues

Employee Safety: The division's caseload is composed of individuals who have been convicted of varying degrees of criminal activity. Additionally, many offenders have substance abuse problems. While there have not been any serious incidents yet, the division should address the safety of its employees. **The department should be prepared to discuss the steps taken to ensure the safety of agent and office bound personnel.**

Staffing: The Governor has exempted several parole and probation agent positions from the statewide hiring freeze.

Recommended Actions

	<u>Funds</u>
1. Increase turnover to 7.88%.	\$ 1,022,559
Total Reductions	\$ 1,022,559

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Q00C02
Division of Parole and Probation
Department of Public Safety and Correctional Services

Operating Budget Analysis

Program Description

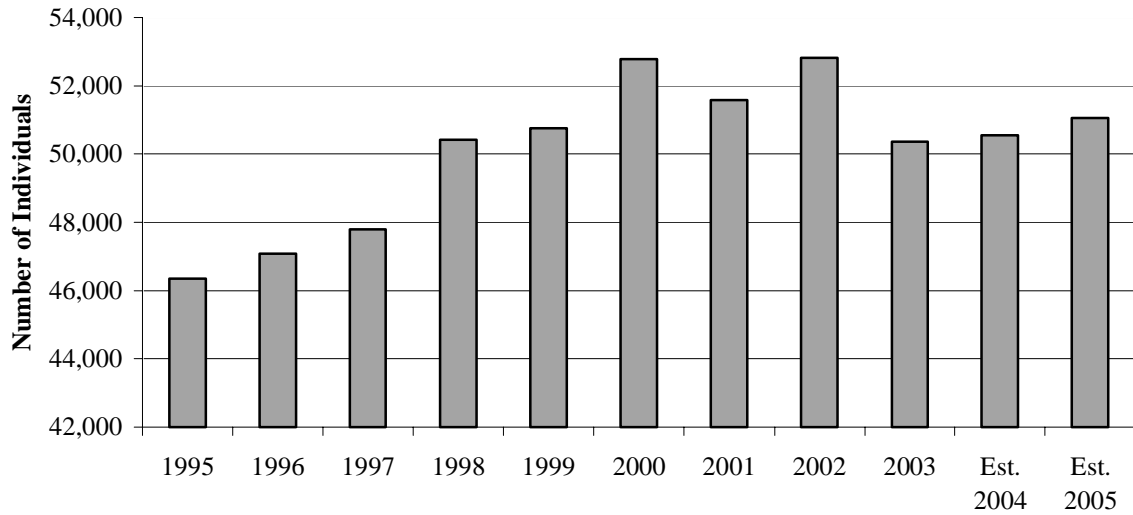
The Division of Parole and Probation (DPP) provides offender supervision and investigation services. DPP's largest workload involves the supervision of probationers assigned to the division by the courts. DPP also supervises inmates released on parole by the Parole Commission or released from the Division of Correction because of mandatory release. The Drinking Driver Monitor Program (DDMP) supervises offenders sentenced by the courts to probation for driving while intoxicated (DWI) or driving under the influence (DUI). DPP also monitors offenders in the Correctional Options Program, which diverts offenders from the prison system whose criminal acts result from drug abuse.

Performance Analysis: Managing for Results

As shown in **Exhibit 1**, the number of offenders under criminal supervision at the end of the fiscal year has increased by 8.65%, or approximately 4,000 offenders between fiscal 1995 and 2003. Despite the average 500 offender annual increase, the number of offenders under supervision at the end of fiscal 2003 declined by approximately 4.67%, or 2,467 offenders. While lower in magnitude, the division also experienced a similar decline in fiscal 2001 after a substantial increase in fiscal 2000.

