

**FY 2012**

# **ACCOUNTABILITY REPORT**



**South Carolina  
Department of  
Probation,  
Parole and  
Pardon Services**

**KELA EVANS THOMAS  
DIRECTOR**

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## **Section I – Executive Summary**

The South Carolina Department of Probation, Parole, and Pardon Services (SCDPPPS) has had a very productive year. The achievements of the staff have catapulted us to our greatest efforts in making a difference in the lives of those we supervise and connecting with our community partners. We were very successful in enacting all phases of Sentencing Reform Act of 2010, while implementing those practices that have made a significant impact on prison recidivism. The Department provided community supervision to an average daily population of more than 46,374 jurisdictional offenders. With the implementation of evidence-based practices, new supervision strategies, and enhanced partnerships these notable results were accomplished. In addition to focusing energy and resources to implementing this critical legislation, concerted efforts were made to continue to provide essential services in support of the Department's mission and related public safety initiatives. To provide these services, the Department works in close collaboration with local, state, and federal agencies, non-profit organizations, the General Assembly, the Cabinet, as well as the Governor and her staff to achieve the following goals:

- Supervising offenders to successfully complete their Court or Board ordered periods of supervision; and assisting with successful integration back into the community;
- Assisting victims of crime; including oversight of restitution payments;
- Supporting and conducting Parole Board hearings;
- Providing assistance to other law enforcement and emergency response organizations in support of homeland security, natural disaster response activities, and special events requiring law enforcement augmentation; and
- Educating the community about new initiatives and projects.

### **Department's Mission Statement**

The mission of the South Carolina Department of Probation, Parole and Pardon Services is to:

- **Prepare** offenders under our supervision toward becoming productive members of the community;
- **Provide** assistance to the victims of crimes, the courts and the Parole Board; and to
- **Protect** public trust and safety.

### **Department's Vision**

Our vision is to be recognized nationally as a catalyst for positive change in the lives of offenders, a force for public safety, a leader in victim services, and a responsible steward of public funds.

### **Department's Diversity Statement**

The South Carolina Department of Probation, Parole and Pardon Services (PPP) values and embraces the uniqueness of its employees and customers. In an effort to foster an organizational culture of acceptance and inclusiveness, PPP commits itself to empowering all employees to express their experiences and perspectives in a safe and mutually respectful environment. To generate enthusiasm in reaching organizational benchmarks of productivity and performance, PPP supports training and development processes that promote an environment conducive to interaction and the exchange of ideas, thereby building a foundation of cultural competency.

## **Department's Values**

- Honesty and Integrity
- Dignity and Respect
- Diversity and Equal Opportunity
- Openness and Teamwork
- Innovation and Performance Excellence
- Accountability

## **Embracing Our Values**

To encourage staff to embrace our values, we highlighted a setoff values in the Director's Weekly Updates. This emphasis brought our values to the forefront of our daily operations in an effort to hold ourselves accountable to what we have proclaimed to hold true as an Agency. In addition, the values will be posted in a prominent location on the Department's Intranet for our review and reflection, which is in keeping with efforts to build organizational professionalism.

## **Major Achievements in FY 2012**

The Department continues to provide a variety of initiatives that enhance offender supervision reentry, and accountability in the community. These initiatives are primarily supported by the Department's strong focus on enhancing offender success, and an expanding network of integrated partnerships with service and treatment providers.

- Implemented the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) risk/needs assessment in all county field offices with over 2,000 assessments completed since implementation began April 2012.
- Administered the 2-day COMPAS Training to 322 Agents, supervisors and other staff who are now certified to use the risk/needs assessment tool.
- Coordinated an agency-wide COMPAS Basic training for agent staff and an Introduction to COMPAS for support staff with Northpointe, Inc.
- Implemented the Data Analysis for Reduction of Recidivism (DARR) model to guide agency management in the effective use of administrative sanctions through a review and response to trends and outcomes of supervision and violation response strategies.
- Conducted eleven "Professionalism: Beyond the Workplace" training sessions in partnership with the SC Ethics Commission with a total of 581 staff attending.
- Disbursed \$5,861,794 to victims of crime. This is a total disbursement of \$81,985,415 in restitution payments to victims since FY 1999.
- Monitored 879 participants in the Ignition Interlock Device Program. This represents a 52% increase in population from the previous fiscal year.
- Operated a 24/7 statewide response GPS Operations Center (GOC) for all GPS alerts. The GOC processed more than 117,372 tracking alert messages, an increase of 19%.

- Supervised 1220 sex registry offenders at the end of the fiscal year. Of these, 904 were actively supervised for a sex offense and more than 738 participated in treatment.
- Conducted 10 comprehensive workshops on expungements and pardons to assist offenders in clearing their records.
- Supervised 62 conditionally paroled Self-Paced In-class Education (S.P.I.C.E.) participants, with a community success rate of 98%.
- Participated in five hurricane/natural disaster exercises with multiple state and local agencies; and four special operation security details with state and local multiple agencies.
- Provided pre-designated staff to the State Emergency Operations Center in August 2011 when it activated due to the forecast track of Hurricane Irene.
- Supervised offenders that contributed 214,485.4 hours of public service work. Calculated minimum wage of \$7.25 per hour, contributes \$1,555,019 worth of labor to the state.
- Submitted arrearage accounts to SC Department of Revenue and collected \$240,646 for tax year 2011.
- Coordinated the transfer of 756 offenders to other states and processed 1,308 from other states to South Carolina.
- Conducted 2,500 new residence investigations, 2,482 new field investigations to process the release of 2,376 eligible offenders to legislatively mandated special release programs.
- Granted 117,198 days of Compliance Credits for offenders to be removed from supervision prior to their original supervision end date.

#### **Key Strategic Goals for Present and Future Years**

- To effectively meet our mission responsibilities
- To effectively implement all programs and requirements of the Omnibus Crime Reduction and Sentencing Reform Act
- To develop and implement practices, programs, and strategies that are evidence-based
- To enhance community outreach
- To focus on leadership development and excellence
- To deliver quality services to our customers and stakeholders
- To optimize our financial resources and to be fiscally responsible
- To provide for organizational growth and a capable, satisfied and diverse workforce

#### **Key Strategic Challenges**

The Executive Management Team (EMT) will continue to identify ways to preserve mission-critical services concurrent with implementing necessary budget reductions and preserving human resources. At the end of FY 2012, 354 Probation and Parole Agents carried active

caseloads. With an increase in Legislative mandates for the Department, key challenges revolved around the state and national economic environment. They included:

- Implementing Mandated Legislation
- Providing statewide public safety
- Maintaining responsive offender supervision standards, to accomplish diverse demands
- Maximizing partner relationships
- Enhancing offender success
- Filling critical-need positions

### **How is the accountability report used to improve organizational performance?**

The Accountability Report is a vital tool that serves as an annual assessment for measuring the internal and external organizational performances. The Report is accessible via the Department's website. It is a principal vehicle for aligning goals and objectives in relation to the Department's strategic planning and integrated performance review processes.

### **Section II – Organizational Profile**

The Executive Management Team, comprised of the Department Director and the Deputy Directors of Administration, Field Operations, and Paroles and Pardons, is the primary entity that guides the Department's policy and decision making. The Department is directed by Kela E. Thomas who was appointed by Governor Nikki Haley in 2011 and serves as a member of her Cabinet. Mrs. Thomas has overall responsibility for the Department, supervises all staff functions, and ensures that all policies and procedures are followed. The Director's Office includes the Office of Executive Programs; Legislative Services; and Strategic Development and Information Technology. The Department is composed of three divisions: Field Operations, Administrative Services, and Paroles and Pardons. Each section with these divisions all serve to support the mission of the Department.

The Department is the third largest state law enforcement agency in South Carolina. It is charged with the community supervision of offenders placed on probation by the court and paroled by the State Board of Paroles and Pardons, as well as those on Youthful Offender Release from the South Carolina Department of Corrections. Offenders are supervised according to a wide range of strategies that are designed to give them the opportunity to succeed and to protect community safety.

### **Key Customer Groups, Key Services and Key Service Requirements**

Table A-2 illustrates a sampling of key customers, services and requirements.

**Table A-2**

<b>Section</b>	<b>Key Customers</b>	<b>Key Services</b>
Field Operations	Offenders, Law Enforcement, General Public; Employees, Victims	Home visits; intervention; process service; residence verifications; fee collection; correspondence; GPS, Live Scan; training; offender documentation
Interstate Compact	Employees, General Public, Federal, State & Local Law Enforcement	Timely and accurate processing of Interstate Compact requests; correspondence; special case inquiries; assistance requests
Special Operations	Employees; Federal and State Agencies, Law Enforcement Organizations	Special operations training and coordination; equipment; fugitive apprehension and extraditions, safety and emergency planning; 800Mhz radio programming and maintenance, safety training (firearms, defensive tactics, arrest scenario)
Victim Services	Victims; other Criminal Justice Agencies, Employees	Correspondence and other communications; documentation in support of parole hearings, victim awareness training
Field Programs	Employees; Law Enforcement Federal, State, and Local Agencies	Supervision technology (EM, GPS, Field Search), specialized supervision, compliance monitoring, creation of community resources, and offender sanctions
Legal Services	Employees, Judiciary, Legislature & Attorneys, General Public; Offenders	Training; legal advisement and representation; detail summaries; court presentations; seminars; Respond to inquiries and correspondence
Hearings Section	Employees, Board of Parole and Pardons, Judiciary, Offenders, SCDC	Training; Orders of Continuation; detailed summaries; findings for revocation cases; detailed summaries; respond to case inquiries and correspondence; hearings; Order of Revocations
Parole Board Support Services	Parole Board, Attorneys, Current and Former Offenders	Detailed summaries, investigation reports, recommendation requests, training, video site coverage, notification of hearing results, interviews with inmates, releases; respond to inquiries and correspondence; Provide hearing notification
Executive Programs	EMT, Employees, General Public, Federal, State, and Local Agencies	Strategic planning; division support; annual reporting and implementation; program facilitation; performance improvement/ business excellence consultation/training
Public Information	Media; General Public; Federal, State, and Local Agencies Employees	Respond to media and public inquiries; provide offender information on parole hearing dates and results; FOIA requests; web-site support
Community Affairs	EMT, Employees, General Public, Federal, State, and Local Agencies	Community liaison; market department's initiatives and projects, cultivate and enhance partnerships, conduct statewide seminars on expungements and pardons, support S.P.I.C.E. initiatives
Grants Management	EMT, Employees, Legislature, State Agencies	Grant Administration; Provide research and statistical reporting; provide executive support for key departmental initiatives
Human Resources	Employees, General Public, SC State Human Resources Division, Budget & Control Board, State Agencies	Job applicant screening; drug testing; classification and compensation; benefits counseling/services; EPMS management; disciplinary/ grievance processing and reporting; training, recertification; Job applicant support processes; benefits information; HR data reporting; EPMS reporting; EEO reporting, applicant database, NEOGOV; Job applicant services; database reporting
Administration	Employees, Legislature, Comptroller General, Victims, General Public, Other State Agencies	Financial reporting, records management employee training, C-1 certification tracking, materials and supplies management; payment of restitution monies;
Ignition Interlock Device Program	SC Drivers, State Agencies, Law Enforcement, Highway Safety Groups, Attorneys	Implement and monitor the Ignition Interlock Device Program (IID)
Evidence Based Practices Programs	Employees, Offenders, Victims, Federal, State, and Local Agencies, Law Enforcement, Legislature	Release and Reentry Programs including YOA services; pre-release residence plan investigations, case reviews; issuance of release certificates; violations to hearing officers; research and evaluation; internal and external data requests; and continuous quality assurance of offender programs and supervision strategies
Strategic Development & Info Technology	EMT, Employees, Federal, State, and Local Agencies	Offender Management System, information technology, Parole Information Center

**Table A-3  
Key Services and How They are Delivered**

<b>Key Services</b>	<b>Method Delivered</b>
<b>Offender Supervision</b>	Field Agents monitor offender's adjustment according to level of supervision, Department standards and evidence-based practices.
<b>Sex Offender Management</b>	Field Agents supervise sex offenders with active sex offenses and those offenders required to register as a sex offender for a previous offense. Supervision contact standards are based on the offender's risk assessment score.
<b>Special Operations</b>	Designated Agents provide law enforcement augmentation for special operations/events: Governor's Holiday\Christmas Open House event, Martin Luther King Day, Republican Presidential Debates in Myrtle Beach and Charleston, Myrtle Beach Bike Week traffic, security, traffic evacuation and support during natural and man-made disasters.
<b>Parole Board Support</b>	Parole case summaries are downloaded to each Parole Board member's iPad prior to hearings.
<b>Victim Services</b>	Victim Services, Finance and Accounting staff ensure that there are notifications of Board Hearings, Board administrative support, and payments of victim restitution.
<b>Ignition Interlock Device Program</b>	IID's are mounted to the dashboard of the driver's vehicle and wired into the vehicle's ignition/electrical system. Drivers are required to blow into the device prior to starting the vehicle. The data is collected and downloaded at an authorized dealer and transmitted for review by IID assigned staff.
<b>Community Outreach</b>	The Office of Executive Programs serves as the Department's liaison to the community, state government, and other local agencies and coalitions. This is accomplished through the Speaker's Bureau, career fairs, civic meetings, and workshops.
<b>Office of Public Information</b>	The office serves as the central point of contact for all media and other public information requests and concerns. Public information is disseminated through the website and media releases.
<b>Research and Evaluation</b>	Research and Evaluation Analysts coordinate research and data management projects through the use of statistical models for short-term and long-term processes and program evaluations.



### **Key Stakeholder Groups**

Key Stakeholders are the citizens of South Carolina and other state governments that are not direct customers, but are affected by the Department's services. These include local, state and national professional associations in which the Department actively participates by holding officer positions, conducting workshops, or providing other essential support. Close partnerships are maintained with county, state, and federal law enforcement, the criminal justice system, the Legislature, South Carolina's educational institutions and service provider organizations.

### **Key Suppliers**

The Department conducts business with a variety of suppliers/vendors. They include: Team IA (records management systems), NWN Corporation (web-based information management), LifeSafer Interlock (SC) Ltd, Guardian Interlock, and Smart Start, Inc. (Ignition Interlock Devices); Medtox and FirstLab (drug testing supplies and services), BI Inc. (electronic monitoring equipment and services); Satellite Tracking Of People (STOP) and Omnilink Systems (global positioning systems and services); HP (computer, printers and supplies); and, the State of South Carolina (state telephone system, fleet, liability insurance, and rent).

### **Key Partners**

Table A-4 provides a sample of the Department's key partners.

**Table A-4**

State Law Enforcement Division	S.C. Department of Vocational Rehabilitation
S.C. Department of Public Safety	S.C. Budget and Control Board
S.C. Department of Juvenile Justice	S.C. Commission for the Blind
S.C. Department of Corrections	S.C. School for the Deaf and Blind
U. S. Probation Office	U. S. Marshal's Service
S.C. Department of Mental Health	State Office of Victim Assistance (SOVA)
S.C. Department of Disabilities and Special Needs	S.C. Department of Employment and Workforce
S.C. Department of Social Services	S. C. African American HIV/Aids Council
S.C. Department of Education	University of South Carolina
S.C. Department of Alcohol and Other Drugs Services	S.C. Army National Guard
S.C. Technical Colleges	Local Law Enforcement Authorities
SC Statistical Analysis Center	U. S. Bureau of Alcohol, Firearms and Tobacco

Additionally, non-profit organizations, the faith based community contribute significantly to the Department's efforts in addressing offender needs through collaborative partnerships, referral services, short term housing and life skills related training.

