



# Richmond City Council

*The Voice of the People.*

*Richmond, Virginia*

## OFFICE OF THE CITY AUDITOR

REPORT # 2013-08

AUDIT

Of the

**Department of Justice Services**

**March 2013**

## OFFICIAL GOVERNMENT REPORT

*Richmond City Council*

### **OFFICE OF THE CITY AUDITOR**

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*Committed to increasing government efficiency, effectiveness,  
and accountability on behalf of the Citizens of Richmond.*

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# Richmond City Council

The Voice of the People

Richmond, Virginia

## Office of the City Auditor

### Executive Summary

March 26, 2013

The Honorable Members of the Richmond City Council  
The Honorable Mayor Dwight C. Jones

#### **Subject: Department of Justice Services**

The City Auditor's Office has completed an audit of the Department of Justice Services (RDJS). The auditors conducted this performance audit in accordance with generally accepted government auditing standards.

In its present form, RDJS is divided into two areas of responsibility:

- Programs and services that serve juveniles and their families, and
- The Division of Adult Programs which includes adult pretrial services, probation services, and a mental health alternative sentencing program.

The Virginia Department of Criminal Justice Services is currently assisting the Division of Adult Programs in revamping their programs. They will offer training and technical assistance to help the Division's staff implement alternatives to incarceration. Considering the magnitude of efforts scheduled to be invested in this process, this audit focused primarily on juvenile services.

#### ***Background***

RDJS works with the State of Virginia 13<sup>th</sup> District Court Service Unit (CSU) associated with the Richmond Juvenile and Domestic Relations District Court (Court). CSU is responsible for providing intervention, diversion, and mobility restriction services to juveniles through their staff and other service providers, including RDJS.

Some of the programs and services provided by RDJS are funded via the Virginia Juvenile Community Crime Control Act (VJCCCA). In addition, the City of Richmond serves as a fiscal agent and is responsible for payment and recordkeeping of all expenditures incurred by CSU

(State funds) and RDJS (State and City funds). The total funding received from the City and the State during FY 12 was \$10,377,988.

The following are the salient findings of the audit:

### ***Major Stakeholders' Concerns***

The Court and CSU are responsible for referring juveniles to RDJS programs; therefore, they are significant stakeholders. In their recent communications, the District Court and CSU informed the City leadership of:

- Their concerns about the quality of RDJS programs, and
- Failure to guarantee acceptable standards of care in the delivery of services that target the needs of juveniles under Court supervision.

In addition to the Court's 2007 abstention from approving the VJCCCA plan that provides funding for specific programs, the Judges expressed reluctance to approve a similar plan in 2012. During interviews, the Judges expressed concerns about the programs' contents and methods of delivering program services. They also had concerns about RDJS' receptiveness to the Judges' and CSU's input.

In addition, the communication between RDJS and CSU/Judges needs to improve. The regular communication between RDJS and CSU discontinued for a period of about three years and resumed recently in October 2012. Communication between RDJS and CSU is critical since CSU is a primary stakeholder, and the agency is responsible for processing juvenile delinquency court cases for Richmond. RDJS depends on CSU for its workload.

Within the last two years, three RDJS programs were discontinued. For one of the programs, CSU has trained its staff to provide services instead of RDJS. The state discontinued a second program but has recognized a need in the current funding plan for a revised plan.

### ***City's Responsibility***

The City has overall responsibility for the health and safety of its citizens, including those involved in delinquent behavior. This responsibility includes assuring public safety by preventing juveniles from committing crimes and breaking the cycle of negative behavior.

However, there are several challenges the City faces in this endeavor. Some of these are as follows:

### ***Environment***

Various factors may influence delinquent behavior, such as single parent households (lack of supervision), crime in the neighborhood, peer pressure, financial pressures, poverty, etc. An individual constantly exposed to an antisocial and criminal environment may be more likely to exhibit illegal/delinquent behavior.

### ***Financial Pressures***

The City of Richmond had 26.3% of its population living under the poverty level during the period from 2007 through 2011. The recent Poverty Commission report stated that nearly half of Richmond's population lives either under or near the poverty level. Audit analysis of poverty and crime data showed a strong correlation between these factors and the areas where the juveniles referred to RDJS live.