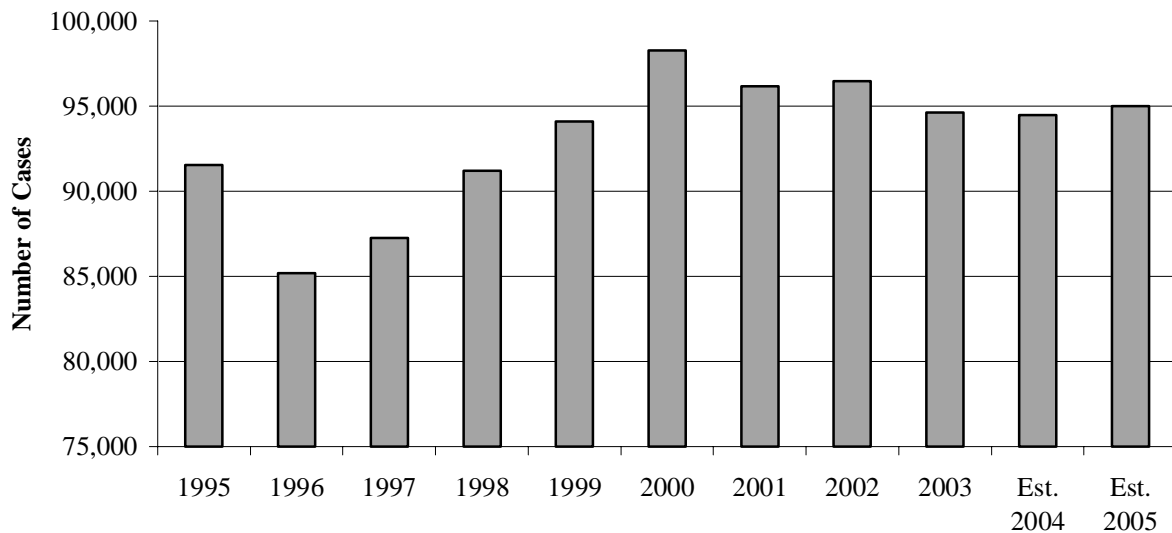
Each individual under the division's supervision may have one or more criminal cases for which an agent is responsible. In these cases, the agent must ensure the supervisee's compliance with each condition of probation or parole and report the findings to the appropriate officials. **Exhibit 2** shows the number of cases under criminal supervision at the end of the fiscal year. Although still above 94,000 cases, the number of cases at the end of fiscal 2003 declined by 1.92%, or 1,857 cases, below the fiscal 2002 level. The total number of cases has increased 3.38%, or 3,090 cases between fiscal 1995 and 2003. This represents an average annual increase of 386 cases, or 0.42% but the trend appears downward since fiscal 2000. **The department should be prepared to discuss the factors that influence the fluctuation of the caseload numbers and the recent downward trend in cases, and how the department estimates future caseloads.**

Exhibit 1
Number of Individuals Under Criminal Supervision at the End of the Fiscal Year



Source: Department of Public Safety and Correctional Services

Exhibit 2
Number of Cases Under Criminal Supervision at the End of the Fiscal Year

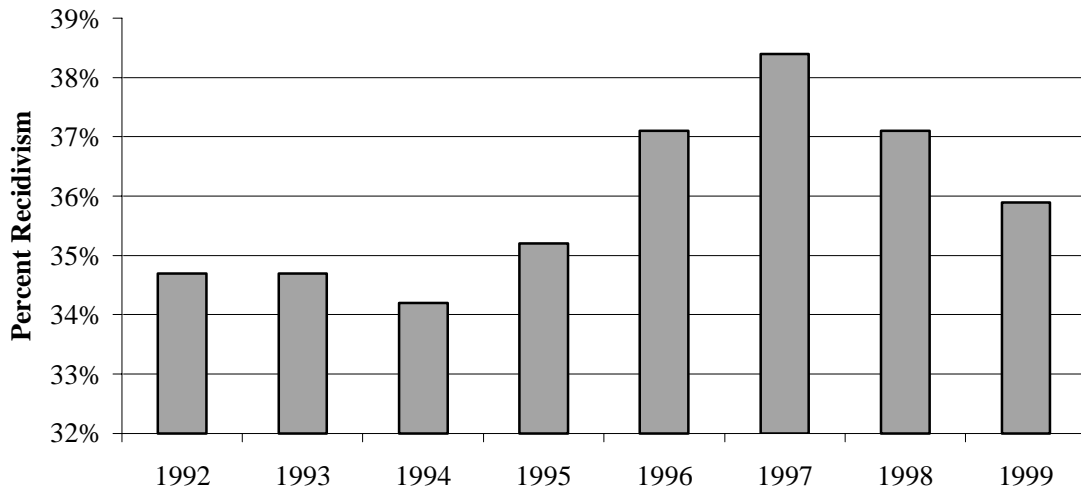


Source: Department of Public Safety and Correctional Services

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Recidivism is a new conviction for an offender previously convicted of another crime resulting in a return to a correctional facility or to probation supervision. The Department of Public Safety and Correctional Services (DPSCS) uses a Repeat Incarceration Supervision Cycle to follow up on offenders. **Exhibit 3** shows the recidivism rate for offenders placed under DPP's jurisdiction within three years of placement (regardless of whether the case was still under the supervision of DPP). The three-year recidivism rate has decreased 6.51% between the fiscal 1997 high of 38.4% to the fiscal 1999 rate of 35.9%. The preliminary data for fiscal 2000 and 2001 suggests the rate may stabilize at the lower levels. **The department should be prepared to discuss the factors underlying the decrease in the recidivism rate.**