### **Operating Locations**

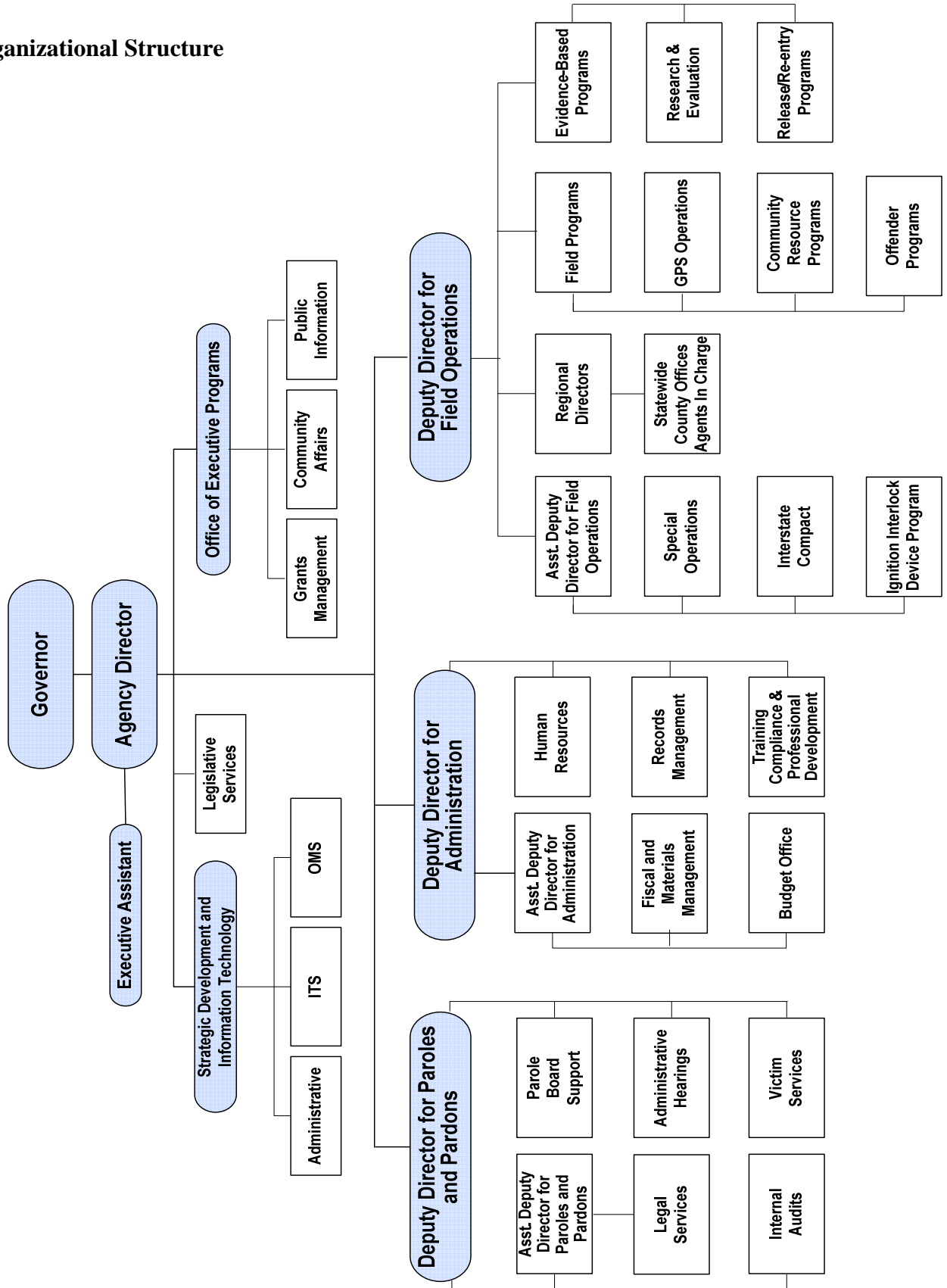
The Department maintains a headquarters facility in Columbia, South Carolina along with 46 county offices and four county satellite offices (Beaufort, Berkeley, Dorchester, and York). Staff is maintained at the courthouses in Greenville, Charleston and Richland on a permanent basis.

### **Number of Employees**

The Department is staffed with 590 employees, which includes 582 classified positions, 4 unclassified positions, and 4 contract positions. Of this total, 354 are caseload carrying Agents.

# Organizational Structure

Figure A-1



## Regulatory Environment

The Department is a Cabinet appointed Agency, reporting directly to the Governor. It is required to abide by all state government human resource, Comptroller General, Emergency Management, and ethics related performance and reporting requirements. Additional requirements include those pertaining to Occupational of Safety and Health Administration (OSHA), Americans with Disabilities Act (ADA), and other health, safety, and environmental regulations.

## Performance Improvement System

The Office of Executive Programs located in the Director's Office is dedicated to performance improvement, strategic planning, building partnerships, and program development. In addition a team-based environment provides cross-functional input and recommendations on key initiatives (see Table 5.1-1). This office also includes Grants Management and the Office of Public Information. The Strategic Plan contains action items and timelines to address organizational improvement initiatives, and also assigns process owners who have responsibility for tracking the completion of these initiatives. The Research and Evaluation section provides a quarterly review of performance indicators and measures provides management with regular updates.

## Expenditures/Appropriations Chart Base Budget Expenditures and Appropriations

Major Budget Categories	FY 10-11 Actual Expenditures		FY 11-12 Actual Expenditures		FY 12-13 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$ 22,315,941	\$12,524,703	\$22,682,303	\$12,499,437	\$29,743,299	\$14,161,118
Other Operating	\$ 6,833,071	\$ 641,205	\$7,688,349	\$ 1,454,593	\$12,021,195	\$1,501,785
Special Items	\$					
Permanent Improvements	\$					
Case Services	\$ 18,404	\$	\$ 9,820		\$427,425	\$340,000
Distributions to Subdivisions	\$					
Fringe Benefits	\$ 8,835,005	\$ 4,240,653	8,294,234	7,126,896	\$9,982,633	\$4,948,157
Non-recurring	\$					
<b>Debt Services</b>			\$109,875			
<b>Total</b>	\$ 38,002,421	\$17,406,561	\$38,784,582	\$21,080,926	\$52,174,552	\$20,951,060

## Other Expenditures

Sources of Funds	FY 10-11 Actual Expenditures	FY 11-12 Actual Expenditures
Supplemental Bills	\$3,394,626	
Capital Reserve Funds		\$162,560
Bonds		

## Major Program Areas

Program Number and Title	Major Program Area Purpose (Brief)	FY 10-11 Budget Expenditures		FY 11-12 Budget Expenditures		Key Cross References for Financial Results*
		FY10 - 11	% of Total Budget:	FY11 - 12	% of Total Budget:	
1500.050100.000 Offender Supervision	Offender Supervision: To supervise offenders under the Department's jurisdiction.	State: 10,372,093.85 Federal: 312,507.62 Other: 13,929,313.32 Total: 24,613,914.79 % of Total Budget: 64.8%		State: 8,338,139.07 Federal: 42,487.72 Other: 15,134,273.76 Total: 23,514,900.55 % of Total Budget: 60.4%		Fig. 7.3-3 Fig. 7.3-4
1500.050105x000 Sex Offender Monitoring	Sex Offender Monitoring: To place offenders ordered by the Court to GPS monitoring under the Sex Offender Accountability and Protection of Minors Act of 2006.	State: 1,808,922.33 Federal: Other: Total: 1,808,922.33 % of Total Budget: 4.8%		State: 3,679,230.36 Federal: 5,900.59 Other: Total: 3,685,130.95 % of Total Budget: 9.5%		Fig. 7.1-5
1500.152000.000 1500.153000.000 1500.150500.000 Residential Centers	Residential Centers: To provide life skills training and employment for high risk offenders under a highly structured residential setting.	State: Federal: Other: 42,236.00 Total: 42,236.00 % of Total Budget: 0.1%		State: Federal: Other: 37,526.00 Total: 37,526.00 % of Total Budget: 0.1%		Fig. 7.3-2
1501.200000.000 Parole Board Operations	Parole Board Operations: The Board has the sole responsibility for granting or denying parole and pardons, revoking, modifying or re-hearing paroles and making recommendations on petitions for reprieves and commutations referred by the Governor.	State: 367,223.12 Federal: Other: 472,022.81 Total: 839,245.93 % of Total Budget: 2.2%		State: 502,466.75 Federal: Other: 529,991.73 Total: 1,032,458.48 % of Total Budget: 2.7%		
1500.050100.000 Offender Supervision	Victims Services: To provide crime victims with information and notification concerning offenders on probation, parole and appearing before the Parole Board.	State: 0.00 Federal: 8,511.76 Other: 209,386.52 Total: 217,898.28 % of Total Budget: 0.6%		State: 2,722.90 Federal: 209,075.86 Other: 211,798.76 Total: 423,597.52 % of Total Budget: 0.5%		Fig. 7.3-1
1500.050105X000 1500.052000.000 Sentencing Reform	Sentencing Reform: The South Carolina General Assembly passed the Omnibus Crime Reduction and Sentencing Reform Act 2010 for the purpose to reduce recidivism, provide fair and effective sentencing options, employ evidence-based practices for smarter use of correctional funding, and improve public safety.	State: Federal: Other: 456,677.82 Total: 456,677.82 % of Total Budget: 1.2%		State: 1,530,290.44 Federal: Other: Total: 1,530,290.44 % of Total Budget: 3.9%		
9500.050000.000 9801.300000X000 Employer Contributions	Employer Contributions	State: 4,052,485.64 Federal: 2,600,375.07 Other: 1,993,330.72 Total: 8,646,191.43 % of Total Budget: 22.8%		State: 6,123,173.25 Federal: 103,381.45 Other: 1,064,033.47 Total: 7,290,588.17 % of Total Budget: 18.7%		
<b>Below: List any programs not included above and show the remainder of expenditures by source of funds.</b>						
Administration, Legal, Audit, Records Management, Human Resources, Community Affairs, Spice Program, Ignition Interlock and Agent Equipment.						
	<b>Remainder of Expenditures:</b>	State: 802,760.02 Federal: Other: 570,657.04 Total: 1,373,417.06 % of Total Budget: 3.6%		State: 907,626.01 Federal: Other: 736,187.57 Total: 1,643,813.58 % of Total Budget: 4.2%		

\* Key Cross-References are a link to the Category 7 - Business Results. These References provide a Chart number that is included in the 7th section of this document.

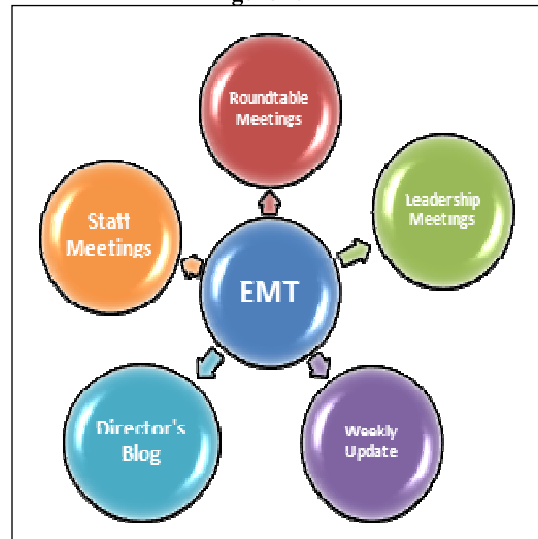
### Section III – Elements of Malcolm Baldrige Criteria

#### Category 1 Senior Leadership, Governance, and Social Responsibility

**1.1 How do senior leaders set, deploy and ensure two-way communication throughout the organization and with customers and stake holders, as appropriate for: (a) short and long term direction and organizational priorities; (b) performance expectations; (c) organizational values; and (d) ethical behavior?**

a) Senior leaders at SCDPPPS ensure two-way communication **Figure 1.1-1**

through a series of strategies designed to facilitate open and honest interaction among staff at all levels. The Director, the EMT, the Legislative Liaison and the Assistant Deputy Directors conduct weekly Roundtable Meetings to discuss pertinent matters regarding Department goals and objectives. Each member of the EMT is responsible for sharing information with their divisional managers, with the understanding that each manager will convey details to staff through their chain of command. Quarterly, the director holds a Leadership Meeting with the EMT, Divisional Managers and selected staff from a cross section of all divisions. Other correspondence is sent through e-mails and regularly scheduled divisional staff meetings. Each Friday, the Director e-mails a weekly update of happenings, concerns, and congratulatory comments to all staff. In addition, the Director's blog in gives employees another venue to pose questions to her, seek clarification, or make comments. These approaches provide for two-way communication between all levels of the Department with a quick response to issues or concerns of interest to the Department's external and internal customers. The Director and EMT make periodic visits to county offices. The strategic plan serves as a guide for setting organizational priorities for long and short-term direction. This further enhances the Department's efforts to correlate performance measures with short and long-term strategic goals.



- b) Performance expectations are articulated by supervisors and are reinforced through the EPMS process. Performance expectations and work objectives are identified in the Planning Stage for the coming year. Any incident of non-conformance is addressed in writing, verbally, or through the progressive discipline policy.
- c) Organizational values are part of the strategic planning process, and applied to divisions. They are honesty and integrity, dignity and respect, diversity and equal opportunity, openness and teamwork, innovation and performance excellence, and accountability. These organizational values are reinforced in the Director's Weekly Update message.

- d) Ethical behavior and expectations are addressed as part of New Employee Orientation and Training (NEOT). In 2012, the Department, in partnership with the South Carolina Ethics Commission developed and delivered a mandatory course on professionalism in the workplace which covered several areas of ethical behavior. The State Government Ethics and Accountability Act provides clear procedures for investigating grievances and initiating disciplinary actions. The State Ethics Commission requires specified officials and public employees to file Statements of Economic Interest while the South Carolina Bar maintains ethics requirements for all practicing attorneys. In addition, the Human Resources Office conducts exit interviews with departing employees, the results of which are analyzed for organizational improvement opportunities. These procedures and requirements help ensure that ethical guidelines are followed.

**1.2 How do senior leaders establish and promote a focus on customers and other stakeholders?**

Senior leaders support the Department's Strategic Plan which provides the primary emphasis and direction for each division's focus on customer service. Key service requirements (Table A-2) are routinely reviewed at quarterly Leadership Meetings and also with local managers and supervisors. Strategies include well defined supervision protocols for offenders, timely service of legal process, the accurate and timely collection of offender restitution payments to victims and the completion of pre-parole investigations for the Board of Pardons and Paroles. In addition, the Department's Internet web site publishes phone numbers, addresses and directions to all office locations for easy customer access to the Department.

**1.3 How does the organization address the current and potential impact on the public of its programs, services, facilities and operations, including associated risks?**

The Department interfaces daily with numerous entities including but not limited to the judiciary, state and local law enforcement, victims, partners, and the general public. Our ability to effectively supervise offenders, respond to the victim needs, and other customers can and does have a direct impact on the wellbeing of South Carolina's citizens. The Office of Executive Programs in concert with the Office of Community Affairs and the Office of Public Information maintains contact with the public to disseminate information in a timely manner.

**1.4 How do senior leaders maintain fiscal, legal, and regulatory accountability?**

The Department uses a multiple stage review of proposed budgets, authorization for purchases and routine communications to insure fiscal, legal and regulatory accountability. These include validation of financial information accuracy through internal and external audits, audits by the State Auditor's Office, and crosschecks by the Comptroller General's Office. Regulatory requirements and issues are reviewed by the EMT and the Legals staff. The Department complies with the regulatory requirements that come under the purview of the Office of Occupational Safety and Health Administration (OSHA).

**1.5 What performance measures do senior leaders regularly review to inform them on needed actions?**

The Department has implemented a new model, Data Analyses to Reduce Recidivism (DARR) as a new approach used to provide feedback to the field and meet the Department's

goals set forth in the Omnibus Crime Reduction and Sentencing Reform Act 2010. Several supervision-related measures are tracked monthly to discuss and measure the successes or barriers to reaching goals. Additional measures tracked by senior managers include customer requests for assistance and information, employee turnover rates, employee training completion and satisfaction data.

**1.6 How do senior leaders use organizational performance review findings and employee feedback to improve their own leadership effectiveness and the effectiveness of management throughout the organization including the head of the organization and the governance board/policy making body? How do their personal actions reflect a commitment to organizational values?**

The Department's performance reviews are conducted by the Governor, the Agency head Salary Review Committee and the Legislative Audit Council. These reviews measure how well the Department is meeting its goals and developing innovative processes to comply with its mission. Senior managers use these reviews to channel their vision for the agency. The EMT holds employees accountable to meet goals and enhance processes. As a result of the reviews, senior managers obtain feedback through personal contact between managers and employees, through staff meetings, exit interviews, and discussions held at leadership related training classes. The findings of reviews lead senior management to focus on barriers to success and ways to improve our internal processes. Divisional retreats provide an additional method for communicating management performance results. Also the Director's Blog and weekly updates allow staff to receive information and comment on its content.

**1.7 How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?**

The Director, the Executive Management Team, the Human Resources Office, and the Office of Executive Programs focus on the workplace for retention and future growth and development. Senior leaders identify future potential leaders and actively promote their participation in leadership development programs, table top exercises, leadership and management conferences. In addition, the Training Compliance and Professional Development (TCPD) section is in the process of creating a leadership academy to prepare entry level staff for future leadership positions.

**1.8 How do senior leaders create an environment for performance improvement, and the accomplishment of strategic objectives?**

Each office and section is charged with creating, promoting, and fostering a work environment that is known for its professionalism, effectiveness, efficiency, and productivity. The Strategic Plan, AIC meetings, legislative mandates, and communication with the Office of the Governor set the pathway for Department priorities. These priorities are communicated via the chain of command of the Department (See Organizational Profile).