### ***Truancy***

The Richmond Public Schools considers a student who has accumulated 10 or more unexcused absences in a school year to be a truant. Recent research<sup>1</sup> shows that truancy is not only the most significant risk factor for predicting first-time marijuana use, but it also predicts 97 percent of first-time drug use. These early patterns have long-term costs for both the individual and society. From analysis of RDJS data for FY 2012, it appears that 93% of all RDJS participants were initially referred to them for their truant behavior. These juveniles subsequently get involved in more serious violations of law. Educating and counseling juveniles to correct their behavior at a young age may be more effective in addressing juvenile delinquency. The audit testing indicated that the City has some opportunities to make a positive impact on the future actions of its youth.

### ***Treatment vs. Punishment***

Recidivism refers to the tendency to reoffend within a relatively short period. Recent studies have debated the balance between treatment versus punishment for juveniles<sup>2</sup>. However, recent

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<sup>1</sup> U.S. Department of Justice Office of Justice Programs-Truancy Prevention-OJJDP Model Programs Guide

<sup>2</sup> "Improving the Effectiveness of Juvenile Justice Programs" by the Center for Juvenile Justice Reform

research revealed that programs involving discipline, surveillance, or the threat of punitive consequences such as detention may have no effect on recidivism and may actually increase it<sup>3</sup>. Many “therapeutic” programs that facilitate constructive behavior changes have shown very positive effects—even for serious offenders<sup>4</sup>.

***RDJS Programs***

<b><i>Programs that do not impact behavior 1,181 referrals or 91.6%</i></b>	<b><i>Programs that impact behavior 109 referrals or 8.4%</i></b>
<ul style="list-style-type: none"> <li>• Anger Management</li> <li>• Law Related Education</li> <li>• Day Reporting</li> <li>• Evening Reporting</li> <li>• Community Services</li> <li>• Community Monitoring</li> <li>• Outreach or Home Electronic Monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Drug Court</li> <li>• Functional Families</li> <li>• Family Ties</li> </ul>

It is apparent from the above information that, although the City’s mission is to break the negative cycle and provide services which yield significant benefits to vulnerable youth, only limited program resources are used towards that end. Therefore, these programs may be somewhat useful, but they will not have a significant impact on reducing juvenile delinquency.

***Evidence Based Practices (EBP)***

According to the Federal Bureau of Justice Assistance, research over the past 20 years points to effective and safe management of a large portion of adult offenders and delinquent youth through research-based practices and strategies. Evidence based practices, which follow the eight principles of effective intervention, have received recognition for the purpose of reducing recidivism. The National Institute of Corrections<sup>5</sup> discussed research findings that as much as a 30% reduction in recidivism is possible if the justice system applies current knowledge (i.e., information regarding offender risk, criminogenic needs, appropriate interventions, and use of specific tools and techniques) consistently and with fidelity.

In 2005, the Virginia Department of Justice emphasized that services provided by the City of Richmond meet the criminogenic needs of the population. Juvenile and Domestic Relations

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<sup>3</sup> Lipsey, 2009

<sup>4</sup> Lipsey, 2009; Lipsey and Cullen, 2007; Lipsey and Wilson, 1998

<sup>5</sup> A Framework for Evidence-Based Decision Making in Local Criminal Justice Systems, published in 2010

District Court's 2005-2007 Strategic Plan included a focus on achieving effective outcomes to positively impact youth, families and the Richmond community. The report developed an evaluation protocol that embraced evidence-based practices.

RDJS has yet to fully embrace an EBP model in its programming. In Richmond, only 8.7% of the total referrals are made to the programs (Drug Court and Family Ties/Functional Families) intended to provide cognitive behavioral treatment in accordance with the EBP principles. Seven out of ten programs (some columns represent more than one program) either do not impact criminogenic behavior or are not designed to follow the EBP principles.

### ***File Review***

The auditors made the following observations:

- Staff did not actively consider risk assessment in several programs offered by RDJS;
- There was no evidence of field supervision of counselors;
- An agency-wide formal business process did not exist that documents how training needs are established or tracked to provide evidence that staff receive the necessary training to perform their duties;
- Several of the RDJS' Crime Control programs, such as Community Service, HEM Outreach II, and Family Ties met both their program completion and recidivism rate goals; however, Community Monitoring, which met its completion rate goal, did not meet its recidivism rate goal;
- Files for 16 out of 18 juveniles who were deemed to have successfully completed the Community Service program lacked approved timesheets as evidence of completion of mandated hours worked. There was also no evidence of supervisory file review; and
- Files for juveniles assigned to RDJS' Anger Management and Law Related Education programs lacked risk assessment information, or evidence of participation. In addition, program participation lists were not available to demonstrate that low-risk and high-risk juveniles were not in the same class, which is undesirable as determined by recent research.
- Out of 29 University of Cincinnati recommendations from their 2010 study, RDJS fully implemented seven, partially implemented five, and didn't implement fifteen. The remaining two involve further collaboration with stakeholders.

