

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 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.