



*State of North Carolina
Department of Correction*

Probation Officer's Dashboard

2009 NASCIO Recognition Award Nomination

Category: Digital Government: Government to Government (G to G)

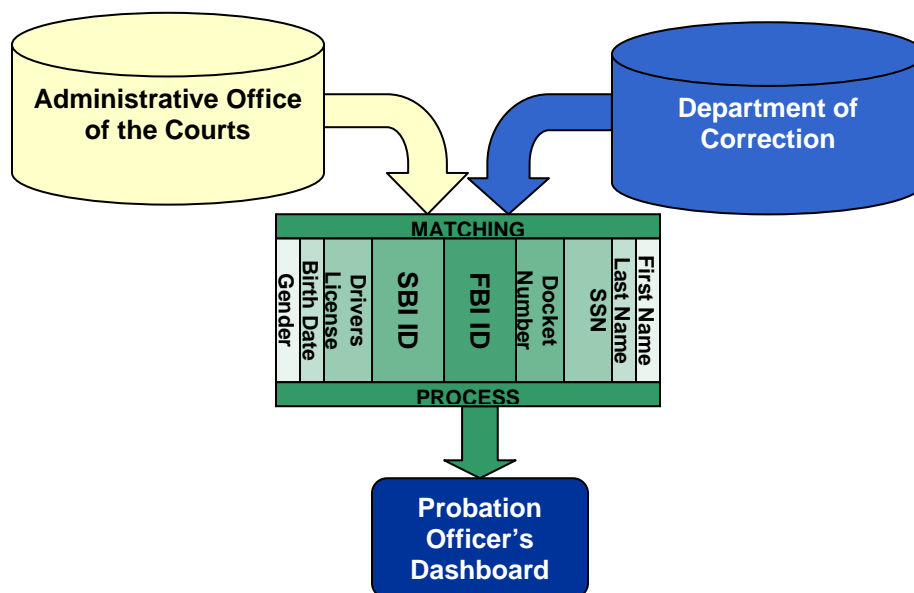
Section B: Executive Summary

In early 2008, two North Carolina college students, one of whom was the student body president, were murdered in separate events, several weeks apart. As the investigation progressed, it was alleged that the two crimes were committed by the same individuals. The suspects were probationers who, during the time frame the murders were committed, were having multiple, escalating encounters with the criminal justice system. Law enforcement, Courts, Juvenile Justice, and adult Corrections all had pieces of the puzzle relating to the offenders, but none had the entire picture. It became apparent that improved sharing of this knowledge might have resulted in a better outcome, possibly with lives being saved.

A particularly critical part of the problem appeared to be the link between Courts and Corrections (probation officers, prisons, etc.). If probation officers could have prompt knowledge of new interactions between their probationers, law enforcement, and/or Courts, they could assemble a better picture of behavior and take rapid, appropriate action.

Probation officers are also responsible for tracking absconders—individuals on probation who have not been in contact with their probation officer and thus have an outstanding warrant for probation violation(s). North Carolina has close to 14,000 absconders with whom officers have lost contact. Having immediate information from Courts on any criminal activity in any North Carolina county, with updated address and license tag information, could help in finding these offenders.

The Probation Officer's Dashboard makes this connection between the Courts and Corrections. The Dashboard accomplishes this by employing an innovative, cost-effective link between web applications and existing legacy mainframe applications, and in so doing, improves public safety.



Section C: Description

In early 2008, two North Carolina college students, a graduate student at Duke University, and the student body president at UNC-Chapel Hill, were murdered in separate events, several weeks apart. As the investigation progressed, it was alleged that the two crimes were committed by the same individuals. The suspects were probationers who, during the time frame the murders were committed, were having multiple, escalating encounters with the criminal justice system. Law enforcement, Courts, Juvenile Justice, and adult Corrections all had pieces of the puzzle relating to the offenders, but none had the entire picture. In the wake of the college student murders and subsequent published statistics about serious crimes committed by probationers, a root cause discussion was conducted by North Carolina government officials at the highest level. Improving the link between Courts and Corrections emerged as a critical need. The North Carolina General Assembly appropriated \$140,000 and directed Courts and Corrections to work together to build a link to provide probation officers with improved information that would allow officers to immediately identify individuals who were violating the terms of their probation.

Making this link was not an easy task. Fingerprinting is the only way of absolutely identifying an individual, and in North Carolina misdemeanor encounters with law enforcement (such as traffic stops) do not require fingerprinting. Unlike law-abiding citizens, offenders have an interest in obscuring their true identity and often do, so the names, addresses, and birth dates that they provide to law enforcement are not always reliable. Court system data is identified by Court-case numbers, not by individuals. By contrast, Corrections keep their records based on individuals. All of this makes it very difficult to match Court information to the individual offenders known to Corrections.