**1.9 How do senior leaders create an environment for organizational and workforce learning?**

Senior leaders and management often notify staff of training opportunities through the monthly publication of Training Announcements and Monthly Information (TAMI) and encourage staff participation. The Department's on-the-job training process provides new

employees with hands-on training in a controlled and supervised environment. Professional associations are promoted and staff is allowed administrative lead to attend conferences. Training announcements from external professional entities are also disseminated. Additionally, the Intranet has enabled training to be received at individual workstations. The TCPD section offers Lunch and Learn training sessions across the state. Many employees hold membership in the American Probation and Parole Association, the South Carolina Probation and Parole Association, the National Association of Blacks in Criminal Justice, American Correctional Association, the South Carolina Correctional Association, the South Carolina Law Enforcement Officers Association, the Fraternal Order of Police, the South Carolina Victim Assistance Network, the South Carolina Quality Forum, and many other programs designed to promote professional and personal development.

**1.10 How do senior leaders engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?**

The Director has implemented a Weekly Update and Blog to inspire and motivate staff to take a more active role in the decision making process. Staff is recognized and rewarded through Public Service Recognition Week, Probation and Parole Officers Week, Agent and PPP Graduation Ceremonies, Retirement Ceremonies for retiring staff members, Annual Department Awards Program, State Service Awards, CODE – Connecting our Deployed Employees, and a holiday gathering to show appreciation for their contributions.

**1.11 How does senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, the workforce and the organization contribute to improving these communities.**

The Office of Community Affairs serves as the Department’s liaison for community outreach. With a direct focus to heighten public awareness about the duties and responsibilities of the Department, partnerships are cultivated for support and services. The Public Information Office responds to media inquiries, including Freedom of Information Act and general public requests.

Joint-partnership and community volunteerism is strongly supported and encouraged to promote community engagement. Community outreach includes the March of Dimes, United Way, and Community Health Charities campaigns; Red Cross blood drives, Harvest Hope food drive, Lunch Buddy Program, and Court Appointed Special Advocates (CASA) for abused and neglected children, feeding the hungry service project, Health Fair, Wellness Walks, Health Screening, Retirement Seminars,

**Category 2 Strategic Planning**

**2.1 What is your Strategic Planning process, including key participants, and how does it address: (a) your organization’s strengths, weaknesses, opportunities and threats; (b) financial, regulatory, societal and other potential risks; (c) shifts in technology, and customer preferences; (d) workforce capabilities and needs; (e) organizational continuity in emergencies; (f) your ability to execute the strategic plan?**



The Department's Strategic Plan is an annual required review by all staff. Input is solicited and conveyed through the chain of command. This serves as valuable input for regularly updating the Strategic Plan. Updates and changes to the Plan are devised after sanctioned by the Director and her Executive Management Team.

**a. Organization's strengths, weaknesses, opportunities and threats**

The Director, EMT, and divisional managers review the Department's progress toward achieving its strategic goals and objectives. Audits, office self-assessments, and internal surveys ensure alignment with the Department's mission. In addition, the Governor's directives and initiatives, key legislative and customer service requirements, and feedback provide insight for the process based upon priorities.

**b. The financial, regulatory, societal and other potential risks**

Optimizing our financial resources is our commitment to the staff, the citizens of the state, and our external customers. However, ongoing challenges and external factors beyond our purview, requires creativity and adaptability. We continue to explore grant opportunities to address budgetary shortfalls.

**c. Shifts in technology and customer preferences**

Systems updates are essential to daily operations. We have fully integrated SCEIS, began addressing innovative records management processes, and made enhancements to our offender management system to better assist Agents with supervision strategies. The Department has initiated new and validated on-line "Risk and Needs Assessment" instruments through a private vendor. The Board of Pardons and Paroles has also transitioned from a paper-based system, to a mobile device for their hearing preparation work and case studies. Our remote videoconferencing sites in Charleston and Spartanburg allow victims to participate in the parole process without having to drive to Columbia. Victims also have access to the Department's websites to search for hearing dates and hearing results. To meet the needs of our customers, we must enhance our technology for communication purposes and responding in a timely manner.

**d. Workforce capabilities and needs**

The most valuable asset of an organization is its staff. At the Department, staff opinions and suggestions are solicited and valued. Two-way communication is attributed to the Department's vitality and motivation. Needs are addressed in a timely manner and reviewed by the Director and her EMT for rewarding, budget permitting.

**e. Organizational continuity in emergencies**

As a first responder, designated staff is trained and equipped to assume duties as required. An Emergency Preparedness Plan has been made available for review. We employ an automated phone alert system and use technology to communicate to staff during emergency situations. Each county office location has access to the Department's email system and Intranet in an effort to maintain two-way communications during emergencies.

**f. Ability to execute the strategic plan**

The Office of Executive Program oversees the strategic planning process and develops reports for management. Updates to the plan are disbursed to keep staff abreast of changes and expectations. All staff is required annually to review the Strategic Plan.

**2.2 How do your strategic objectives address the strategic challenges you identified in your Executive Summary?**

The strategic objectives are devised with a conscientious look at all levels of the Department addressing their needs. These include daily operations, budget, initiatives, and technology.

**2.3 How do you develop and track action plans that address your key strategic objectives and how do you allocate resources to ensure the accomplishment of your action plans?**

The Office of Executive Programs works to coordinate updates regarding Strategic Plan action items. Updates are then recorded on The Strategic Plan Tracking Matrix. The Matrix lists all of the action items along with the lead person assigned to each action item, corresponding measures and the timeline for completion. All employees can view The Strategic Plan via the Department's Intranet. An annual review is required in conjunction with their annual performance evaluation process.

**2.4 How do you communicate and deploy your strategic objectives, action plans and related performance measures?**

All employees have full access to the Strategic Plan maintained on the Department's Intranet and Internet website. This information and related performance measures can be viewed at any time.

**2.5 How do you measure progress on your action plans?**

Action plans are routinely reviewed at the senior level. Action Plan timelines and results are tracked through quarterly management reviews of key performance measures.

**2.6 How do you evaluate and improve your strategic planning process?**

The Strategic Planning Matrix has proven very useful in evaluating how well the Department completes and maintains action items. The Matrix is available to the EMT for review at any time. This allows senior management to evaluate the progress of the implementation of the Strategic Plan.

**Table 2.6-1**

<b>Strategic Planning</b>			
<b>Program Number and Title</b>	<b>Supported Strategic Planning Goal/Objective</b>	<b><u>Related FY 12 and Beyond</u> (Key Agency Action Plan/Initiative(s) Timeline for Accomplishing the Plan</b>	<b>Key Cross References for Performance Measures</b>
1.5.4	To maximize our support and services to the victims of crime.	Collect ordered restitution from offenders and distribute to victims within 30 business days of collection.	Fig. 7.3-1
3.5.2	To link the EPMS process to the Strategic Plan.	Implement a system for annual documentation by each PPP staff member that the Strategic Plan has been reviewed with them by their supervisor.	Cat. 5.5
1.1.4	To provide for appropriate and effective supervision and intervention strategies that promotes offender accountability.	Validate the new Workload Model to include a monthly reporting process. Conduct annual reviews on the effectiveness of measure.	Cat. 7
6.3.4	To provide comprehensive, meaningful employee training and knowledge management systems utilizing up-to-date techniques and technology.	Develop a methodology that supports employee development and growth through cross training and mentoring relationships. Conduct annual reviews on the effectiveness of measure.	Cat. 4.7
5.1.1	To be responsible and accountable in the management of all of the Department's financial resources.	Ensure that a strong internal control structure and assessment process is in place to maintain sound accounting controls. Conduct periodic reviews on the effectiveness of measure.	Cat. 1.4
4.2.1	To determine the needs and expectations of our customers and to utilize their feedback for continuous improvement.	Develop a methodology for obtaining service satisfaction feedback from the Department's key customer segments. Include a methodology for incorporating this feedback into the service development and design process. Conduct annual reviews on the effectiveness of measure.	Cat. 7.2
2.1.1	To continuously evaluate, develop and implement innovative technology to improve the quality and effectiveness of service delivery while minimizing cost.	Automate the Records and Forms Management Systems to include paperless records storage of closed files and paperless active case files with signature pads.	Cat. 6.2

**2.7 If the agency's strategic plan is available to the public through the agency's internet homepage, please provide a website address for that plan on the website.**

The Strategic Plan is available at <http://www.dppps.sc.gov/Strategic%20Plan-WEB.pdf>.

**Category 3 – Customer Focus**

**3.1 How do you determine who your customers are and what their key requirements are?**

Customers are identified through legislation that defines and support the Department's mission, goals and objectives. Key customers include offenders, victims, criminal justice organizations, the Parole Board, partner organizations, local, state, and federal government agencies, judicial system members, service providers, individuals affected by the Interstate Compact statute, and all citizens who are direct recipients of the Department's services.

Customers for the Department are more precisely segmented as related to the type of services provided by each section (Table A.2).

**3.2 How do you keep your listening and learning methods current with changing customer/business needs and expectations?**

The senior leadership supports and encourages staff to make contact with constituent groups to understand their concerns and expectations. They can either address those concerns or forward them through the chain of command. Key customer expectations, and an analysis of strengths and areas for improvement are addressed through the Department’s assessment and improvement planning processes. For example, the Office of Victim Services uses several approaches to obtain information from victims to improve services. In addition to attending parole hearings and listening to victim’s concerns, victims may submit letters, e-mails, a videotape, or petitions on their behalf. A “Suggestions/Comments” box is placed in the victims waiting area to provide an additional source for obtaining customer information.

The multiple partnerships with law enforcement, service provider organizations, and the regularly updated Department website provide further listening and learning opportunities. Additional methods for listening and learning are described in Table 3.2-1, with customer access methods described in Table 3.2-2.

**Table 3.2.1**

<b>Listening &amp; Learning</b>	<b>Approach &amp; Processes</b>
Department Web Site Solicitor’s Association General Sessions Court Judges Summary Court Judges Municipal Association Association of Counties Victims Association General Assembly Faith Community Senior Management & Line Staff Direct Calls General Public	Internal Investigations Focus Groups Surveys Suggestion Process Policy & Procedures Review Process Department Committees

**Table 3.2-2**

<b>Enabling Customer Access</b>	
<b>Access Mechanism</b>	<b>How Determined</b>
County & Satellite Offices	Customer Feedback
Dedicated Personnel: Victim Coordinators, Emergency & Special Operations, Volunteer Coordinators, PSE Coordinators	Customer Feedback; Strategic Direction Inputs
Print and Electronic Media Department Website	Available & Emerging Technology; Customer needs; Rapid and ease of access
Voice mail, E-mail, Fax, Mobile Phones	Available Technology

**3.3 What are your key customer access mechanisms and how do these access mechanisms enable customers to seek information, conduct business and make complaints?**

A majority of our customers are offenders supervised in the community. By statute, offenders have continual contact with Probation and Parole Agents during supervision. Victims are another group of key customers that the Department works hard to provide information to and access mechanisms for them to conduct business. The Office of Victim Services surveys victims about their experience during the parole process. The Department's website also provides access mechanisms in which customers can obtain information about upcoming parole hearings, contact numbers and county office locations as well as supervision strategies. The website has a link for customers to e-mail or call for information, or to support or oppose the parole of an offender.

**3.4 How do you measure customer/stakeholder satisfaction and dissatisfaction and use this information to improve?**

The Department measures customer satisfaction and mission accomplishment using a variety of methods. For example, the Special Operations Section measures customer satisfaction through discussions and post-emergency response or exercise evaluations with agencies following joint operations. A general staff review of overall Department performance and lessons learned is also added. The Office of Victim Services measures customer satisfaction from victims following their attendance at parole hearings. Informal methods used by individual sections within the Department include the analysis of e-mail messages, voice mail, and written correspondence.

Depending on the scope and complexity of any customer dissatisfaction issues, improvement actions may be addressed within just one section, a Division, or throughout the entire Department. Issues requiring action and coordination by more than one Division are addressed by the EMT and applicable policies are amended or new procedures are implemented.

**3.5 How do you use information and feedback from customers/stakeholders to keep services and programs relevant and provide for continuous improvement?**

The Department's sections use a variety of approaches to improve existing and develop new services. These include formal process improvement teams, and informal methods that may be addressed by simple process changes within a section. Examples of cross-functional teams include the Joint Strategic Planning Committee, Annual Awards Committee, the Absconded Offenders team, Gender-Based Supervision Strategies Team, Administrative Hearings Committee (Table 5.1-1).

Customer input is forwarded to our Department's Policy and Procedures Committee and the primary process owner for review and comment. Once the initial review is completed the proposed change recommendation is forwarded by e-mail to the Committee to comment for final review. Recommendations are forwarded to the EMT. An annual policy review process, managed by this committee, uses this same method to ensure policy currency. Another example is the Training Advisory Council, which is a cross-functional group of employees. Informal input from customers is used to improve services such as suggestions for internal and external training.

**3.6 How do you build positive relationships with customers and stakeholders to meet and exceed their expectations? Indicate any key distinctions between different customer and stakeholder groups.**

Each office views its customers based on the type of services provided (Table A-2). In the Field Operations Division great care is given to ensure solid and productive partnerships with local law enforcement entities and service providers. Regular meetings are held at the county level to maintain two-way communication and for information sharing. Senior staff or designees meet with Sheriffs and Police Chiefs to facilitate cooperative relationships. Special Operations serves a similar function in relation to federal law enforcement to ensure good lines of communication, coordination of effort and execution of plans, especially concerning the apprehension of fugitives in our state and throughout the United States, as well as security operations related to Homeland Defense.

Additionally, the Director is a member of the South Carolina Law Enforcement Training Council, which consists of representative from various law enforcement entities throughout the state. Led by the Department's Director, the State Council for Interstate Compact meets bi-annually to monitor compliance with national policies and processes. Networking and relationship building is encouraged through participation in professional associations, training activities, and initiatives related to Public Safety and Homeland Security.

In general, relationships with customers and partners are nurtured and monitored as our Department participates in many initiatives (see Executive Summary – Major Achievements) designed to improve the future of current offenders. We also participate in joint emergency operations and homeland defense activities; participate in information sharing activities on best practices, and in joint training events on both the state and national level.

**Category 4 – Measurement, Analysis and Knowledge Management**

**4.1 How do you decide which operations, processes and systems to measure for tracking financial and operational performance, including progress relative to strategic objectives and action plans?**

Key measures are determined by the Director in consultation with EMT. These measures are related to key mission requirements, special operations, financial performance, customer service, and Agent workload distribution and a zero-based budget budgeting process. Other measures are based on performance tracking requirements, and include those levied by Departmental policies and procedures, laws and regulations including the S.C. Code of Laws, and the published procedures and practices of the Board of Pardons and Paroles. Key measures related to offender supervision, financial, and HR related performance, supported by real time database information and Department wide access provide essential information at all Department levels to support fact-based decision making (see 4.2).

**4.2 How do you select, collect, align and integrate data/information for analysis to provide effective support for decision making and innovation throughout your organization?**

Data and information used to provide support with decision making is available through the Department's integrated computer databases. These include the Offender Management System (OMS), Parole Information Center (PIC), and the South Carolina Enterprise

Information System (SCEIS). The Department also maintains data and information linkages with the National Crime Information Center (NCIC), and the National Law Enforcement Telecommunications System (NLETS). Access is restricted and controlled by employee computer linkages and passwords.

To support organization wide data and information needs related to offender supervision, the Division of Field Operations developed key performance measures and targets for Home Visits, administrative sanctions, citations and warrants issues and served, public service employment, compliance revocations, absconded offenders, pre-parole investigations, drug testing and financial collections. The database contains real-time information that is segmented county size (based on offender population within a county), individual counties, and by an Agent's badge number. This information is made available to Agents, supervisors, and managers when applicable. Other automated systems such as the OMS and PIC systems, the use of laptop technology in the courtroom, directly supporting courtroom hearings and the GPS system provide real-time information on offenders, offender electronic tracking (for certain offender groups), and the Parole Board's decision making processes.

The SCEIS system serves as the primary data and information source for the Accounting and Finance, Budget, Materials Management, Leave Administration and Payroll sections. For these areas, a combination of database analysis and spreadsheets provide current information related to fiscal and materials management information needs or training data.

In other areas, the Office of Training Compliance and Professional Development uses information obtained from AIMS to determine training requirements and course completions. These systems provide an effective blend of data and information to support decision making at every level of the Department.

