ROBERT B. TAYLOR
Chief Probation Officer

COUNTY OF LOS ANGELES
PROBATION DEPARTMENT

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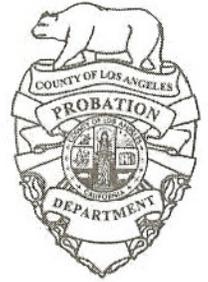
November 20, 2009

To: Supervisor Don Knabe, Chairman
              Supervisor Gloria Molina
              Supervisor Mark Ridley-Thomas
              Supervisor Zev Yaroslavsky
              Supervisor Michael D. Antonovich
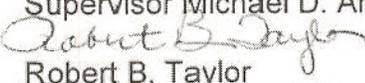
From: Robert B. Taylor
              Chief Probation Officer

Subject: **IMPLEMENTATION OF THE MANAGEMENT AND PROGRAM AUDIT RECOMMENDATIONS – 14TH QUARTERLY PROGRESS REPORT**

On May 10, 2006, your Board directed the Chief Executive Office (CEO), the Auditor-Controller (A/C), and the Probation Department (Department) to provide quarterly reports updating your Board on implementation of the management and program audits of the Department, the reorganization of the Department, and the Department's plans to institutionalize change in the Department (formalized investigations of staff, implementation of corrective actions, and training of new and existing staff).

This is our 14th quarterly progress report regarding implementation of the Thompson, Cobb, Bazilio and Associates (TCBA) and Child Welfare League of America (CWLA) management and program audit recommendations, respectively, covering the period of August 2009 through October 2009.

During the 14th Quarter, the number of recommendations implemented in comparison to the previous quarter remained the same, i.e., 88 (93%) of 95 recommendations being tracked, while 6 other recommendations (6%) remain partially implemented. There is only 1 recommendation (1%) that Probation has not yet implemented as reflected in Attachment I.

Rebuild Lives and Provide for Healthier and Safer Communities

I. AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS OVERVIEW

As indicated in Attachment I, of the 95 applicable TCBA and CWLA audit recommendations:

- 88 (93%) have been fully implemented by the Department;
- 6 (6%) are in progress or are partially implemented; and
- 1 (1%) has not yet been implemented.

II. AUDIT RECOMMENDATIONS IMPLEMENTED IN THE 14TH QUARTER

As indicated above, during the 14th quarter, the number of recommendations implemented in comparison to the previous quarter remained the same due to our need to complete refining the Digital Dashboard Reporting System that includes identifying juvenile and adult probationer outcomes and performance indicators consistent with our strategic action items identified in our Strategic Plan that was published on August 17, 2009, as well as incorporating input received by the Chief Executive Office and the Justice Deputies. Our Executive Leadership Team is scheduled to meet in December 2009 to further discuss strategic plan implementation.

III. IMPLEMENTATION OF REMAINING AUDIT RECOMMENDATIONS

As indicated in Attachment II, the Probation Department plans to implement the remaining seven audit recommendations by no later than February 28, 2010. Attachment III is a summary of where the Department stands in implementing each remaining audit recommendation and the necessary steps the Department needs to take for the Auditor-Controller to consider each recommendation as fully implemented. The Department will continue to work to achieve 100% implementation of the recommendations by February 28, 2010.

Please call me if you have any questions regarding this matter, or your staff may contact Vincent Iaria, Acting Chief, Quality Assurance Services Bureau, at (562) 940-2851.

RBT:dn

Attachments (3)

C: William T Fujioka, Chief Executive Officer
Sachi A. Hamai, Executive Officer, Board of Supervisors
Wendy L. Watanabe, Auditor-Controller

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS
SUMMARY IMPLEMENTATION STATUS
(BY AGENCY, BY AUDIT CATEGORY)
AS OF OCTOBER 31, 2009

Audit Category	Implemented	Partially Implemented	Not Implemented	Total *
TCBA Management Audit				
Strategic planning	6			6
Linking strategy to operations	7	1		8
Organizational structure and leadership	7			7
Automated systems and technology	8			8
Personnel management	14			14
Other audit areas	3			3
Subtotal – TCBA Management Audit	**45**	**1**	**0**	**46**
CWLA Program Audit				
Program planning and implementation	11	3		14
Best practices and benchmarking	11			11
Performance measurement	4	1		5
Work processes	17	1	1	19
Subtotal – CWLA Program Audit	**43**	**5**	**1**	**49**
Total	**88**	**6**	**1**	**95**
Percentage (rounded)	**93%**	**6%**	**1%**	**100%**

Source: The Resources Company (Contract No. 76618)

* Excludes five recommendations (TCBA 19, 23, 26, 38 and CWLA 47) that are not applicable, as determined by Probation with TRC's concurrence, and as referenced in the First Quarter Status Report dated August 17, 2006.