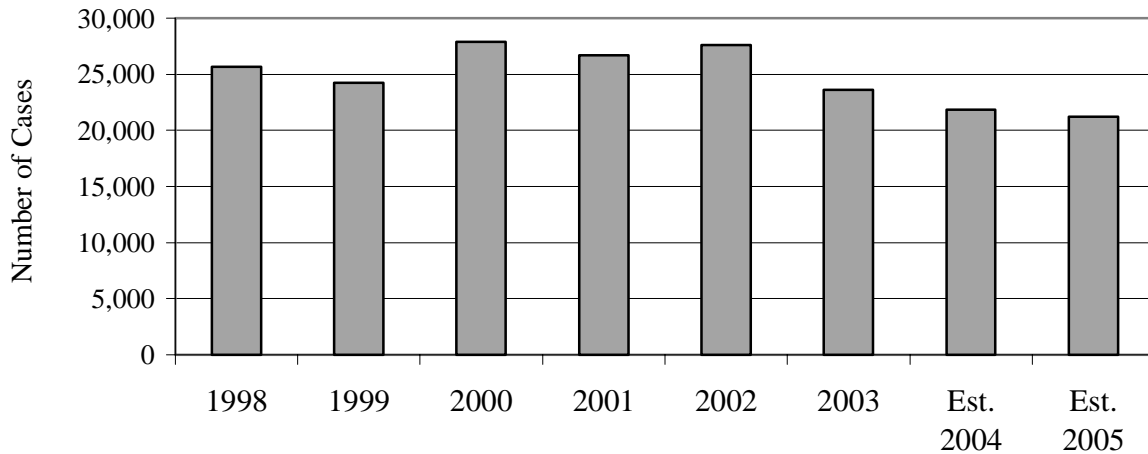
Exhibit 3
Recidivism Rate of Parole and Probation Intakes (Under or Beyond Supervision)
Within Three Years



Source: Department of Public Safety and Correctional Services

Exhibit 4 shows that the number of offenders under supervision in DDMP has been reduced by 8.0%, or 2,054 offenders, between fiscal 1998 and 2003. Even with increases in fiscal 2000 and 2002, this change represents an average annual reduction of 1.2%. **The department should be prepared to discuss the impact of the population decline on caseloads and offender supervision.**

Exhibit 4
Cases Under Supervision at the End of the Fiscal Year
Drinking Driver Monitor Program



Source: Department of Public Safety and Correctional Services

Governor's Proposed Budget

As shown in **Exhibit 5**, the fiscal 2005 allowance provides for an overall reduction of approximately \$706,000, or 0.8%. A general fund increase of approximately \$728,000 is attributable to increases in regular earnings due to employee increments offset by a reduction in the technical and special fees category. A reimbursable fund reduction of approximately \$1.3 million is attributable to the expiration of federal grants for Proactive Community Supervision supplied through the Governor's Office of Crime Control and Prevention. Although the fiscal 2005 turnover rate is reduced below the fiscal 2004 working appropriation levels, **Exhibit 6** shows the actual vacancy rate at mid year has consistently surpassed the budgeted turnover rate since fiscal 2000.

**Exhibit 5
Governor's Proposed Budget
Division of Parole and Probation
(\$ in Thousands)**

	<u>FY 03</u> <u>Actual</u>	<u>FY 04</u> <u>Approp.</u>	<u>FY 05</u> <u>Allowance</u>	<u>FY 04-05</u> <u>Change</u>	<u>FY 04-05</u> <u>% Change</u>
General Funds	\$75,997	\$81,421	\$82,588	\$1,167	1.4%
Contingent & Back of Bill Reductions	0	0	-439	-439	
Adjusted General Funds	\$75,997	\$81,421	\$82,149	\$728	0.9%
Special Funds	\$98	\$100	\$100	\$0	0.0%
Federal Funds	\$64	\$121	\$0	-\$121	-100.0%
Reimbursable Funds	\$1,473	\$2,245	\$932	-\$1,313	-58.5%
Adjusted Grand Total	\$77,633	\$83,887	\$83,181	-\$706	-0.8%