#### **4.3 What are your key measures, how do you review them, and how do you keep them current with organizational service needs and direction?**

Key measures are reviewed by the Director, EMT and Divisional Managers, EMT during Leadership Meetings. As the Department's needs and direction changes so do the measures of performance. With the passing of the 2010 Omnibus Crime Reduction and Sentencing Reform Act, comprehensive training, new protocol and practices implementations have been the driving focus for this year's priority goal and objective. Coordinated the use of Justice Reinvestment pass-through funding awarded by the Bureau of Justice Assistance (BJA) to the state of South Carolina to focus on three key priority areas to successfully impact the rate of incarceration: (1) Designed, implemented, and trained Agents to administer an evidence-based practices violations and incentive matrix, (2) Design, plan and implement a continuum of evidence-based treatment options to address criminogenic needs in the community, and (3) Design and implement a framework for ongoing evaluation of key reform measures. Phase I of implementation included purchase and training on the COMPAS risk/needs assessment tool. A total of 322 Agents, supervisors and other staff completed the 2-day COMPAS Training and are now certified to utilize the risk/needs assessment tool.

#### **4.4 How do you select and use key comparative data and information to support operational and strategic decision making and innovation?**

The Department is an integral part of a variety of national networks that identify performance measures that support our mission. Once selected measurements begin to serve as standard benchmarks to promote best practices and improvements. Use of comparative data from other jurisdictions on parole investigations, supervision violations, and the application of technology for supervision serve a basis for creating guidelines with “promising practices”. Innovative ideas related to the Department’s mission and objectives are reviewed and adopted, as deemed appropriate.

#### **4.5 How do you ensure data integrity, reliability, timeliness, accuracy, security and availability for decision making?**

Each office within the Department performs unique and complementary tasks. All are interrelated in support of the Department’s mission and public safety related initiatives. To support mission accomplishment, the Department created and maintains an integrated computer network that incorporates multiple linked databases. The statewide computer network, supported by a variety of servers, provides daily access and current information for decision making via databases including the Offender Management System (OMS), Parole Information Center (PIC), Automated Information Management System (AIMS), and the South Carolina Enterprise Information System (SCEIS), a comprehensive and integrated financial and employee management system. The OMS houses information on 382,525 offenders, of which 46,374 made up the year-end jurisdictional count that included offenders on active supervision, in federal custody, institutionalized, being supervised out of state, or have absconded. The PIC contains 176,578 records on current or former inmates and shares certain data elements on offenders between our Department’s offices and SCDC.

AIMS tracks training records and includes a database and application for the tracking of the Department’s weapons, armored vests, and radios. AIMS also tracks mileage and maintenance records for the Department’s fleet of vehicles. Accuracy and completeness for all of the Department’s databases is determined through daily, weekly, and monthly data reports that are reviewed by management, supervisors, and data users.

Data integrity and availability is ensured through a variety of methods. These include computer tape back-ups, remote storage of data files and fireproof boxes in the Department’s county office locations, back-up power supplies for all computers, mirrored files on servers, and a three-tier virus detection process including the workstation, server, and firewalls. SCDPPPS maintains a high level of security through the use of multiple layers of security. Security of victim, offender, and employee personally identifiable information is a top priority for the agency’s Strategic Development and Information Technology staff. In the protection of information and systems, the SDIT staff employs leading edge technology, techniques, and procedures. Juniper Networks’ security provides core security components for the Department. Juniper’s SSG line of firewalls provide a strong frontline defense for the core of the network along with Juniper’s network access control product to secure end user access to information. The Department also relies on one-time password hardware tokens to offer remote user access to the network and the agencies offender management system.



**4.6 How do you translate organizational performance review findings into priorities for continuous improvement?**

Priorities for improvement are discussed and determined during meetings between the Director and the EMT and also as part of Leadership meetings. Managers report progress on Strategic Action Items and division events. This review process supports a consistent focus on continuous improvement.

**4.7 How do you collect, transfer, and maintain organizational and employee knowledge assets? How do you identify, share and implement best practices, as appropriate?**

The Department uses a variety of methods to insure that valuable employee knowledge is shared, transferred, and maintained. Primary methods include on the job training, cross-training, peer mentors, succession planning and staff meetings. Within the Agent Career Track, Agents-in-Charge (AIC) of county offices follow intensive on the job training policies and guidelines.

In response to anticipated retirements contingency plans are developed. Also, to insure that best practices are regularly shared, statewide Agent-in-Charge (AIC) meetings, conference calls and written correspondence is maximized. Strategies with proven results are adopted.

To help maintain and protect organizational knowledge the Office of Executive Programs has published 48 White Papers designed to record information on key Departmental initiatives. This documentation provides vital historical information that may otherwise be lost as employees retire or leave the Department for other employment opportunities. Also, Standard Operating Procedures (SOP's) were created for vital job functions.

**Category 5 – Workforce Focus**

**5.1 How does management organize and measure work to enable your workforce to: 1) develop to their full potential, aligned with the organization's objectives, strategies, and action plans; and 2) promote cooperation, initiative, empowerment, teamwork, innovation and your organizational culture?**

The Department's strategic planning process combined with its focus on teamwork and emphasis on organizational values helps strengthen employee collaboration, cooperation, innovation and high performance throughout the Department. The linkage of staff's Action Plans to the planning stage directly supports high performance and mission accomplishment.

In addition, team empowerment and employee involvement enhances understanding of the Department's mission and goals. The selection process of team members ensures diversity, technical experience, representation from all areas of the Department relevant to the task at hand. Each team has an assigned team leader and facilitator, and is given a written "charge."

Information regarding the work of teams, and related knowledge sharing, is provided via all level meetings, the Department's newsletter and through email, as appropriate. This focus on organizational values will further enhance the culture of the Department.

Table 5.1-1 provides a listing of current cross-functional teams and their respective tasks.

**Table 5.1-1**

<b>Team</b>	<b>Task (Charge)</b>
Annual Awards Committee	This committee was established to develop a process for and coordinate the activities for the Annual Employee and Section/Office Awards.
Communications Committee	This committee exists to review and update current processes for a more streamlined way of communicating within the Department and among its' employees.
Evidenced-Based Practices Team	This team was created to train all staff on evidenced-based practices and protocols and to provide an overview of Sentencing reform.
Informer Planning Committee	This Team is designated to review submissions and plan for each issue of the Department's newsletter called "The Informer".
Multi-Agency Ignition Interlock Device Program Implementation Team	This committee exists to coordinate with the Department of Motor Vehicles and the Department of Alcohol and Other Drug Abuse to implement the ignition interlock device provisions of the Prevention of Underage Drinking and Access to Alcohol Act of 2007
Pandemic Influenza Team	This team was established to conduct research and make recommendations regarding a Department Pandemic Influenza Plan.
Probation, Parole & Community Supervision Week Planning Team	This team was established to coordinate statewide activities during Probation, Parole & Community Supervision Week.
Public Service Recognition Week Planning Team	This team was established to coordinate statewide activities during Public Service Recognition Week.
Strategic Planning Team	This team was established to review the Department's Strategic Plan on an ongoing basis adding new action items as needed.
Training Advisory Council	This Council exists to develop innovative training sessions and classes that would promote leadership and human development for all classifications within the Department.
Volunteer and Intern Committee	This committee was assembled to review and revamp the existing Volunteer and Intern program within the Department. The committee was charged with making revisions to the existing policy and identifying new methods for recruiting volunteers and interns.
Workplace Safety Committee	The Department maintains a dedicated Special Operations section that addresses safety and security concerns and initiatives, as well as emergency operations and recovery throughout the various statewide locations.
Administrative Hearing Committee	This committee was assembled to review and improve the existing Administrative Hearings Process within the Department. It is comprised of representatives from the Administrative Hearings Section and the Division of Field Operations. The committee was charged with making revisions to the existing policy and identifying improvements to professionalism on both sides of the Hearings process. They will explore appropriate sanctions to be dedicated to the Administrative Hearings process, and general improvements to ensure efficient and expeditious Hearings.
Joint Strategic Planning Team	This team is a cross-section of staff from the Department and the Department of Corrections whose purpose is to lead a collaborate effort to improve reentry and reduce recidivism in South Carolina. This effort is in support of the Omnibus Crime Reduction and Sentencing Reform Act of 2010.

**5.2 How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs and locations?**

The Department's Intranet is accessible statewide through internet connection. The Intranet is a secure website available only to staff that houses information such as the Director's blog, quarterly newsletter, a calendar for Department related events and Parole Board Hearings. A

message from the Department Director and training modules are housed there. Also, the Director distributes a weekly update via the email every Friday.

**5.3 How does management recruit, hire, place and retain new employees? Describe any barriers that you may encounter.**

The Department applies comprehensive workforce planning strategies that serve to recruit, hire, place and retain qualified employees and administers a fair and equitable recruitment and hiring process. This process involves internal and external announcement of vacant positions which may be filled through internal promotion and by way of external new hires. The Human Resources Office is the principal area that is responsible for recruitment efforts towards hiring potential candidates interested in employment. The Office of Executive Programs in conjunction with, local Agents-In-Charge and Public Information coordinates the participation at various career fairs. Employment recruitment brochures and fact sheets are distributed at these events. Senior managers and other staff are encouraged to be ambassadors for the Department. Vacant positions are posted and as applicants apply for the openings; their application material is screened for qualification purposes in meeting the minimum training and experience. The Department utilizes a team or panel approach for interviewing to ensure that it is demographically representative to bolster a fair and equitable selection process. Once a candidate is selected, the new employee orientation begins immediately, after which the “on the job training” process is initiated.

The organizational culture lends itself to respect all employees, which are its most valuable assets. As a powerful retention mechanism, on-going professional development opportunities available to staff at all levels in preparation for leadership and management roles. A career path for both Agent and non-Agent staff have been implemented. In that the Department supports promoting from within, it has employed knowledge transfer as an approach to maintaining the Department’s institutional framework and workforce planning needs. Those employees who demonstrate leadership qualities are asked to participate and provide their input on various teams, task forces and councils. The Department recognizes employee achievements, along with annual awards; the Department continues to acknowledge the invaluable daily contributions that employees make through informal methods at the office level along with statewide observance of Probation, Parole and Community Supervision Week, and State Employees Recognition Day.

**5.4 How do you access your workforce capacity and capacity needs, including skill competencies and staffing levels?**

The workforce capability of the Department is supported by the collective abilities of its employees. Staff serves as first line ambassadors to educate customers and business partners. Additionally, supervisors are trained to identify skills that employees have versus the skills that they need, to accomplish the expected outcome of the job that they perform. An ongoing training plan is developed to determine skill set, competencies and steps to improvement.

As turnover occurs, needs assessments are conducted to redefine necessary training in order to make the next occupant of the position successful and determine whether additional training is needed. A determination is also made as to what level of knowledge, skills and abilities a candidate should possess when they are selected for a position.

The Department has a process in place for determining staffing levels. A primary staffing concern relates to caseload Agents and these staffing levels are determined by caseload size and geographical location. Staffing levels for non-Agent staff are reviewed periodically to ensure that levels are sufficient to provide adequate support in the various disciplines (finance, information technology, training, and program management).

**5.5 How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work, and contribute to the achievement of your action plans?**

The Department used benchmarks in the form of indicators to monitor high performance. The Executive Management Team has a comprehensive plan to employ evidenced-based practices to align EPMS performance levels with the Strategic Plan. An open-door policy throughout the Department allows each employee timely access to his/her supervisor to whom they can go immediately with questions or suggestions, allowing everyone to contribute to the overall work system and the Department's strategic goals.

**5.6 How does your development and learning system for leaders address the following: (a) development of personal leadership attributes; (b) development of organizational knowledge; (c) ethical practices; and (d) your core competencies, strategic challenges, and accomplishment of action plans.**

- a. Cross Training and Individual Training Plan information is available on the Intranet to assist supervisors in growing their staff to the next level. Leadership opportunities have been provided to staff through the attendance at quarterly leadership meetings. The Training Section specifically provides leadership opportunities in the following areas:
  - Training Teams for course development
  - Training for Trainers courses
  - Representation on the Agency Training Council.
- b. Courses and incorporate with emphasis on the Department's mission and value statements. Basic level courses as well as leadership initiatives are continuously updated based on organizational and policy changes.
- c. The Ethics for Community Corrections, Human Resources Practices, Supervisory and Agents- In-Charge Orientation Training courses all specifically address ethical issues for staff. The information used to revise current, or develop new, courses is based on best practices. Through the use of practical scenarios and the Criminal Justice Academy course approval process, courses address ethical decision making for staff. Ethical practices was addressed in the statewide "Professionalism; The Workplace and Beyond" training that was offered this year. The State Employee Code of Ethics and the Law Enforcement Code of Ethics was addressed.
- d. As strategic challenges and action plans change, additional training is developed to provide the knowledge and skills to those individuals who will need to address the new initiatives. The Supervisory and Agents-In-Charge courses include organizational overviews, including core competencies, values, and action items of the Strategic Plan.

**5.7 How do you identify and address key development training needs for your workforce, including job skills training, performance excellence training, diversity training, management/ leadership development, new employee orientation and safety training?**

The Department uses a variety of information sources to determine training needs. Training requirements for C-1 Certified Law Enforcement Officers are determined by the SC Criminal Justice Academy. The Office of Victim Services and all Victim Service Coordinators receive annual training directives from the Office of Crime Victims' Ombudsman/Office of Victim Services education and Certification. Results of internal and external audits instigate additional and revised training protocols in several areas. Employees are always encouraged to partake of elective training and professional development opportunities. Additional training needs identified by management to support leadership and job skills development and performance improvement initiatives are used.

The Department's Training Council makes recommendations to EMT and the Strategic Planning Team based on feedback from employees. EPMS review cycles and the Department's existing integrated personnel information database (AIMS), serve to track training accomplishments and each employee's professional development progress. Additionally, and the Department's Volunteer and Intern Program creates a pool of interested applicants who may potentially fill positions as they become available.

The Department currently relies on Level I end-of-class training evaluations to provide feedback on training effectiveness. The planned progression to Levels II and III are incorporated in the Department's Strategic Plan as Action Items. The Developing a Curriculum (DACUM) process is used to determine knowledge skills and traits needed for an employee to perform in a specific job classification or position. The Level II and III evaluations have been tested and the Department plans to expand that when the integration of the new Learning Management System (LMS) "Power DMS" later this year.

**5.8 How do you encourage on the job use of new knowledge and skills?**

Managers often encourage the use of new knowledge and skills by assigning employees tasks or jobs that relate to their newly acquired skills. Management also strives to encourage employees to use knowledge in skills in their day to day duties and integrate new knowledge into existing jobs. Formal On-The-Job/Field Training is a part of the initial training of an Agent and HSS. During some courses, action plans are developed by participants for future use on the job.

**5.9 How does employee training contribute to the achievement of your action plans?**

An important action item for the year was the implementation of Evidenced-Based Practices. The process of coordinating and providing training opportunities to all staff statewide took considerable time and effort to train employees on our new philosophy. Training Compliance and Professional Development scheduled all course sessions and responded to requests for assistance from staff. The Sentencing Reform Act was a catalyst to the development of many of the current action plans. Training was conducted for all staff in 2011 to inform them of the changes in legislation and the development of new programs. Another important action item for the year was the implementation of a new risk/needs assessment tool for the offender population. The COMPAS risk/needs assessment training began with a 11-day Training-for-

Trainers in which 23 staff from across the state became certified to train staff on completing the tool. All caseload Agent staff were trained and the course is being offered quarterly for newly hired agents.

**5.10 How do you evaluate the effectiveness of your workforce and leader training and development systems?**

The effectiveness of the leadership's system is evaluated through the use of end of course evaluations, action plan follow-ups, delayed course evaluations, and year end assessments. Also, additional training is implemented to address issues as they arise.

**5.11 How do you motivate your workforce to develop and utilize their full potential?**

We make a concerted effort to budget for external training and professional development opportunities for staff. Completion of internal and external training courses and events are recorded in employee training profiles. This is intended to encourage learning, improve quality, customer and employee satisfaction, and performance levels.

The formal method for developing and motivating employees is through the Employee Performance Management System (EPMS). As part of the EPMS process, each employee and his/her supervisor jointly develop a Planning Stage that identifies key job tasks, responsibilities, and performance expectations.

Informal methods include the availability of flexible work schedules, administrative leave for attendance at external training, recognition of staff at public meetings and luncheons, and encouraging and supporting employees to work on inter-divisional and inter-Department team projects. Additional recognition opportunities include State Employee Recognition Day, National Public Service Recognition Week, Probation, Parole and Community Supervision Week and the Annual Awards program.