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Strategic Planning				
TCBA 1	Strategic goal development	✓			
TCBA 2	Annual strategic map goals	✓			
TCBA 3	Issue-focused working groups	✓			
TCBA 4	Comprehensive strategic planning approach	✓			
TCBA 5	New strategic initiatives	✓			
TCBA 6	Strategic management / QA function	✓			
	Linking Strategy to Operations				
TCBA 7	Linkage of strategic initiatives to operations	✓			
TCBA 8	Strategic initiatives tracking system	✓			
TCBA 9	Cross-bureau planning and coordination	✓			
TCBA 10	Staff training in strategic plan./perf. measure.	✓			
TCBA 11	Hierarchy of performance indicators	✓			
TCBA 12	Clear/concise performance reports		✓		Feb. 2010
TCBA 13	Development of performance indicators	✓			
TCBA 14	Customer satisfaction evaluation/strategies	✓			
	Organizational Structure & Leadership				
TCBA 15	Training in strategic planning, performance measurement, and outcome measurement	✓			
TCBA 16	Diversification of management team	✓			
TCBA 17	Reorganize Probation Department	✓			
TCBA 18	Combining of internal investigative functions	✓			
TCBA 20	Open organization culture	✓			
TCBA 21	HQ manager involvement in service delivery	✓			
TCBA 22	Linkages to stakeholder organization	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Automated Systems & Technology				
TCBA 24	Use of data warehousing and geographic information systems	✓			
TCBA 24a	Funding of E-Learning program	✓			
TCBA 25	IT equipment replacement schedule	✓			
TCBA 25a	Overall assessment of Info. Systems Office; IT Infrastructure Library adoption	✓			
TCBA 27	Hiring of Information Security Officer and development of data security plans	✓			
TCBA 28	Interactive voice response – field offices	✓			
TCBA 29	Use of PEDMS imaging software	✓			
TCBA 30	Formulation of IT communications plan	✓			
	Personnel Management				
TCBA 32	Consolidated recruitment & hiring; targeted regional recruitment; recruitment budget unit	✓			
TCBA 33	Open competitive recuitment	✓			
TCBA 35	Expanded criminal history checks, credit history checks, drug testing, and polygraph examinations of employement candidates	✓			
TCBA 36	Field investigation and information verification of employee backgrounds	✓			
TCBA 37	Professional Standards Unit consolidation and reporting directly to CPO	✓			
TCBA 39	Compliance with core training requirements	✓			
TCBA 40	Agency-wide training system	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Personnel Management				
TCBA 41	Employee morale improvement	✓			
TCBA 42	Management-staff communication tools	✓			
TCBA 43	Completion of employee evaluations	✓			
TCBA 44	Personnel management systems review; personnel evaluation process recommendations to Executive Leadership Team	✓			
TCBA 45	Appraisals of promotability process	✓			
TCBA 46	Employee turnover analysis	✓			
TCBA 47	Department succession plan; administrative intern program	✓			
	Other Audit Areas				
TCBA 59	Injury and illness prevention program	✓			
TCBA 60	Grants admininstration policies/procedures	✓			
TCBA 61	Public Information function to CPO office	✓			
	Program Planning/Implementation				
CWLA 1	Comprehensive action plan for EBP	✓			
CWLA 2	Regular stakeholder feedback	✓			
CWLA 3	Evaluation of existing program and new initiatives	✓			
CWLA 4	Update and publish the Juvenile Manual on-line	✓			
CWLA 5	Standard risk/needs assessment tool and responsivity tools	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Program Planning/Implementation				
CWLA 6	Referral of clients for services policy; criminogenic needs assessment tool	✓			
CWLA 7	Risk reduction case management strategies	✓			
CWLA 8	Court reports training / quality assurance		✓		Feb. 2010
CWLA 9	Workload measures for caseload evaluation	✓			
CWLA 10	Analysis of caseload sizes; publication of caseload requirements and measures of compliance	✓			
CWLA 11	Set up case management database		✓		Feb. 2010
CWLA 12	a) Electronic database of CBO resources b) Track utilization of CBOs; identify gaps in services/providers		✓		Feb. 2010
CWLA 13	Criteria for utilization of CBOs	✓			
CWLA 14	Collaboration with CBOs in geographic areas	✓			
	Best Practices and Benchmarking				
CWLA 15	Delinquency prevention / intervention	✓			
CWLA 16	Systematic program evaluation	✓			
CWLA 17	Staff development regarding EBP planning and contracting	✓			
CWLA 18	Action plan for EBP	✓			
CWLA 19	Coordination with CBOs in geographc areas	✓			
CWLA 20	Additional program slots – FFT, MST and MTFC interventions	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Best Practices and Benchmarking				
CWLA 21	Evaluation of departmental programs	✓			
CWLA 22	Staff training on EBPs	✓			
CWLA 23	Comprehensive examination of the camps programs	✓			
CWLA 24	Comprehensive examination of camps outcomes; database of new screening information	✓			
CWLA 25	Non-residential, community-based services	✓			
	Performance Measurement				
CWLA 26	Consensus on client outcomes	✓			
CWLA 27	Categories of client outcomes	✓			
CWLA 28	Outcome measurement/reporting system		✓		Feb. 2010
CWLA 29	Collaboration with group home providers/CBOs	✓			
CWLA 30	Contracting for client outcomes	✓			
	Intra-/Inter-Agency Work Processes				
CWLA 31	Adoption of APPFS performance standards	✓			
CWLA 32	EBP measurement/reporting systems		✓		Feb. 2010
CWLA 33	Mgmt. report sharing with other departments			✓	Feb. 2010
CWLA 34	Action plan to implement EBPs	✓			
CWLA 35	Use of LAARC to assess risk/needs; support/services for desired outcomes	✓			
CWLA 36	LAARC as an assessment tool	✓			
CWLA 37	PO assignment to geographic areas; coordination with CBOs	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
MANAGEMENT & PROGRAM AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS
AS OF OCTOBER 31, 2009