Where It Goes:

Personnel Expenses

Increments and other compensation	\$986
Employee and retiree health insurance	-851
Retirement contribution cost increase.....	-3
Turnover adjustments and restoration of cost containment	-339
Other fringe benefit adjustments	613

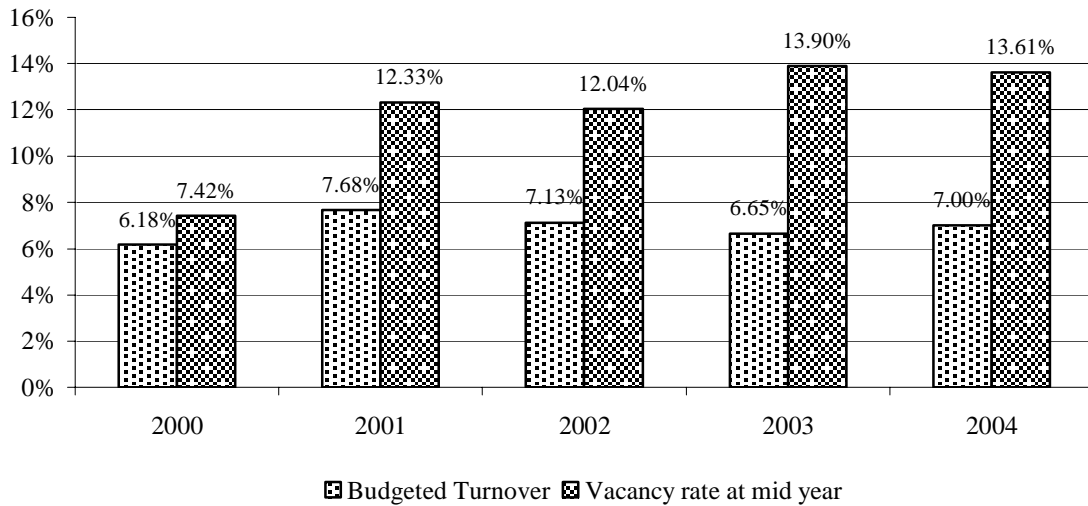
Other Changes

Contractual employees.....	-1,102
Motor vehicles	-60
Contractual services.....	-122
Equipment	-105
Insurance and other fixed charges	276
Other	1

Total **-\$706**

Note: Numbers may not sum to total due to rounding.

Exhibit 6
Budgeted Turnover and Vacancy Rates
Fiscal 2000 – 2005



Source: Department of Public Safety and Correctional Services

Impact of Cost Containment

The fiscal 2005 allowance reflects the elimination of \$439,013, the appropriation for matching employee deferred compensation contributions up to \$600, contingent upon enactment of a provision in the budget reconciliation legislation.

Issues

1. Employee Safety

The division's caseload is composed of individuals who have been convicted of varying degrees of criminal activity. The populations' criminal histories range from nuisance crimes to rapes and murders. The division also indicates that at any time, at least 60% of the offenders under supervision have a substance abuse problem. The offenders not only interact with parole and probation agents but with office clerks and lab personnel. Further, agents not only interact with offenders in office settings, but they are required to make contact with offenders in the community. Given the offenders' criminal histories and substance abuse issues, it is important that the division has provisions and policies to ensure employee safety.

In most instances, an offender's first interaction with the division is not with an agent. The offender will normally have their paperwork processed by a clerk. The clerk will provide the offender with instructions on when and where to report to their assigned agent. When the offender reports to an office for an appointment, the offender is normally met by another clerk who verifies the paperwork and the offender's appointment. Before the offender ever meets an agent, two office staff members have interacted with the offender. Additionally, when an offender reports for urinalysis or other appointments, the clerk verifies the appointment and determines if the offender's file has been flagged for any reason. In some instances, a clerk may be the staff member identifying offenders who have open warrants against them.

Agents are required to have quality contacts with offenders under criminal supervision while the offender is in the community. Many of these contacts entail the agent entering and touring the offender's home. If an agent is in an offender's home and the offender becomes abusive or violent, it may be difficult for the agent to escape. Additionally, if an agent is driving a personal vehicle when making community contacts or reporting to court, the offender may be able to identify the agent's vehicle at a later time. **The department should be prepared to discuss the steps taken to ensure the safety of agent and office bound personnel.**

2. Staffing

In the fiscal 2004 budget bill, the General Assembly included the following language:

It is the intent of the General Assembly that the Division of Parole and Probation Field Operations program be exempt from the hiring freeze to hire 50 new parole and probation agents during fiscal 2004.