Other factors added to the difficulty of this task, including a limited budget and limited time; the college student murders had generated a great deal of publicity and public outcry, so there was a need for quick development and implementation. Although there were vendors who were receiving public Court data and Corrections data and offering potential solutions, those vendors did not have access to non-public information, such as unserved warrants, which was critical for the project.

Earlier in the summer, the technical team at the Department of Correction (DOC) had created a caseload view for probation officers. This caseload view, or roster, shows each officer's list of offenders with pictures, home address, work information, and supervision information. It also notes key activities associated with the offender, such as when the last contact was made, when the home and job were last visited, the date of the last drug test, gang information, etc. There are multiple filters for the officer to pull up a list of the offenders they need to take action on, as well as multiple ways to sort their case list. This caseload view was a necessary first step in order to later superimpose the Court matches to this view for the probation officers.

In August 2008, DOC formed a team to work with Courts to develop a process to receive the Court data nightly and match the Court data with the individuals in the Corrections database. With aggressive expectations of completing this large project in six months or less, the project

team divided the tasks so as to work concurrently to speed up the development time. One developer built the new tables, another developer worked on the load programs, another worked on the complex matching routines, another on the web view of the data, and one project manager kept everything moving and continued fine-tuning the business rules with the Courts.

An online training video was created to facilitate the statewide roll-out of the Probation Dashboard System. In less than three months, the Dashboard System went into production, on October 30, 2008, both ahead of schedule and under budget. This system involved a multi-tiered Java web application inter-operating with existing legacy mainframe applications. The security of data is ensured using Public/Private Key technology to encrypt selected private data, combined with login security utilizing existing mainframe RACF ID and transaction profiles.

Probation Officer's Roster View

PPO Roster Review List
 For: SJE2 -SMITH, JOHN E.

*(Note 1: ** = past due) (Note 2: * = Not Complete) (Note 3: Only active CTG/STG levels are shown.)*

AOC Alerts: There are 13 offender(s) with a total AOC Alerts of **New: 30** and **Investigating: 0** and **Data Changed: 3**.

Only show offenders with:

CTG/STG
 Pending/Requested Violations
 Courtesy For
 Courtesy By
 Curfew Check
 Drug Test
 Scheduled Term Date Past Due
 Unavailable
 Incomplete/Missing JOSI
 Victim Notification
 Warrantless Search
 Surveillance For
 Surveillance By
 Absconder
Risk Level: High
 Moderate
 Low
AOC Alerts: New
 Investigating
 Data Changed
(Note: If you do not specify a filter, then all offenders will be returned.)

Limit to Offenders With Case Expiration: Min Expiration Max Expiration

Show Image?: Yes No

Sort By: **Sort Direction:** Ascending Descending

Redisplay With Above Filter or Sort Criteria

[Create PPO Roster Review List Report](#)

Row Count/ AOC Alerts	DOC Number Offender Name Most Recent Address Phone/Zone Date of Birth Courtesy (PPO) Surveillance (PPO)	Begin Supervision Date Scheduled Term Date Punishment Type Supervision Level Case Expirations	Next Office Contact Last OMC Last Home Contact Last Field Contact	Last Case Review/Type Last Financial Oblig. Check Last Criminal Record Check Last Curfew Check	Items of Note
 1 New(10) Inv(0) Chg(0)	9093374 View Contact Info DOE, MARY JAHE 123 FRONT DRIVE HIGH POINT, NC 27260 Phone: (336)444-8888 Zone: 004 DOB: 01/21/1972 View Narratives Add New Narrative	Begin Date: 08/15/2008 Term Date: 08/15/2010 Type: INTERMEDIATE SS Level: IMD LVL II View Case Expirations 08/15/2010 (1)	Next OC : Last OMC : 02/17/2009 Last HC(1): 03/10/2009 (TUE) Last HC(3): 05/05/2009 (TUE) Last FC : 02/09/2009	Last CR: 03/25/2009 - VIOLATION STAFFING Last FMS: 02/17/2009 Last CRC: 04/17/2009 Last CC: 03/26/2009	JOSI (Completed) Risk Level: Moderate 2 Pend Req Violations: Hearing: 04/13/2009 10:00** Hearing: Not scheduled Last WS: 09/25/2008 Last DT: 02/17/2009 POS
 2	9099491 View Contact Info JOHNS, JAMES A. 100 E. MAIN AVE. HIGH POINT, NC 27260 Phone: (336)123-4567 DOB: 08/12/1986 View Narratives Add New Narrative	Begin Date: 09/03/2008 Term Date: 03/14/2010 Type: D/W Level: IMD LVL II View Case Expirations 03/02/2010 (1) 03/14/2010 (1)	Next OC: 06/03/2009 08:15 Last OMC : 05/04/2009 Last HC(1): 03/19/2009 (THUR) Last HC(2): 04/28/2009 (TUE) Last FC : 01/13/2009	Last CR: 12/19/2008 - INITIAL CASE REVIEW Last FMS: 05/04/2009 Last CRC: 05/04/2009	JOSI (Completed) Risk Level: Low 3 Pend Req Violations: Hearing: 06/19/2009 10:00 Hearing: 01/13/2009 08:30** Last DT: 05/04/2009 NG*
 3 New(2) Inv(0) Chg(0)	9992587 View Contact Info SMITH, JOSEPH 999 EAST STREET HIGH POINT, NC 27260 Phone: (404)777-2222 Phone 2: (336)888-5555 DOB: 3/17/1966 View Narratives Add New Narrative	Begin Date: 01/09/2007 Term Date: 04/08/2012 Type: INTERMEDIATE SS Level: IMD LVL II View Case Expirations 05/07/2011 (1) 04/08/2012 (1)	Next OC: Last OMC : 03/26/2009 Last HC(1): 04/23/2009 (THUR) Last FC : 04/24/2008	Last CR: 04/16/2009 - VIOLATION STAFFING Last FMS: 03/26/2009 Last CRC: 04/09/2009 Last CC: 07/12/2007	1 Pend Req Violations: Hearing: 06/15/2009 10:00 Last WS: 04/19/2009 Last DT: 01/26/2009 NEG

