

Resolution 025, Series 2017
Sponsored By Councilwoman Butler

Scope: All judicial directives, including directions, instructions, and court orders received by Corrections from January 2016 through February 2017.

Objectives: Evaluate Correction's compliance with a sample of judicial directives and examine the timeliness and reasons for any instances of noncompliance. Additional objectives/considerations are noted on the attachment.

Interpreting and evaluating compliance with an unknown variety of judicial directions, instructions, and/or orders requires legal expertise that the Office of Internal Audit does not have.

Methodology: Sample consisting of the first 100 judicial directives received by Corrections during each month in the review period, January 2016 through February 2017.

The methodology approved by way of the resolution may change as follows: Sample consisting of at least 200 judicial directives per month. The methodology for selection will be determined by the external consultant.

Office of Internal Audit Role: Facilitate the administration of the contract for outsourcing the activities, as directed by Councilwoman Butler. The Office of Internal Audit would also verify that the concerns noted in the Resolution are addressed, at minimum, in the final deliverable.

It is important to note that this engagement is **not** an internal audit.

This is an Agreed Upon Procedures engagement, in which we facilitate the administration of the contract, as directed by Councilwoman Butler.

The Office of Internal Audit is **not** providing oversight in regards to the independence and objectivity in regards to the following:

- Administration of the contract
- Stakeholders involved in the administration of the contract
- Evaluation team

Resolution 062, Series 2017
Sponsored By Councilman James

Scope: All court ordered inmate release and in-custody classification movement activity processed by the Department of Corrections during July 1, 2016 through February 1, 2017. Additional in-scope documents and records are noted on the attachment.

Objectives: Assessment of the effectiveness and efficiency of the inmate release and in-custody classification movement process including the related internal controls.

The objectives of the review will include the following:

- Identification of opportunities to strengthen the current process for releasing inmates.
- Identification of activity that is not in accordance with policies and procedures or the associated court-order.
- Identification of controls to prevent and/or detect activity that is not in accordance with policies and procedures or the associated court-order.

Methodology: The methodology will be determined by the auditor.

Office of Internal Audit Role: The Office of Internal Audit may act in one of two roles:

- Perform the requested audit in accordance with the aforementioned scope and objectives.
- Facilitate the administration of the contract for outsourcing the activities, as directed by Councilwoman Butler. As, the objectives noted above could be met with the performance of the audit requested by Councilwoman Butler.

Exhibit A – Recommended Scope of Audit

Methodology

Conduct an evaluation from January 2016 through February 2017 that examines the first 100 judicial directions, instructions, and/or orders of the month, beginning with the first day of the month; evaluate Correction's compliance with the judicial directions, instructions, and/or orders; examine timeliness and reasons for any non-compliance of judicial directions, instructions, and/or orders.

Questions and concerns to consider as part of the audit of the Louisville Metro Department of Corrections:

1. Evaluate the methods by which the Jefferson County Circuit Court Clerk's Office communicates judicial directions, instructions, and orders with Corrections;
2. Of the detainees committed to custody in a 12-month period, determine the nature and number of the charges against the detainee to include the number of new charges and probation or parole violations based on previous charges;
3. Determine the number of judicial bodies involved with arrestees, including but not limited to the Jefferson County District Court, Jefferson County Circuit Court, and other administrative entities who issue directives against detainees;
4. Determine the number of court and administrative clerks with jurisdiction to initiate court orders;
5. Determine the number of orders sent to Corrections each day; and the number of clarifications or explanations requested by Corrections employees about orders;
6. Determine the number of Corrections staff assigned to respond to these orders per shift; and
7. Evaluate the methods and accuracy by which the court ordered directives (COD) are transmitted to Corrections records division.

From the data gathered, we should be able to determine:

- Determine the staffing levels needed to properly and timely manage the COD assignments;
- Determine whether an exception report is generated when an error is detected and whether an incident based reporting system documents COD exceptions;

- Determine the number of COD errors reported;
- Determine whether individual Corrections employees/management are responsible for COD errors; whether times of day or frequency and severity have been addressed in reporting Corrections employees errors; and whether Correctional employees have been disciplined for errors in COD processing;
- Determine whether Correctional employees receive specific training in COD accuracy;
- Determine the number of COD related complaints filed with Administrative staff or a court; the number of judiciary COD complaints filed; the number of court clerks COD complaints filed; the number of private attorneys and/or court appointed lawyer COD complaints filed; and the number of family and or friends COD complaints filed.

Exhibit A

Objective

The primary focus will be an assessment of the effectiveness and efficiency of the inmate release and in-custody classification movement process including the related internal controls. The objectives of the review will include the following:

- Identification of opportunities to strengthen the current process for releasing inmates.
- Identification of activity that is not in accordance with policies and procedures or the associated court-order.
- Identification of controls to prevent and/or detect activity that is not in accordance with policies and procedures or the associated court-order.

Scope

The scope of the review includes all court ordered inmate release and in-custody classification movement activity processed by the Department of Corrections during July 1, 2016 through February 1, 2017. Documentation and records related to the activity will be reviewed in order to verify that the activity was processed in accordance with applicable policies, procedures, and court orders. Court ordered release activity includes any court order directing the release of a person from confinement. Court ordered in-custody classification movement activity includes any court order directing an in-custody classification move of an inmate while committed to custody of Corrections (i.e. HIP with or without release; or transfer to Community Corrections Center with releases; or assignment to Day Reporting).

Methodology

To be determined by the auditor.