**5.12 What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation? How do you use other measures such as employee retention and grievances?**

The EPMS process, internal surveys, and intra-office discussions, provide primary feedback on employee well-being, satisfaction and motivation. Work-related issues are discussed during staff/ leadership meetings, and office visits. These issues are addressed with to foster a team environment and to ensure that all team members' perspectives are valued and considered. Examples of services that are made available to employees that promote and support employee well-being, satisfaction, and motivation are depicted in Table 5.12-1.

If external assistance is needed, supervisors may refer employees to Vocational Rehabilitation Department's Job Retention Services or request the assistance of staff chaplains for personal counseling. Information is also obtained through the state grievance process, and exit interviews with departing employees.

**Table 5.12-1**

<b>Products and Services made available to employees to enhance well-being, satisfaction, and motivation</b>	
<ul style="list-style-type: none"> <li>• Law Enforcement safety equipment</li> <li>• Medical Services for Staff</li> <li>• Chaplaincy Program (SC LEAP)</li> <li>• Prevention Partner Workshops</li> <li>• Employee/Volunteer Recognition</li> <li>• Smoke free Workplace</li> <li>• TB Testing &amp; Hepatitis B Testing</li> <li>• Foundation for Wellness Professionals Workshops</li> </ul>	<ul style="list-style-type: none"> <li>• Drug Testing</li> <li>• Health Screenings</li> <li>• American Disabilities Act Accommodations</li> <li>• Caregivers Workshops</li> <li>• Informer and Intranet Health Articles</li> <li>• Spring Wellness Walk</li> <li>• Job Retention Services (JRS)</li> <li>• Professional Development Opportunities</li> </ul> <p style="text-align: right;">Source: SCDPPPS HR</p>

**5.13 How do you manage effective career progression and effective succession planning for your entire workforce throughout the organization?**

The Department provides career opportunities for employees with regards to budget constraints. Employees are provided room to grow, both personally and professionally and, to develop their careers. Each step provides new job challenges, increased pay levels and, training and development opportunities. Promotional opportunities are posted for all staff to review and they are encouraged to seek application.

With the retirement of experienced staff, the challenge has been to recruit and place staff in critical mission areas. The Director works with this Human Resources Office, the Executive Management Team and Senior Managers to focus on workplace and succession planning initiatives to recruit competent and qualified employees as well as restructure resources while retaining existing talent for bridging knowledge gaps.

In order to maintain responsive offender supervision standards, the Department has established (through the use of critical workload indicators) a minimum baseline of Probation and Parole Agent staff to help forecast Agent manpower needed to accomplish the diverse demands placed on these staff statewide. The commitment in establishing this baseline staffing level was to ensure that this level was maintained to provide adequate support for the mission-critical work our Agents perform. The Agent baseline number was 354 for the fiscal year. SCDPPPS has employed knowledge transfer as an approach to maintaining the Department’s institutional framework.

The Training Council plays an active role in the Department’s efforts to improve services by providing input and making suggestions for operational changes and training and by acting as a channel for communication to SCDPPPS staff. The purpose of the SCDPPPS Training Council is to assist and advise the Department with the development of a comprehensive training program that will be pertinent to all staff in the areas of career development, law enforcement, leadership, and professional development. The Council also aids in the training process by developing and implementing innovative training avenues.

During the past year, the Training Council has generated several training initiatives to include the “Professionalism; The Workplace and Beyond” statewide training, “Job Readiness” Lunch and Learn program, “Agent Basic Strategic Training and COMPAS Tutorial” (ABSTRACT) for newly certified agents and the revision of the Agent “On-The-Job” training. The Council has also been actively involved in the planning of the first annual Human Service Specialist Conference, to be held in October 2012.

**5.14 How do you maintain a safe, secure, and healthy work environment (Include your workplace preparedness for emergencies and disasters)?**

Maintaining workforce safety and security is a major area of focus for the EMT. The Department maintains a dedicated Special Operations section that addresses safety and security concerns and initiatives, as well as emergency operations and recovery throughout the various statewide locations. Emergency plans for protecting employees during normal work and emergency operations, including building evacuations, have been developed and are reviewed by all employees on an annual basis. Periodic reviews of emergency response plans and related exercises serve to validate these plans. Supporting county office safety plans and specially trained employees are in place to assist with any incidents as a result of interaction with offenders or in response to security, fires or hazardous weather conditions.

The Department also maintains a designated Workplace Safety Officer, a Workplace Safety Committee, and has written Safety Policies. The Department responds to warrant alerts through its 10-Minute Hits system. During the fiscal year, 100 percent of hits were answered. The average response time was less than four minutes. This collaboration with the National Crime Information Center, demonstrates the Department’s vigilance and dedication to ensuring the public’s safety.

Health in the workplace is promoted in a variety of ways (Table 5.14-1). Annual updates regarding communicable diseases are provided to all staff.

**Table 5.14-1**

<b>Sample of Wellness Programs Made Available to the Department’s Employees</b>	
<ul style="list-style-type: none"> <li>• Preventative Health Screening</li> <li>• Diabetes Education workshop</li> <li>• Tobacco Management Seminars</li> <li>• Club Sugar-Diabetes Self-Management Conference</li> <li>• Spring Wellness Walk</li> <li>• Chronic Disease Self-Management Program</li> <li>• Stay Fit While You Sit</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly Health Tips are posted on the Department’s Intranet</li> <li>• Health Articles in the Department’s, <i>The Informer</i></li> <li>• Quarterly publications of the Department’s Drug Free Newsletter, <i>The Forum</i></li> <li>• Caregivers Seminar</li> <li>• Colorectal Cancer Awareness</li> <li>• Lifestyle University Workshop</li> <li>• Something In The Air Workshop</li> </ul>
Source: SCDPPPS HR	

Employee Health screenings are frequently offered to employees statewide at a minimal cost including breast and prostate cancer screenings and flu shots. Free health workshops are available and health information is distributed from the Budget and Control Board’s sponsored Prevention Partners group. In addition, tests employees for HBV, TB and for



illegal drug use. In addition, the use of flexible work schedules can aid employees to balance their personal and professional lives, reduce work related stress and contribute to emotional health and well-being.

### **Category 6 – Process Management**

#### **6.1 How do you determine, and what are your organization’s core competencies and how do they relate to your mission, competitive environment and action plans?**

The Department evaluates what services our key customer segments needs and then works toward those services in determining the core competencies of the organization.

The Department has made the shift toward becoming an evidence-based organization (EBO) in order to ensure supervision strategies and offender program services are consistent with empirically proven practices to reduce risk and recidivism. The Department continues to embrace the notion of using science to drive decisions through the integration and use of evidence-based practices in all aspects of its operations. The Department’s management team continues to use data analysis and evaluation measurement in alignment with continuous quality improvement strategies to assess and measure the fidelity of critical programs and supervision strategies to reduce recidivism. To improve the fidelity of programs and processes, the Department developed an evaluation plan as a quality assurance mechanism to monitor the measures and outcomes of new programs and supervision strategies relative to the Omnibus Crime Reduction and Sentencing Reform Act of 2010. This evaluation plan has been instituted as a comprehensive framework to ensure the Department meets measureable goals and objectives while holding the Department accountable to the Sentencing Reform Oversight Committee.

#### **6.2 How do you determine and what are your key work processes that produce, create, or add value for your customers and your organization and how do they relate to your core competencies? How do you ensure these processes are used?**

The Department’s key business processes are aligned with core mission requirements and special operations support needs (see mission statement in Executive Summary; Table 6.2-1). Using a structured and systematic approach, a cross-functional Policy and Procedures Team, that includes representation from every division reviews all recommendations for new and existing policies. Prior to finalization, draft policies are forwarded to employees for review and input. This input is considered as well as budgetary, human resource, technology requirement, and the goals of the Department’s Strategic Plan. Once finalized, responsibility and accountability for each policy is ensured through the assignment of a senior manager as the process owner. Process owners are responsible for defining and documenting the process purpose; identifying and understanding customer requirements; developing appropriate measures and controls to assure compliance as well as forming and prioritizing process improvement teams (Table 5.1-1), as needed, to effect further improvements.

**Table 6.2-1**

<b>Core Mission Processes and Requirements</b>	
<b>Mission Process</b>	<b>Process Requirements</b>
Offender Supervision	Conduct supervision contacts for offender compliance with general and special conditions.
Pre-Parole Investigations	Conduct investigations to prepare case summaries for consideration by the SC Board of Pardons and Paroles.
Restitution	Monitor, track, and enforce payments.
Fines	Monitor, track, and enforce payments.
Fees	Monitor, track, and enforce payments.
Offender Drug Testing	Identify offender drug usage and respond to positive tests
Sex Offender Management	Utilize enhanced program strategies in an effort to reduce the likelihood of future sexual victimization.
Warrant Service	Attempt to serve warrants within 30 days of issuance. Total warrants served were 12,711.
Interstate Compact	Respond to transfer requests and violation reports on South Carolina offenders being supervised in other states within required time frames.
DNA Collections	Collect DNA samples from required offenders monthly until completed; then maintain currency.
Electronic Monitoring	Deploy required electronic monitoring/GPS units.
Agent Safety	Successfully qualify/certify Agents in firearms, PPCT, and physical requirements.
NCIC Hits Response	Respond to all "HITS"/inquiries within the required time frames (10 minutes for immediate; 24 hours for routine).
Ignition Interlock Device Program	Monitor and respond to IID data, maintain program.

Communication on policy changes is accomplished through staff meetings and e-mail notifications. In addition, a mandatory annual policy review process ensures process reviews and currency/validity checks for all existing policies.

Continuous improvement methods and initiatives, including the results of the Department's Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis and the use of the annual accountability report to identify and prioritize organizational improvements and provide additional approaches for enhancing Departmental effectiveness and efficiencies.

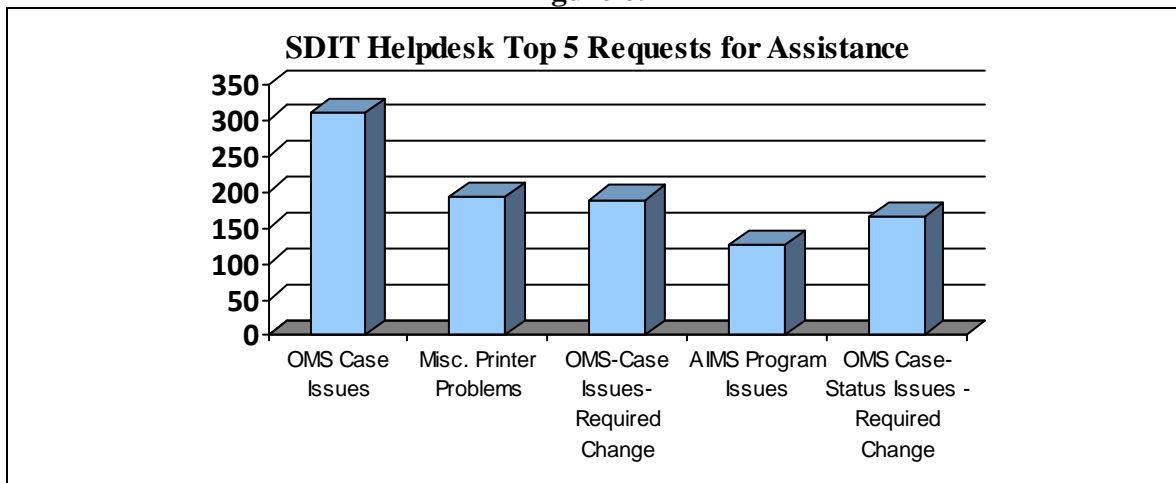
**6.3 How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors such as cycle time into process design and delivery?**

The Department is committed to the process of linking organizational knowledge and new technology with customer requirements. Initiatives include: the use of videoconferencing to conduct parole hearings to provide assistance to the victims of crime while ensuring effective and open communication with victims. Several training modules are delivered electronically and held regionally to cut the travel cost of attendees.

#### 6.4 How does your day-to-day operation of these processes ensure meeting key performance requirements?

Although day-to-day operation and delivery processes vary by section, instant access to a variety of databases, including OMS, PIC, and AIMS are used by managers and staff to review up-to-date information on the Department's key processes. Information provided by these databases is supplemented in weekly and monthly reports including those that are used to track financial expenditures, offender information, training completion and recertification requirements, and the timeliness of victim notifications. Any problems or challenges with the data systems are identified, placed in a queue, categorized, tracked, and addressed through the Information Technology Section's Help Desk response system (Fig. 6.4-1).

Figure 6.4-1



In addition, the Department's Operations Command Center provides instantaneous status reports and communications via telephones, hand held radios, and e-mail regarding special operations during routine and emergency exercises. This approach provides flexible response and assures that performance requirements are met on an appropriate and timely basis.

Supplementing instant access to database information, the Department's Divisions maintain sets of written policies and protocols that guide managers and employees in their day-to-day operations. The combination of policies, protocols, technology, and regular reviews of performance measures provides significant assurance that day-to-day operations meet key performance requirements.

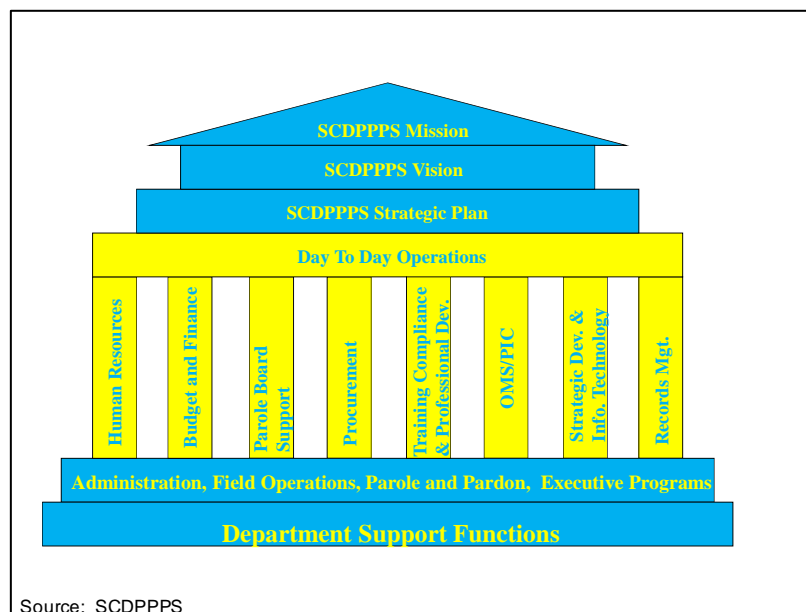
#### 6.5 How do you systematically evaluate and improve your key product and service related work processes?

The two systematic primary components of the Department's approach toward improving service related processes are its Policy and Procedures Review, and the use of cross-functional teams to develop and improve existing processes (Table 5.1-1).

#### 6.6 What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

Key support processes are an integral part of the Department’s mission. The primary support processes are housed in the Administrative Services Division, Office of Executive Programs, and the Paroles and Pardon. Key support processes, and the timeliness of victim notifications, (Figure 6.6-1) include budget and finance, human resources, database management, network support, procurement services, fleet management, records management, training, and Parole Board support. Customer requirements for support processes, as defined in the Department’s Strategic Plan, are to provide a safe environment, timely and accurate response, flexible access, professionalism, and quality in services and products. Service related processes are improved through the Department’s formal design and delivery process methodology, or through informal methods within each division.

**Figure 6.6-1  
Key Support Processes**



**6.7 How does your organization determine the resources needed to meet current and projected budget and financial obligations?**

Programs are developed utilizing a Program Development Model including conducting research to identify best practices for new initiatives. A zero based budget process is implemented and is utilized annually to develop budgets for each division and for the agency as a whole. Historical expenditures and revenues are considered, however, appropriate justification is required for any increase or additional requests for personnel services. Exceptions must be approved by the Director. The Executive Management Team reviews the recommendations for resource allocation and makes decisions based on global Department priorities.

### Category 7 – Results

#### **7.1 What are your performance levels and trends for key measures of mission accomplishment/product and service performance that are important to your customers? How do your results compare to those of comparable organizations?**

The Department’s balanced performance measures yield an effective and comprehensive view of the impact of offender supervision across the state and down to the county and Agent level. These measures include: Offender supervision (Figures 7.1-1 – 7.1-10); Special Operations Operational Participation/Results (Figure 7.1-11), Victim Services results (Figures 7.1-12 – 7.1-14), and Legal Services (Figures 7.1-15 – 7.2-2).

The number of home visits that occurred in FY12 is illustrated in Figure 7.1-1. Policy requires that home visits be conducted based on the level of supervision. This data is captured at the Agent, county, region and state levels, thus allowing first line supervisors as well as the Director to examine how the state is managing this vital contact with offenders.