When the officers log on to their new caseload view, the names of any offenders on their caseload who had some form of criminal activity the night before will appear in red to alert the probation officer. The officer can then verify the match and view all of the Court information. After the officer addresses this new alert, the red will disappear. Audit trails ensure the timeliness of addressing these alerts.

Offender Court Alert Summary

Found 10 alerts matching filter criteria Displaying matches 1-10

AOC Case Number/ CFJ Case Number	AOC Process/ Alert Status/ Alert Status Date	Offense Date/ Offense Code/ Offense Desc	Offense Type/ Penalty Class	Date/Time Last Update/ Staff of Update
390 08CRS051002	ORDER FOR ARREST (UNSERVED) NEW 02/10/2009	04/20/2008 2321 FELONY LARCENY	FELONY	02/10/2009 09:09 AOC
Caution: This is an unserved process. Unserved processes are confidential. Please contact issuing law enforcement agency prior to discussing with offender.				
AOC Matching Data FIRST NAME = MARY LAST NAME = DOE GENDER = F BIRTH DATE = 01/21/1972 SOCIAL SECURITY NUMBER = 123456789 DRIVERS LICENSE = NC8777777				
390 08CR051811	WARRANT (UNSERVED) NEW 04/02/2009	02/03/2009 5310 RESISTING PUBLIC OFFICER	MISDEMEANOR	04/02/2009 12:19 AOC
Caution: This is an unserved process. Unserved processes are confidential. Please contact issuing law enforcement agency prior to discussing with offender.				
AOC Matching Data FIRST NAME = MARY LAST NAME = DOE GENDER = F BIRTH DATE = 01/21/1972 SOCIAL SECURITY NUMBER = 123456789 DRIVERS LICENSE = NC8777777				
480 08CR105362	ORDER FOR ARREST (SERVED) NEW 01/26/2009	10/20/2008 2322 MISDEMEANOR LARCENY	MISDEMEANOR	01/26/2009 10:21 AOC
AOC Matching Data FIRST NAME = MARY LAST NAME = DOE GENDER = F BIRTH DATE = 01/21/1972 SOCIAL SECURITY NUMBER = 123456789 DRIVERS LICENSE = NC8777777				

Click for Detail

Offender Court Alert Detail

Show Case History Show Events

AOC's Case Information

Caution: The status for this alert is: **NEW** which means it has not yet been verified as belonging to this offender.

The computer matched this AOC Data based upon:
FIRST NAME = MARY LAST NAME = DOE GENDER = F BIRTH DATE = 01/21/1972 SOCIAL SECURITY NUMBER = 123456789 DRIVERS LICENSE = NC8777777

Caution: This is an unserved process. Unserved processes are confidential. Please contact issuing law enforcement agency prior to discussing with offender.