The division indicates that as of January 2004 it has hired 69 agents. It also advises that it is recruiting 35 more agents entering April 2004. A hiring exemption request for an additional 35 agents to begin training in June 2004 is being developed.

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As shown in **Exhibit 7**, between fiscal 2001 and 2003, DPP has managed to reduce its overtime expenditure by approximately \$122,000, or 72.1%. DPP reduced its overall salaries and wage expenditures in fiscal 2003 below fiscal 2002 levels. It accomplished the reductions using two techniques. DPP did not fill positions that became vacant thus increasing the number of vacant positions by 51 (the total number of filled positions declined by 71 employees; approximately 56 employees were agents and monitors). DPP also reduced the number of total positions by 20.

Exhibit 7
Staffing Data for DPP

	<u>FY 01</u>	<u>FY 02</u>	<u>FY 03</u>	<u>% Change</u> <u>FY 01 - 03</u>
Vacant	62.0	172.0	223.0	259.7%
Filled	1,192.5	1,181.0	1,110.0	-6.9%
Total PINs	1,254.5	1,353.0	1,333.0	6.3%
Vacant agent/monitor PINs	20.0	97.0	146.5	632.5%
Filled agent/monitor PINs	900.5	903.0	847.5	-5.9%
Agent/monitor PINs	920.5	1,000.0	994.0	8.0%
Total overtime	\$169,171	\$86,824	\$47,259	-72.1%
Total wages (including overtime)	\$57,228,288	\$64,706,160	\$64,073,033	12.0%

Source: Department of Budget and Management

While the agent/monitor-to-case ratios have been consistently around 1:100, DPP indicates that this ratio may not be an accurate measure of the workload that each agent has. DPP uses a workload management system to determine how to allocate cases among agents/monitors. Each offender is assigned a priority level (intensive, standard high, and standard low) based on criminal history, age, current offense, substance abuse issues, etc. Each priority level corresponds to a certain number of hours per month that an agent must interact with the offender. The number of cases assigned to an agent is multiplied by the hours per month for each priority level. This produces the agent's supervision workload measured in case hours. All supervision workload priority levels are added together to determine the agent's total case hours.

DPP estimates indicate that 70% of its population should be supervised at the intensive priority level. Given the current ratios, each agent should supervise approximately 70 intensive offenders. Therefore, each agent should make approximately 210 quality contacts with the intensive offenders in addition to making contacts with standard level offenders, preparing documents for the courts, and conducting other administrative tasks. It would be virtually impossible for an agent to maintain a 70 intensive offender caseload. DPP has instead reclassified some offenders from intensive supervision to standard supervision. Mathematically this ensures that each agent has a more manageable caseload, but it may come at the expense of appropriate supervision for offenders. **The department should comment on current agent caseloads and discuss whether there are plans to reduce caseloads in the future.**

Recommended Actions

	<u>Amount Reduction</u>	
1. Increase the turnover rate to 7.88% based on historic data.	\$ 1,022,559	GF
Total General Fund Reductions	\$ 1,022,559	

Current and Prior Year Budgets

Current and Prior Year Budgets Division of Parole and Probation (\$ in Thousands)

	<u>General Fund</u>	<u>Special Fund</u>	<u>Federal Fund</u>	<u>Reimb. Fund</u>	<u>Total</u>
Fiscal 2003					
Legislative Appropriation	\$81,806	\$83	\$127	\$3,139	\$85,155
Deficiency Appropriation	0	0	0	0	0
Budget Amendments	-4,942	15	0	0	-4,927
Cost Containment	-765	0	0	0	-765
Reversions and Cancellations	-102	0	-63	-1,666	-1,831
Actual Expenditures	\$75,997	\$98	\$64	\$1,473	\$77,633
Fiscal 2004					
Legislative Appropriation	\$81,421	\$100	\$121	\$2,245	\$83,887
Cost Containment	0	0	0	0	0
Budget Amendments	0	0	0	0	0
Working Appropriation	\$81,421	\$100	\$121	\$2,245	\$83,887

Note: Numbers may not sum to total due to rounding.