**Figure 7.1-1  
Offender Supervision Levels**

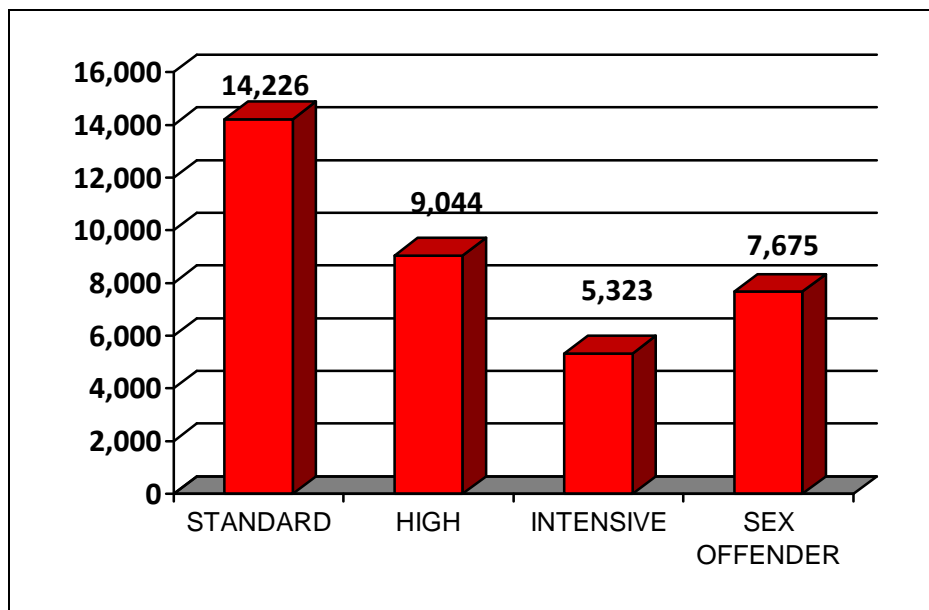
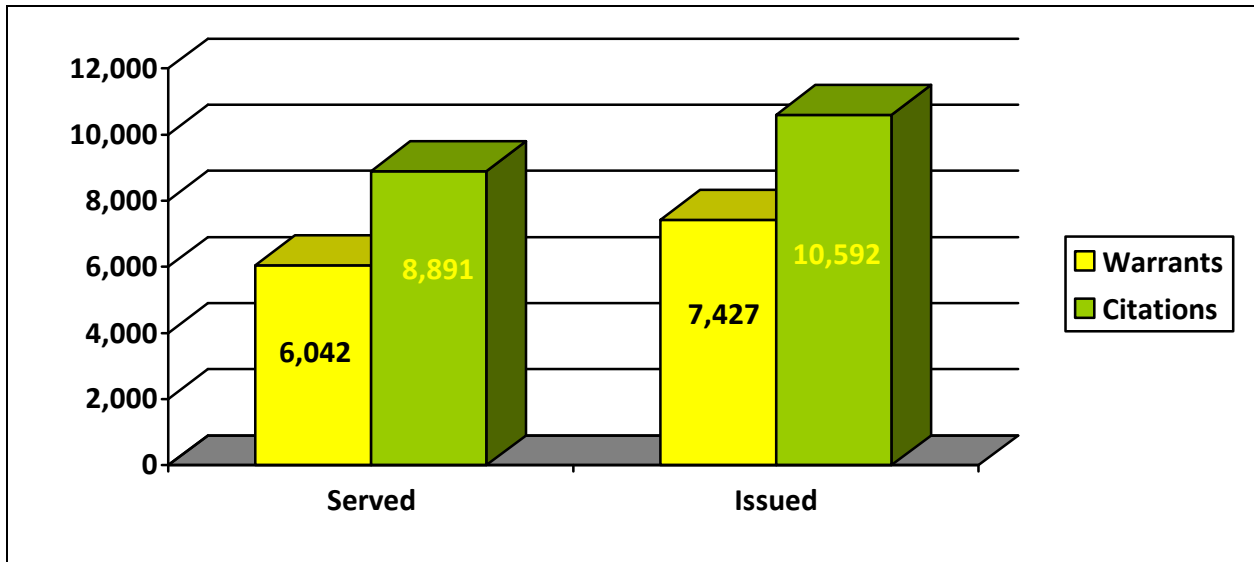


Figure 7.1-2 depicts the number of warrants and citations that were issued and served during FY12. When offenders fail to comply with the conditions of supervision, and do not respond to verbal or written warnings, depending on the seriousness of the violation, a warrant or citation is issued. A total of 14,933 warrants/citations were served. From FY 2010 to FY 2011, there was a reduction in the number of offenders who were admitted to SCDC as the result of Compliance Revocations of 579.

**Figure 7.1-2  
Process Served and Issued**



Applying the Department’s mapping technology to its Sex Offender Management initiative allows the mapping of sex offenders by county (Figure 7.1-3). Additionally, updated copies of the sex offender map are available on the Department’s website.

**Figure 7.1-3**

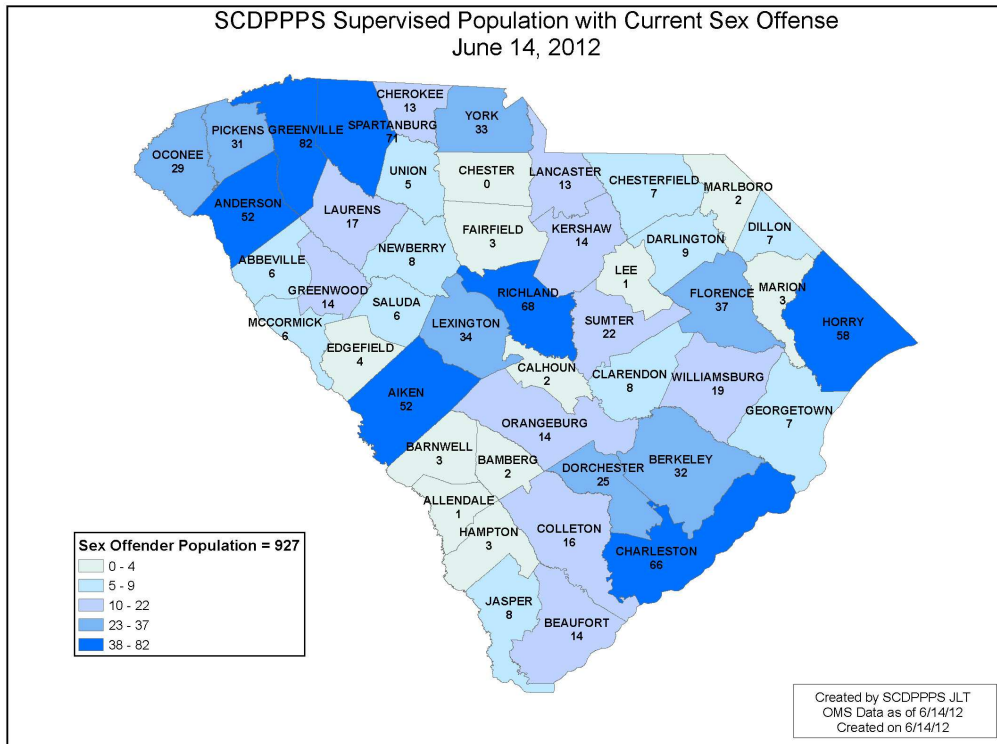
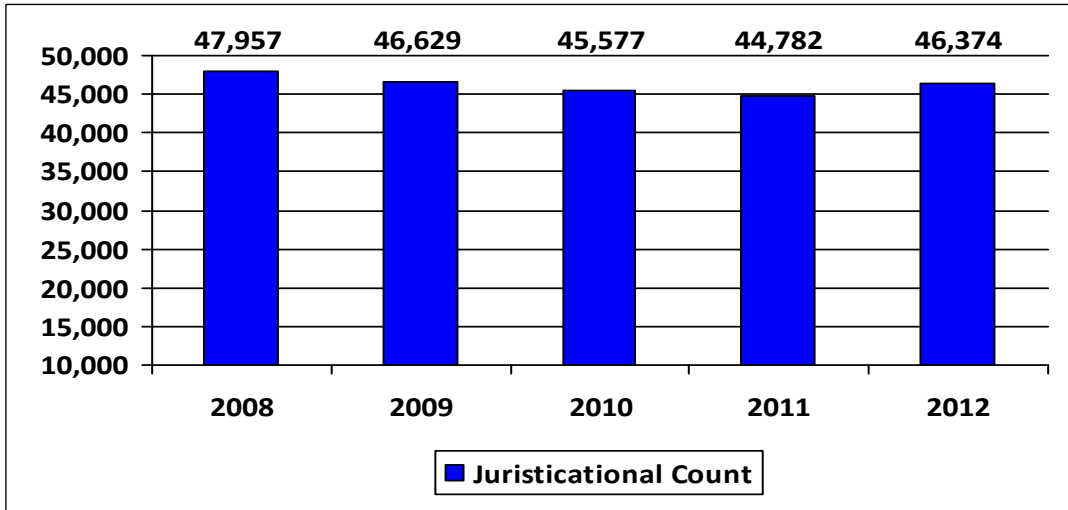


Figure 7.1-3 depicts the number of sex offenders with a current sex offense. The total number of offenders required to register with the South Carolina Sex Offender Registry was 1,254 at the end of FY12. This type of administrative tracking enables the Department to ensure accurate and timely information about sex offenders.

Figures 7.1-4 and 7.1-5 depict the offender population and Agent allocation since 2008.

**Figure 7.1-4  
5 Year Offender Population Trend**



**Figure 7.1-5  
5 Year Agent Allocation Trend**

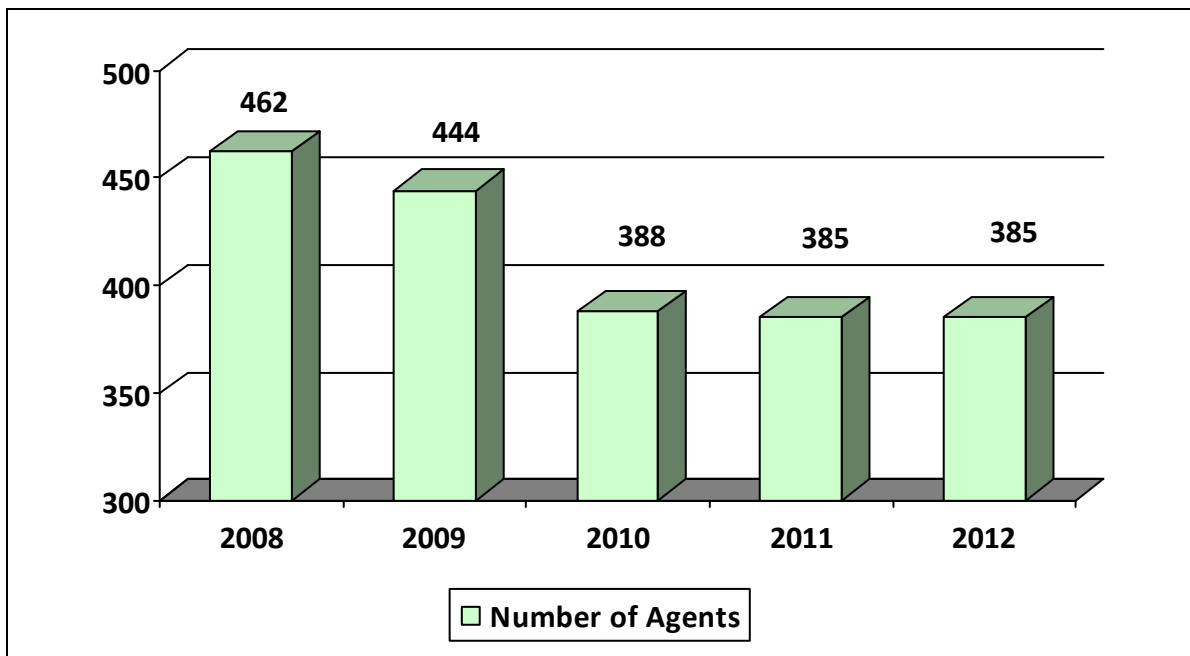


Table.7.1-6 shows admissions by program. The counties of Charleston, Greenville, Richland and Spartanburg account for 34% of all admissions.

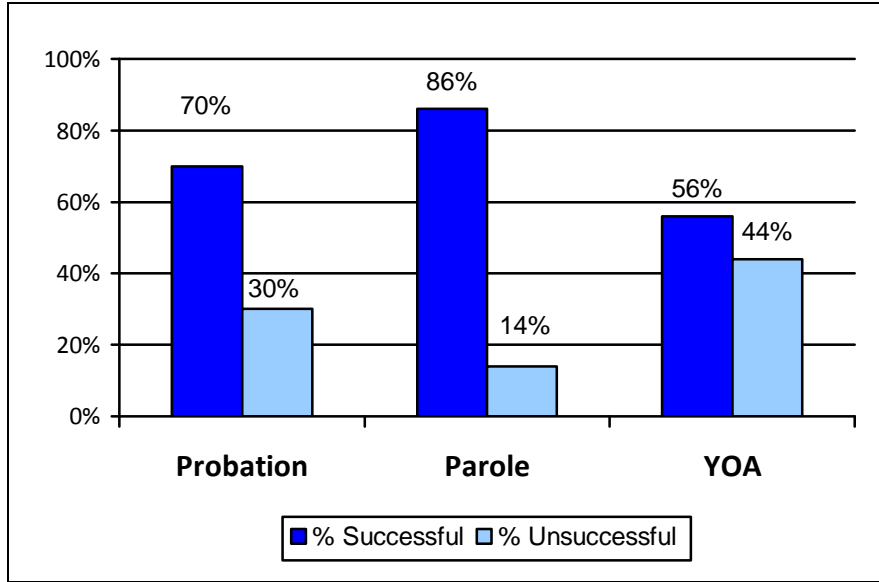
**Table 7.1-6**

<b>FY 12 TOTAL ADMISSIONS BY PROGRAM TYPE</b>							
<b>COUNTY</b>	<b>PROBATION</b>	<b>% PROBATION</b>	<b>PAROLE</b>	<b>% PAROLE</b>	<b>YOA</b>	<b>% YOA</b>	<b>TOTAL</b>
ABBEVILLE	75	90%	5	6%	3	4%	83
AIKEN	378	77%	72	15%	40	8%	490
ALLENDALE	32	70%	2	4%	12	26%	46
ANDERSON	519	84%	69	11%	30	5%	618
BAMBERG	28	61%	9	20%	9	20%	46
BARNWELL	51	73%	10	14%	9	13%	70
BEAUFORT	258	85%	22	7%	22	7%	302
BERKELEY	431	82%	42	8%	51	10%	524
CALHOUN	51	82%	6	10%	5	8%	62
CHARLESTON	1,190	85%	124	9%	80	6%	1,394
CHEROKEE	354	92%	30	8%	2	1%	386
CHESTER	122	80%	19	13%	11	7%	152
CHESTERFIELD	65	67%	19	20%	13	13%	97
CLARENDON	122	83%	18	12%	7	5%	147
COLLETON	146	80%	15	8%	21	12%	182
DARLINGTON	151	72%	29	14%	29	14%	209
DILLON	106	82%	9	7%	15	12%	130
DORCHESTER	279	81%	28	8%	38	11%	345
EDGEFIELD	122	87%	10	7%	9	6%	141
FAIRFIELD	86	86%	11	11%	3	3%	100
FLORENCE	582	82%	78	11%	50	7%	710
GEORGETOWN	188	78%	36	15%	17	7%	241
GREENVILLE	1,858	91%	126	6%	49	2%	2,033
GREENWOOD	261	83%	33	10%	21	7%	315
HAMPTON	61	79%	9	12%	7	9%	77
HORRY	591	77%	137	18%	40	5%	768
JASPER	129	82%	14	9%	15	9%	158
KERSHAW	111	85%	15	11%	5	4%	131
LANCASTER	231	88%	19	7%	12	5%	262
LAURENS	248	87%	28	10%	8	3%	284
LEE	72	79%	10	11%	9	10%	91
LEXINGTON	618	83%	81	11%	46	6%	745
McCORMICK	20	71%	7	25%	1	4%	28
MARION	150	81%	24	13%	12	6%	186
MARLBORO	82	78%	14	13%	9	9%	105
NEWBERRY	163	87%	13	7%	11	6%	187
OCONEE	167	86%	17	9%	10	5%	194
ORANGEBURG	388	86%	41	9%	22	5%	451
PICKENS	453	91%	30	6%	16	3%	499
RICHLAND	788	73%	213	20%	82	8%	1,083
SALUDA	50	82%	4	7%	7	11%	61
SPARTANBURG	1,564	89%	130	7%	61	3%	1,755
SUMTER	363	79%	57	12%	37	8%	457
UNION	156	85%	19	10%	8	4%	183
WILLIAMSBURG	134	83%	17	11%	10	6%	161
YORK	751	84%	108	12%	40	4%	899
TRANSITIONAL	2	3%	51	69%	21	28%	74
STATE TOTAL	<b>14,747</b>	<b>83%</b>	<b>1,880</b>	<b>11%</b>	<b>1,035</b>	<b>6%</b>	<b>17,662</b>
Percentages may not add to 100% due to rounding.							