No.	Audit Category / Recommendation	Implemented	Partially Implemented	Not Implemented	Estimated Completion
	Intra-/Inter-Agency Work Processes				
CWLA 38	Examination of case transition/transfer points	✓			
CWLA 39	Timely orientation of minors	✓			
CWLA 40	Review assessment/placement process	✓			
CWLA 41	Forums with community-based organizations	✓			
CWLA 42	Evaluation of DCFS GH contracts	✓			
CWLA 43	Evaluation design and data collection system	✓			
CWLA 44	DCFS improvements to 241.1 process	✓			
CWLA 45	Participation in Wraparound services	✓			
CWLA 46	Protocol for dual status designation	✓			
CWLA 48	Continuity of treatment services with methods to address interruptions	✓			
CWLA 49	Juvenile manipulation of medications; iImplications for camp services	✓			
CWLA 50	Identification of gaps in MH services	✓			

Source: The Resources Company (Contract No. 76618)

LOS ANGELES COUNTY PROBATION DEPARTMENT
STATUS AND STEPS TO IMPLEMENT REMAINING AUDIT RECOMMENDATIONS

Audit Recom.	Subject of the Audit Recommendation	Target Completion	Current Implementation Status of Audit Recommendation(s)	Steps to Complete Implementation of Audit Recommendation(s)
TCBA 12 CWLA 33	Performance reports / sharing them with other departments	Feb. 2010	Department has developed/shared the quarterly Comprehensive Educational Reform MOU Report Card coupled with the existing JJCPA report (produced by RAND each fall), provides applicable juvenile probation outcomes and performance indicators to all stakeholders involved with juvenile probationers.	Department needs to complete refining the Digital Dashboard Reporting System that includes identifying juvenile and adult probationer outcomes and performance indicators consistent with the strategic action items identified in the Department's Strategic Plan and incorporating Chief Executive Office and Justice Deputies' input.
CWLA 8	Court reports training / quality assurance	Feb 2010	Department has drafted 45-Day and Camp-to-Community Transition court reports and associated case plans based on MDT pilots. Department presented this information to the delinquency judges in October 2009 and plans to train juvenile DPOs during 4th quarter of 2009.	Training is contingent on finalizing the elements of the court report which is pending feedback from the delinquency judges.
CWLA 11 CWLA 12	Case management database / tracking of CBO utilization	Feb. 2010	Department recently launched the new Probation Case Management System (PCMS). The case notes include a place for the DPO to describe the resources needed, referrals and services provided to each youth/family. However, the data is not tracked separately to allow the Department to run reports and evaluate data.	Department plans to enhance PCMS to run reports and track the resources needed for each case, referrals that are made and services provided to each youth/family. Contingent on funding availability and staffing resources, the Department also plans to have the system identify available CBOs, track their usage and track their effectiveness.
CWLA 28 CWLA 32	Outcome measurement and reporting system	Feb. 2010	Department has created a Digital Dashboard system to report juvenile and adult probationer outcomes and performance indicators and is refining the system.	Department needs to complete refining the Digital Dashboard Reporting System that includes identifying juvenile and adult probationer outcomes and performance indicators consistent with the strategic action items identified in the Department's Strategic Plan and incorporating Chief Executive Office and Justice Deputies' input.