AOC Case Number:	390 08CRS051002	Case County:	DAVIE
Warrant Number:	22051002	Arrest Number:	
AOC Process:	ORDER FOR ARREST (UNSERVED)	Issued Date:	06/03/2008
WARRANT Date Served:	06/11/2008	Returned Unserved Date:	
Officer(s):			

AOC's Court Information on Offender

Arrest Date:	06/11/2008	Probable Cause Date:		Motions Pending:	
Offense Time:		Arraignment Date:		Motions Pending Date:	
Trial Date:	01/26/2009	Indictment Date:	09/08/2008	Bond Type:	SECURED
Court Room No.:	0002	Offense Disposed Date:	09/08/2008	Bond Amount:	\$ 9000
Court Session:	MORNING	Reinstatement Code:		Cash Bond Forfeiture Date:	
Court Location for Guilford:		Victim Rights ?:		Domestic Violence ?:	
Waive Court Appointed Attorney?:					

Miscellaneous Information

Vehicle Type:	Incident Road/Hwy:	Accident Type:
Vehicle License:	Vehicle License State:	
Blood Alcohol:	Speed:	Speed Zone:

Miscellaneous Dates

Order for Arrest:	01/29/2009	Probation Violation:	
Order to Show Cause:		Order Of Forfeiture:	
Called and Failed:	01/26/2009	Complied Failure to Comply:	
Failure to Comply 20 Day:		Ninety Day Failure:	
Limited Driving Privileges Effective:		Non-Motor Vehicle Failure:	
Motor Vehicle Failure to Appear:		Motor Vehicle Failure to Appear Completion:	
Community Service Completion:		Community Service Completion Hours:	
Community Service License Revocation:		Civil Revocation Effective:	

AOC's Offense Information

01	Charged: 2321 - FELONY LARCENY 14-72(A) Charged Offense Type: FELONY Date: 04/20/2008 Arraigned: 2321 - FELONY LARCENY 14-72(A) Arraigned Offense Type: FELONY Date: 04/20/2008	Convicted: Convicted Offense Type: Court Type: Plea: Verdict: Penalty Class:	Disposition: SUPERSEDING PROCESS/INDICTMENT Disposition Date: 09/08/2008 Bound Over To Superior Court: 09/08/2008
51	Charged: 2321 - FELONY LARCENY 14-72(A) Charged Offense Type: FELONY Date: 04/20/2008 Arraigned: 2321 - FELONY LARCENY 14-72(A) Arraigned Offense Type: FELONY Date:	Convicted: Convicted Offense Type: Court Type: Plea: Verdict: Penalty Class:	Disposition: Disposition Date: Bound Over To Superior Court: 09/08/2008

One major concern of the project team was to avoid having the matching routines generate a large number of false positives. The Court system sends 20,000 to 30,000 cases nightly that are potential matches. The officers carry large caseloads, and if the system added to their daily tasks due to erroneous “matching,” the tool would be poorly received. Despite the difficulties of performing these matches accurately for the reasons given earlier, the Dashboard system has been able to deliver a “true” match rate of over 99%. The matching routine has been a huge success and has helped identify data that was incorrectly keyed.

Section D: Significance

Since going into production in October 2008, this new tool has enabled probation officers to see, on a daily basis, any new encounters between law enforcement and their offenders. The tool highlights which offenders on their caseload have new events. Officers can drill down on the event to see the details. If the new event is an encounter with law enforcement that violates the conditions of probation, then the officer can take immediate and appropriate action.

North Carolina has nearly 14,000 offenders that officers have lost contact with (absconders) and the new alerts are helping find the missing offenders. This alert system is also capturing traffic stops and recording current addresses and license tag numbers, which is giving probation officers more information in trying to capture these missing offenders.

The tool is a time saver for DOC’s probation officers, who were formerly limited to performing criminal record checks in a separate Court system and searching county by county for each of their offenders. With caseload sizes that sometimes surpass 100 offenders, criminal record checks were very time consuming and consequently sometimes were only performed monthly. Before the creation of the Dashboard, officers did not learn of new charges or new Court activity for offenders on their caseloads until potentially well after the fact. Now officers are no longer required to log into a separate Court system. When officers access their current caseload roster in the DOC system, they automatically receive an alert for any of their offenders that possibly had some criminal activity statewide. The Dashboard provides timely information regarding offender behavior and improves officer effectiveness; time that was previously spent in the office doing research can now be spent in the field performing more direct supervision of the offenders.

DOC has an online feedback system that allows officers to provide comments and suggestions. The feedback on the new Dashboard system has been extremely positive.

Section E: Benefits of the Project

This project provides multiple benefits for multiple stakeholders:

- Most importantly, public safety is improved as more probation violators and absconders are identified before they have a chance to commit additional crimes.

- The efficiency and the capabilities of the probation officers are increased because the system provides:
 - Single-page view of officer caseload information, which easily identifies areas that require attention
 - Additional address records from the Courts to check for offenders who have absconded supervision
 - Traffic citation information, which alerts officers to possible driving and/or curfew violations
 - Electronic photos of offenders, which provide recognition aid for officers who perform courtesy supervision on behalf of other staff
 - Opportunities for further uses of Court data to avoid re-keying data into the mainframe legacy system
 - Information on newly disposed court cases that may require additional supervision and/or incarceration