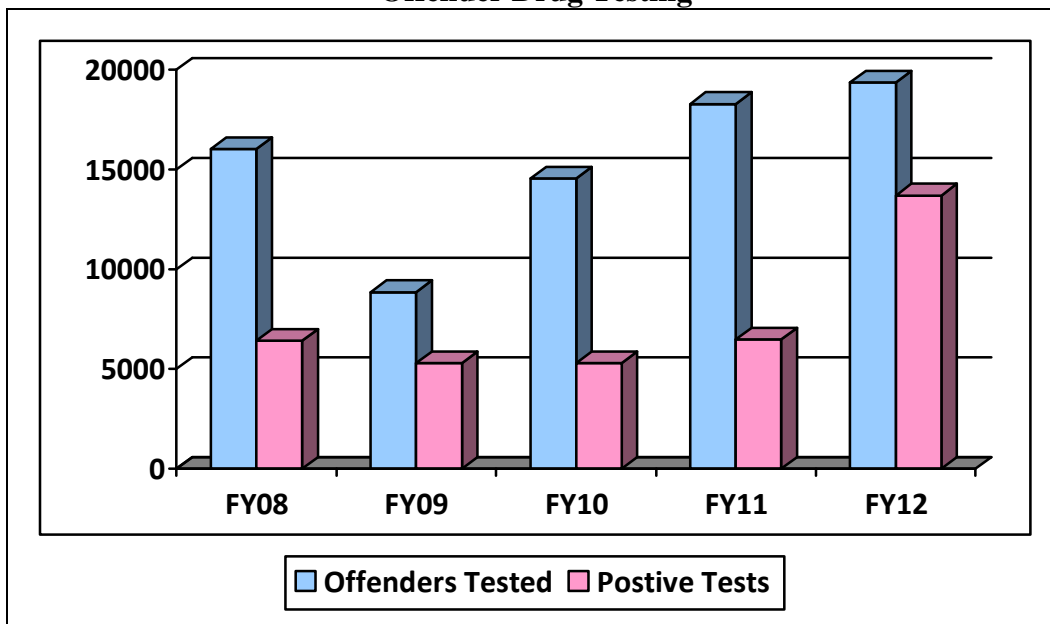
Figure 7.1-7 displays the closure rates based on those same types of supervision.

**Figure 7.1-7  
Closure Rates by Type – FY 2012**



The Department conducts baseline-drug tests on all new admissions. During this fiscal year, 132,315 individual drug tests were conducted on 19,042 offenders. Of those offenders tested, 13,449 were positive for marijuana, cocaine, opiates, amphetamines, benzodiazepines, or barbiturates, which resulted in more than 9621-(treatment referrals and other response actions). Figure 7.1-8 reflects the number of offenders tested and positive results.

**Figure 7.1-8  
Offender Drug Testing**



The Department participated in and assisted with five special operation/security details. The Special Operations Section planned and coordinated the effort for 77 Agents (with a total of 1,855.5 hours worked and 11,825 miles driven in agency vehicles and deployed 53 Agents to 4 hurricane exercises for a total of 437 hours worked and 10,637 miles driven in agency vehicles.

In August, 2011 the State Emergency Operations Center (SEOC) was activated to work with Hurricane Irene. One Agent was deployed for a total of 32 hours and 180 miles driven. The Department activated its internal hurricane plan and placed designated personnel on alert status. Fortunately, Irene did not seriously impact the state so no PPP assets were deployed downrange.

**Table 7.1-9  
FY12 Special Operations Deployments and Exercises**

EVENT	DATE(S)	LOCATION	TOTAL STAFF	TOTAL HOURS	TOTAL MILES
Hurricane Irene	08/22 – 26/2011	Columbia, SC	1	32	180
2011 Governor's Holiday (Christmas) Open House Security Detail Assisted SLED and Bureau of Protective Services	12/05/2011	Columbia, SC	2	9	20
2012 MLK Day Security Detail Assisted SLED and the Columbia PD	01/16/2012	Columbia, SC	12	135	998
Republican Party Presidential Debate Security Detail Assisted SLED and Myrtle Beach, PD	01/16/2012	Myrtle Beach, SC	19	262	1,803
Republican Party Presidential Debate Security Detail Assisted SLED and North Charleston PD	01/19/2012	North Charleston, SC	12	123	1,332
2012 SC Department of Public Safety Hurricane Table Top Exercise	04/24/2012	Columbia, SC	1	6	30
2012 SCEMD SERT Hurricane Table Top Exercise	05/03/2012	Columbia, SC	1	7	21
Governor's Hurricane Table Top Exercise	05/23/2012	Columbia, SC	2	4	45
2012 Myrtle Beach Bike Festival Security Detail Assisted the Myrtle Beach PD	05/24 - 28/2012	Myrtle Beach, SC	32	13,26.5	7,672
2012 SCEMD Hurricane Full Scale Exercise	06/05- 6/2012	Columbia, SC Orangeburg, SC Charleston, SC	49	420	10,541
<b>TOTAL:</b>			<b>131</b>	<b>2,324.5</b>	<b>22,642</b>

The decline in requests for assistance and information by victims (Figure 7.1-10) is primarily attributed to the Office of Victim Services' increased coordination with county solicitors and public education on the parole process through written materials and public presentations.

**Figure 7.1-10**  
**Office of Victim Services Requests for Assistance and Information**

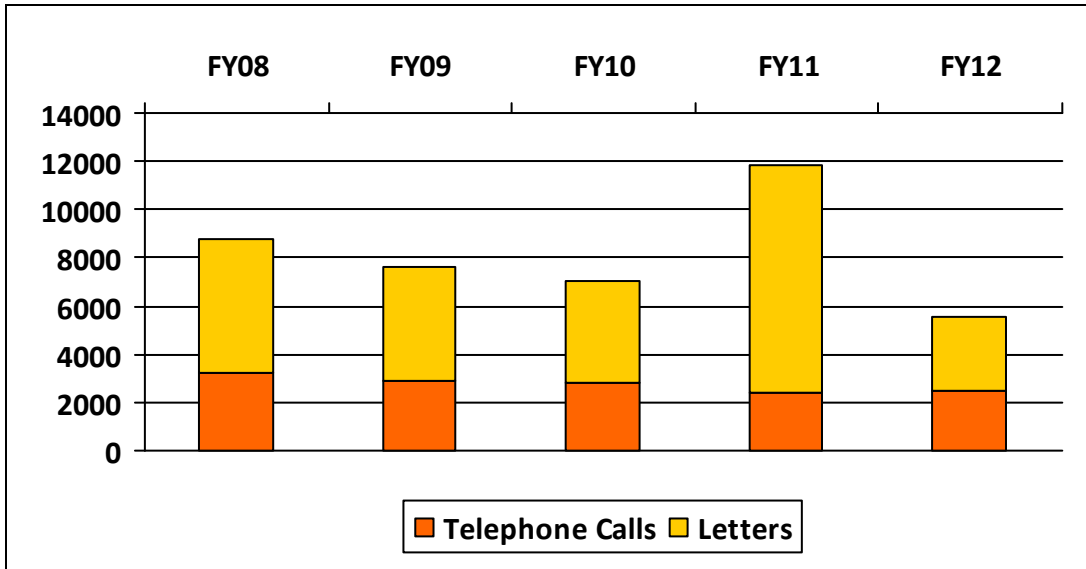


Figure 7.1-11 – provides the trend for receiving victim impact statements and/or victim information. This reflects the Departments' continuous commitment to reaching for victims so that they will be informed about the status of their specific cases.

**Figure 7.1-11**  
**Office of Victim Services 5 Year Trend**  
**Number of Victim Impact Statements and Notification Requests Received**

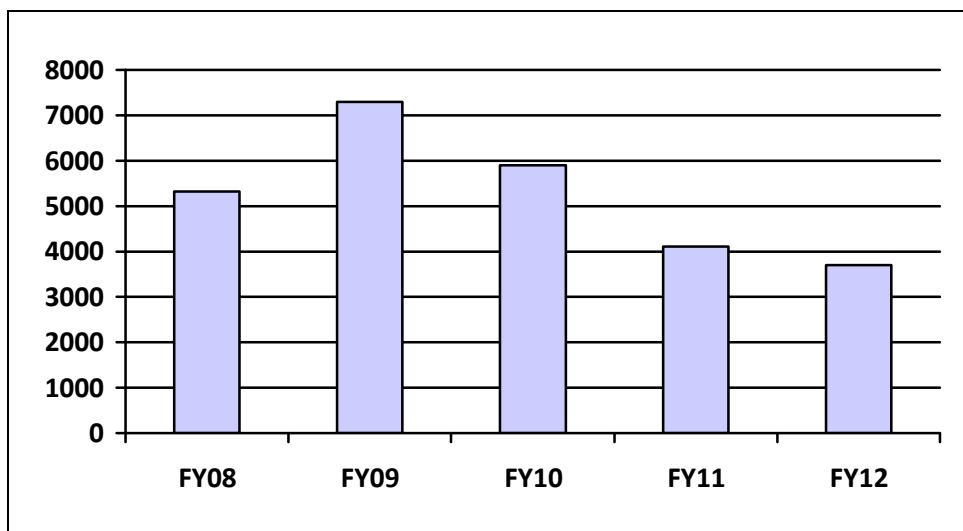


Figure 7.1-12 depicts the impact of victim opposition on parole rejections. The Parole Board heard 3,387 parole cases. Of those cases, 811 were violent and 2,278 were nonviolent. Victims attended 449 hearings, of which the inmate was paroled in only 14 cases.

**Figure 7.1-12  
Parole Hearings with Victim Opposition**

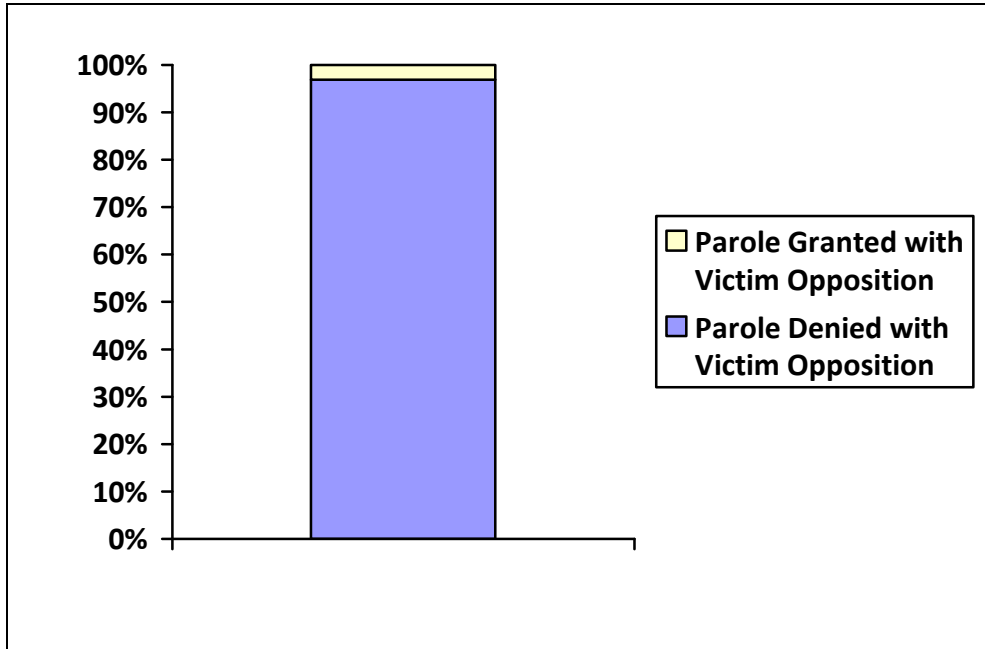
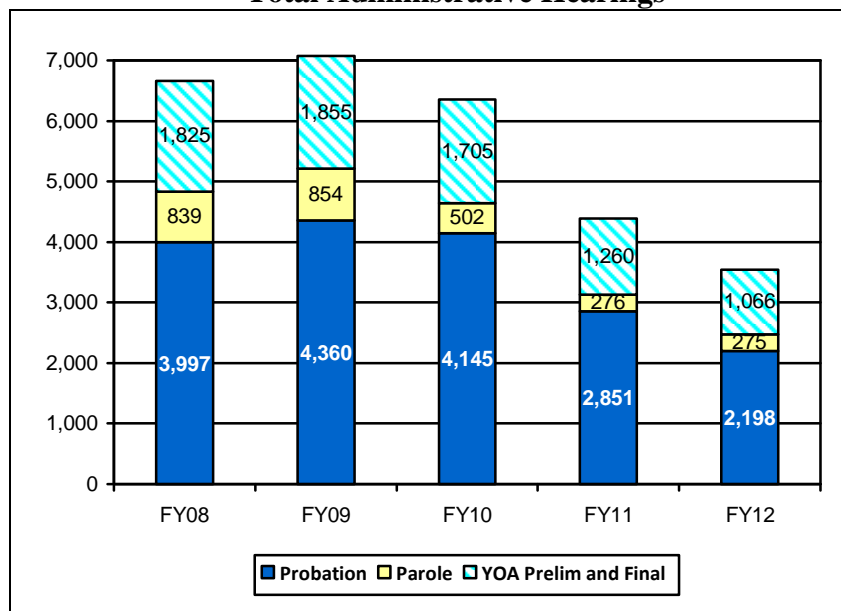


Figure 7.1-13 depicts the types of administrative hearings conducted by the Hearing Section.

**Figure 7.1-13  
Total Administrative Hearings**



During FY 12, there has been a decline in the number of cases heard. The Hearing Section conducted 3,645 Administrative Hearings with 2,391 (66%) being continued under supervision and collected a total of \$378,337.80. These funds were distributed as follows: \$170,900.22 to Supervision Fees, \$44,146.49 in Court ordered fines and, \$163,291.09 in Restitution. Over all case types heard, 66% were continued under supervision while 73% of all probation cases were continued. This has a direct effect on the Courts' workload and admissions into prison. Doing what's needed to keep offenders in the community will make them productive tax payers instead of tax burdens to the citizens of the state. An analysis by type of case:

- 2,198 probation hearing, 1605 continued - 593 recommended for revocation
- 275 parole preliminary hearings, 221 continued- 54 recommended for revocation
- 1,066 YOA parole hearings:
  - 128 preliminary YOA parole hearings,  
62 continued- 66 recommended for revocation
  - 938 YOA final hearings, 149 continued- 519 removed
- 103 Community Supervision hearings, 82 continued- 21 recommended for revocation
- 3 Supervised Furlough hearings, 2 continued- 1 removed

Key customer satisfaction is valued by the Department and the Hearing section. The chain of command is utilized to evaluate current satisfaction or dissatisfaction with the Hearing Section's services. That information is processed to implement additional strategies to improve services.

**7.2 What are your performance levels and trends for the key measures of customer satisfaction and dissatisfaction (a customer is defined as an actual or potential user of your organization's products or services)? How do your results compare to those of comparable organization?**

While the Department provides services to a variety of customer segments, offenders and crime victims, constitute two of the largest groups. Other segments include attorneys, judges, law enforcement organizations, and state government agencies. Customers from the various segments routinely correspond with the Department to seek information or request assistance.

The Office of Victim Services' primary customers are the victims of crime. During FY 12, this office provided information, assistance, and emotional support to 1,257 victims, their family members and friends as they were attending Parole Board hearings. In addition, the office responded to 2,471 phone calls, 98 % of which were returned within 24 hours of initial contact. Victim calls are typically in response to victim notifications re: initial receipt of victim information/victim registration and parole hearings. In addition, victims often telephone regarding restitution. The staff notified in writing 9,473 victims of upcoming Parole Board hearings to provide them the opportunity to attend these sessions.

To assist OVS in assessing their services to victims at parole hearings, surveys are mailed to a random sampling of opposition in attendance to assist in evaluating our services and determine areas in need of improvement. Table 7.2-2 depicts the survey results. When surveyed, 49 respondents provided information on the section's performance. Respondents made added comments such as: "The staff was great!" "The staff was very polite" "Don't change anything..." "Staff and Board make experience less stressful."