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Fiscal 2003

- The reduction of \$4.9 million in general funds was part of cost containment and absorbed in the salary and wages and technical and special fees category.
- The \$1.7 million of reimbursable funds from the Governor's Office of Crime Control and Prevention was cancelled.

**Object/Fund Difference Report
DPSCS - Division of Parole and Probation**

<u>Object/Fund</u>	<u>FY03 Actual</u>	<u>FY04 Working Appropriation</u>	<u>FY05 Allowance</u>	<u>FY04 - FY05 Amount Change</u>	<u>Percent Change</u>
Positions					
01 Regular	1334.50	1315.00	1315.00	0	0%
02 Contractual	79.14	150.70	113.70	-37.00	-24.6%
Total Positions	1413.64	1465.70	1428.70	-37.00	-2.5%
Objects					
01 Salaries and Wages	\$ 64,073,032	\$ 69,486,661	\$ 70,331,953	\$ 845,292	1.2%
02 Technical & Spec Fees	2,100,943	3,304,737	2,203,079	-1,101,658	-33.3%
03 Communication	1,471,547	1,116,001	1,201,009	85,008	7.6%
04 Travel	518,844	656,000	603,300	-52,700	-8.0%
06 Fuel & Utilities	88,059	83,300	83,300	0	0%
07 Motor Vehicles	311,194	376,897	317,305	-59,592	-15.8%
08 Contractual Services	3,586,832	3,337,390	3,215,423	-121,967	-3.7%
09 Supplies & Materials	1,001,071	1,093,786	1,060,705	-33,081	-3.0%
10 Equip - Replacement	1,938	27,496	25,442	-2,054	-7.5%
11 Equip - Additional	364,250	107,869	4,960	-102,909	-95.4%
12 Grants, Subsidies, Contr.	654,830	654,830	654,830	0	0%
13 Fixed Charges	3,460,259	3,642,295	3,918,580	276,285	7.6%
Total Objects	\$ 77,632,799	\$ 83,887,262	\$ 83,619,886	-\$ 267,376	-0.3%
Funds					
01 General Fund	\$ 75,997,305	\$ 81,420,877	\$ 82,588,058	\$ 1,167,181	1.4%
03 Special Fund	98,018	100,000	100,000	0	0%
05 Federal Fund	64,199	121,417	0	-121,417	-100.0%
09 Reimbursable Fund	1,473,277	2,244,968	931,828	-1,313,140	-58.5%
Total Funds	\$ 77,632,799	\$ 83,887,262	\$ 83,619,886	-\$ 267,376	-0.3%

Note: The fiscal 2004 appropriation does not include deficiencies, and the fiscal 2005 allowance does not reflect contingent reductions.

**Fiscal Summary
DPSCS - Division of Parole and Probation**

<u>Unit/Program</u>	<u>FY03 Actual</u>	<u>FY04 Legislative Appropriation</u>	<u>FY04 Working Appropriation</u>	<u>FY03 - FY04 % Change</u>	<u>FY05 Allowance</u>	<u>FY04 - FY05 % Change</u>
01 General Administration	\$ 4,211,885	\$ 4,105,144	\$ 4,105,144	-2.5%	\$ 4,711,348	14.8%
02 Field Operations	73,420,914	79,782,118	79,782,118	8.7%	78,908,538	-1.1%
Total Expenditures	\$ 77,632,799	\$ 83,887,262	\$ 83,887,262	8.1%	\$ 83,619,886	-0.3%
General Fund	\$ 75,997,305	\$ 81,420,876	\$ 81,420,877	7.1%	\$ 82,588,058	1.4%
Special Fund	98,018	99,999	100,000	2.0%	100,000	0%
Federal Fund	64,199	121,416	121,417	89.1%	0	-100.0%
Total Appropriations	\$ 76,159,522	\$ 81,642,294	\$ 81,642,294	7.2%	\$ 82,688,058	1.3%
Reimbursable Fund	\$ 1,473,277	\$ 2,244,968	\$ 2,244,968	52.4%	\$ 931,828	-58.5%
Total Funds	\$ 77,632,799	\$ 83,887,262	\$ 83,887,262	8.1%	\$ 83,619,886	-0.3%

Notes: The fiscal 2004 appropriation does not include deficiencies, and the fiscal 2005 allowance does not reflect contingent reductions.

The increase in the General Administration program is attributable to increases in workers' compensation and insurance payments assessed by the Department of Budget and Management.