The Office of Victim Services operates two videoconferencing sites. All victims responding to survey indicated that it is extremely convenient to attend the sites rather than having to make the trip to Columbia. The results of the survey are discussed with Victim Services Coordinators for continuous improvement in processes and practices.

**Table 7.2-2**

<b>Victim Services Survey Results (Partial Sample of Questions Asked)</b>		Based on 5 point Likert Scale 1 = Strongly Disagree 2 = Disagree 3 = Neutral 4 = Agree 5 = Strongly Agree  Note: For this question the most favorable response would be a "1" on the Likert Scale, as opposed to a "5."
Received notification letter	4.87	
Received helpful directions	4.79	
Was greeted promptly and courteously	4.85	
Hearing process was explained to me	4.75	
Questions were answered by staff	4.67	
Waited longer than expected (see Note)	2.48	
Treated courteously and professionally	4.73	
Given chance to speak to Parole Board	4.89	

**7.3 What are your performance levels for your key measures on financial performance? Include measures of cost confinement, as appropriate.**

The Department has finite resources to bring to bear on the challenges it faces in conducting its mission critical activities. Financial data is continuously reviewed. Figure 7.3-1 shows the total dollar amount of restitution payments collected and disbursed to victims. The Department disbursed \$5,861,794 to victims during FY12. This is a total disbursement of \$81,985,415 in restitution payments to victims since FY 1999.

**Figure 7.3-1**

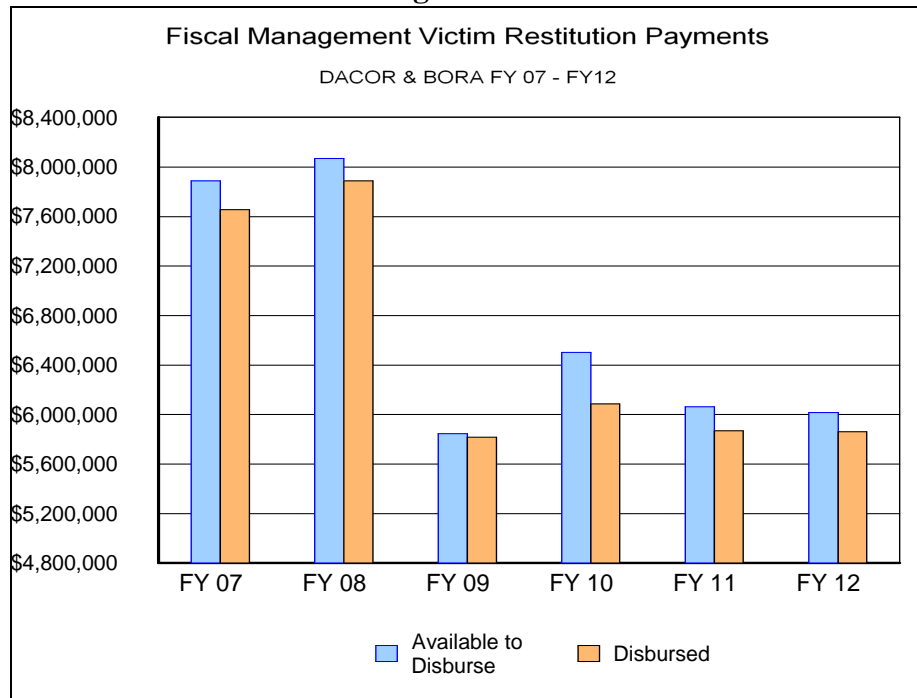
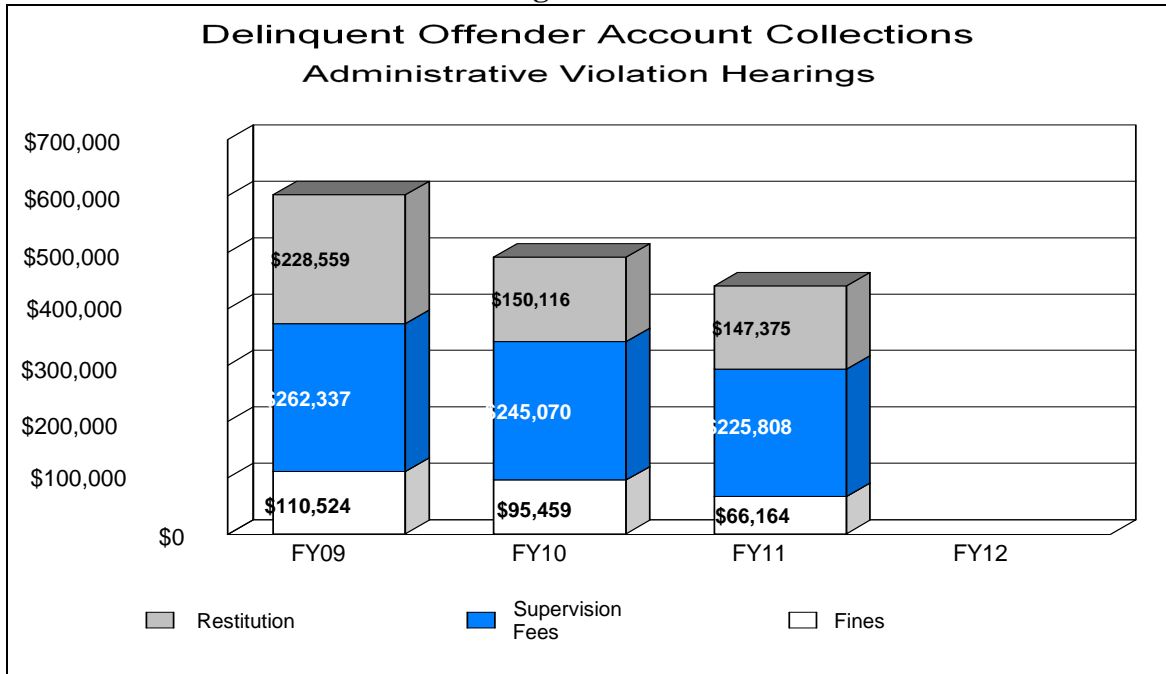


Figure 7.3-2 shows fees collected during administrative violations hearings. Offenders pay fees and fines as an alternative to revocation. The decrease in monies collected was due, in part, to the decrease in hearings conducted because of attrition of hearing officers.

**Figure 7.3-2**



The Fiscal Management section submitted 9,918 arrearage accounts to South Carolina Department of Revenue for collection during FY11 as part of the Setoff Debt Collection program. The Department received payment on 949 accounts. Figure 7.3-3 reflects collections since 2006.

**Figure 7.3-3  
Setoff Debt Collections Summary**

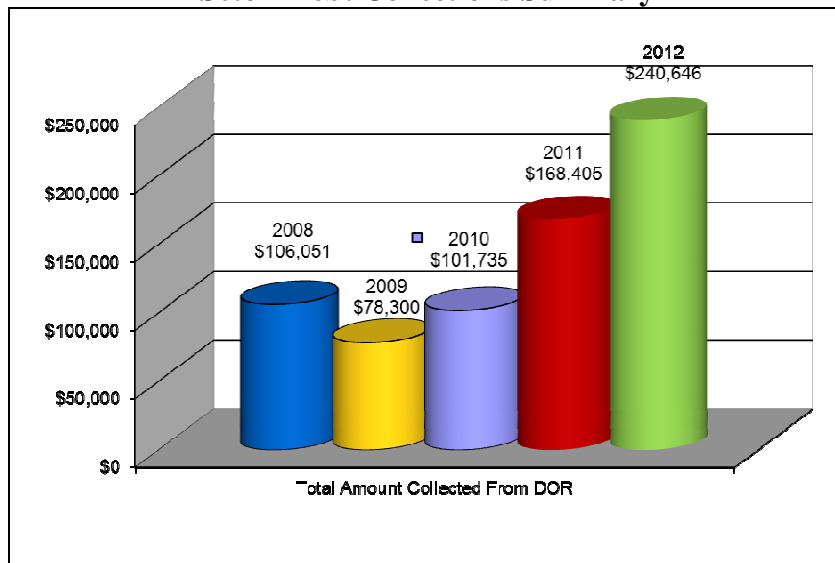


Table 7.3-4 shows the cost to supervise offenders.

**Table 7.3-4**

Daily Supervision Costs FY 2011	
Standard Supervision	\$2.95
High Supervision	\$3.22
Intensive Supervision	\$4.97
Intensive Supervision w/ Electronic Monitoring	\$5.91
Sex Offender Supervision	\$8.44
Sex Offender Supervision w/ GPS	\$17.33
Offenders on Track	\$14.70

**7.4 What are your performance levels and trends for the key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, workforce climate including workplace health, safety, and security?**

The Department considers employee turnover an important measure of employee satisfaction (Figure 7.4-1). Specific measures reviewed include employee turnover by classification, Agent turnover by classification, Agent turnover by reason, non-Agent turnover by reason.

**Figure 7.4-1  
Classification Turnover**

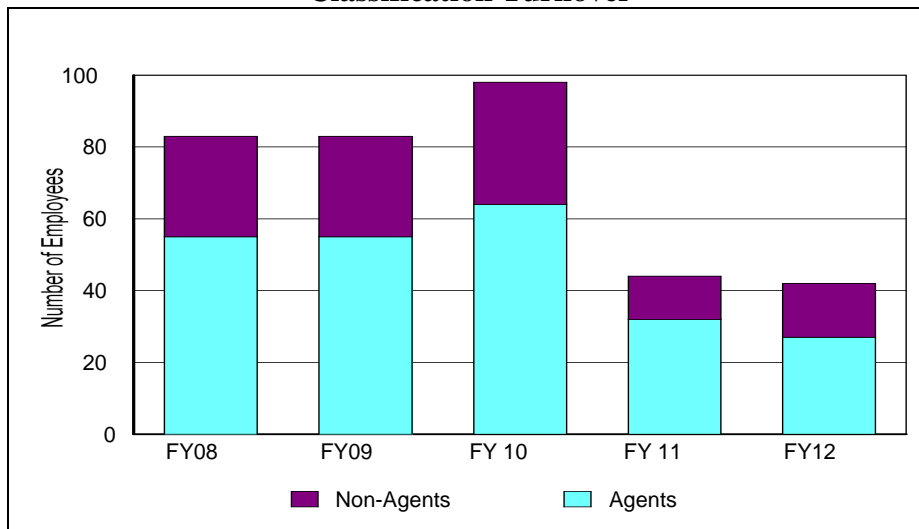
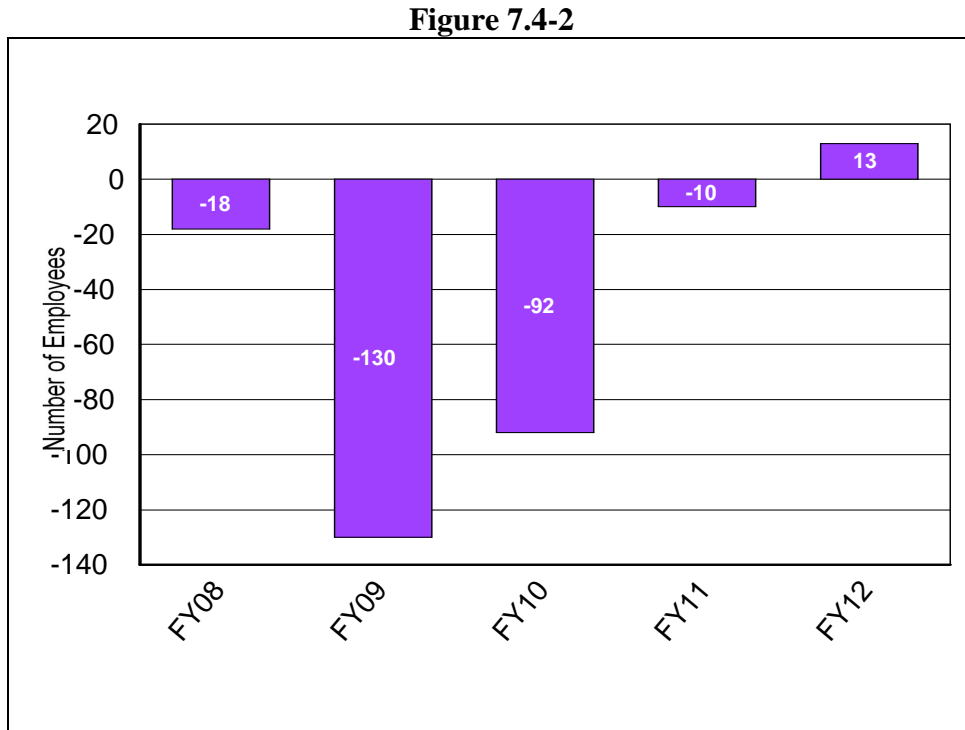




Figure 7.4-2 illustrates the change in staff for the last five fiscal years.



### **Workplace Health, Safety, and Security**

The Department’s Human Resources Office is diligent in promoting healthy living for employees. Staff receives announcements for local and statewide health screenings, fitness activities as well as a standing “To Your Health” article in the Department’s newsletter.

Employee Safety is paramount to the mission of the Department. Safety Plans are displayed and periodic fire drills are conducted as well as office inspections. The Special Operations Section is responsible for compiling a list of CPR and First Aid certified employees.

All county office locations have rigorous security procedures. In addition, a plan to secure the Department’s Central Offices has been developed and will be implemented in Fiscal Year 2013.

### **Employee Training Results**

Training Compliance and Professional Development (TCPD) continues to focus on the completion and maintenance of the Class-1 Law Enforcement certification for all targeted staff. At the end FY12, 389 employees were C-1 certified.

During FY12, provided or recorded 350 training sessions. Of these, 1,139 surveys “End of Course” surveys were completed. Responses were as follows: 88% of the respondents rated the courses as either “Excellent,” or “Above Average;” 99% either “Strongly Agreed,” or “Agreed” that the teaching methods used in class facilitation improved their learning, and 98% “Strongly Agreed,” or “Agreed” that the courses helped to increase their knowledge on

the subject matter; and 98% of respondents stated that they would recommend these courses to others.

**7.5 What are your performance levels and trends for the key measures of organizational effectiveness/operational efficiency, and work system performance (these could include measures related to the following: product, service, and work system innovation rates and improvement results; improvement to cycle time; supplier and partner performance; and results related to emergency drills or exercises)?**

A major component of the Department's organizational effectiveness is linked to its Director, Executive Management Team and the implementation of the Strategic Plan. Key mission requirements, special operations, and customer service is placed at the forefront. These key customers and services provided are noted in Tables A-2 and A-3. The Department's Strategic Plan contains timelines and action items that continuously address organizational improvement initiatives with process owners to measure effectiveness and efficiency. For example: 100% of PPP staff now has the ability to securely access essential information and data from remote locations, using Department provided notebooks, while in the conduct of daily operations. This functionality alone will improve work productivity and performance.

**7.6 What are your performance levels and trends for the key measures of regulatory/legal compliance and community support?**

The Department did not have any regulatory violations or significant findings by external auditors during the fiscal year.

## **Glossary of Acronyms**

ACT	Agent Career Track
ADA	American Disabilities Act
AIC	Agent in Charge
AIMS	Department Information Management System
APPA	American Probation and Parole Association
CASA	Court Appointed Special Advocates
CODE	Connecting Our Deployed Employees
COMPAS	Correctional Offender Management Profiling for Alternative Sanctions
DACUM	Design a Curriculum
DARR	Data Analysis to Reduce Recidivism
DNA	Deoxyribonucleic Acid
DPS	Department of Public Safety
EBP	Evidence-Based Practices
EMT	Executive Management Team
EPMS	Employee Performance Management System
GED	General Equivalency Degree
GOC	GPS Operations Center
GPS	Global Positioning Satellite
HBV	Hepatitis B Virus
HR	Human Resources
ICAOS	Interstate Commission for Adult Offender Supervision
ICOTS	Interstate Compact Offender Tracking System
IIDP	Ignition Interlock Device Program
ISC	Interstate Compact
JAG	Justice Assistance Grants
NCIC	National Crime Information Center
NEOT	New Employee Orientation Training
NLETS	National Law enforcement Telecommunications Systems
OMS	Offender Management System
OSHA	Occupational Safety and Health Administration
PIC	Parole Information System
PEP	Parole Employment Program
PPP	Probation, Parole and Pardon
SCDPPPS	South Carolina Department of Probation, Parole, and Pardon Services
SCDC	South Carolina Department of Corrections
SCEIS	South Carolina Enterprise Information System
SLED	State Law Enforcement Division
SPICE	Self Paced In-Class Education
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TAMI	Training Announcements and Monthly Information
OSHA	Occupation, Safety, and Health Administration
TB	Tuberculosis
YOA	Youthful Offender Act