- RDJS implemented a cognitive assessment tool, “How I Think” mid-way through FY 2012; however, objective score results were not included in In-Home performance outcomes;
- Files for the In-Home programs lacked sufficient clarity, documentation, or consistency to comment or measure the overall effectiveness of these programs; and
- There was no formal process for evaluating how well In-Home staff were delivering the program in accordance with the EBP principles or evidence that outcome scores were reviewed for reasonableness.

### ***Qualifications and Training***

According to a CSU representative, CSU is pursuing service providers who comply with the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services standards in order to qualify as “intensive” in-home providers. In addition to the above standards, RDJS’ manual refers to compliance with the Virginia Administrative Code (§6 VAC 35-150-460) pertaining to personnel qualifications for nonresidential services.

#### **Qualifications**

During FY 2012, one of RDJS’ programs, which was subject to §6VAC35-150 (Regulation for Nonresidential Services), did not have a qualified employee on staff from December 2010 through January 2012. The remaining staff who performed those services are not licensed or certified. The qualified individual did not perform field supervision to the counseling staff. The applicability of §6VAC35-150 has been referred to the City Attorney’s Office.

#### **Training**

There was no formal business process to document how training needs were established or evidence that staff consistently completed training. Training for cognitive-behavior techniques, social learning, Strengthening Families, or Aggression Replacement Therapy appears to have been offered to some staff providing in-home counseling, but certificates of completion for some staff were not on file to verify that they received training. Such training is necessary to deliver programming in accordance with the fourth principle of EBP pertaining to skill training with directed practice.

Auditors observed that RDJS had \$4,847 in their FY12 budget for training their staff. This amount does not appear to be adequate for the numerous positions that need training.



### ***University of Cincinnati (UOC) Recommendations***

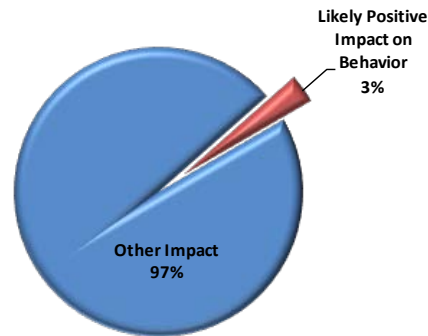
In 2010, UOC evaluated some of the RDJS programs and expressed certain concerns. Auditors reviewed these recommendations and noted that:

- UOC found definite service gaps and lack of evidence-based programming. The auditors determined that these gaps still exist.
- UOC found that there were no specific services that target the top criminogenic factors. During the audit, the auditors did observe some evidence of targeting criminogenic factors in Drug Court and In-home programs. The other programs did not target criminogenic behavior.
- UOC identified a need for RDJS to use a standardized risk assessment system. RDJS is currently using it in the In-home and the Drug Court programs. However, there was no evidence of the recommended tool for other programs.
- UOC recommended implementing a responsivity tool during juvenile assessment. The auditors found that the responsivity tools are only used in Drug Court.
- UOC recommended that juveniles who are on supervision for long periods should be reassessed on the YASI every six months. Currently, only CSU personnel complete the assessment. RDJS needs to work with CSU to implement this recommendation.
- UOC recommended pre/post assessments for each group to help ensure that youth are acquiring target behaviors. During FY 2012, the auditors observed that this recommendation was not fully implemented.

### ***Overall Effectiveness***

Due to the challenging environment (poverty and crime) that impacts juveniles' behavior, it is essential that the City provide programs that alter juveniles' behavior to resist environmental influences.

In FY 2012, only 8% of the referrals were made to programs that have the potential of positively affecting behavior of juveniles. Only 39 or 3% of total referrals satisfactorily completed the programs. This means that RDJS programs may be positively impacting juveniles for only 3% of referrals as depicted in the following pie-chart:



## **Aftercare**

After completing treatment through RDJS programs, youth are expected not to engage in delinquent behavior. However, they are expected to do so with less support in the same environment that may have previously influenced them to commit offenses. This situation requires some methods to keep them motivated to retain the learned behaviors and resist peer pressure and other compelling factors. According to the UOC, all treatment programs should include aftercare for youth that successfully complete programs. However, the City has yet to offer an aftercare program.

## **Other Issues**

### **Home Electronic Monitoring**

During the audit period, RDJS did not have available alert data or documented business processes to demonstrate:

- timely response to alert notices indicating an offender moving outside of a predetermined zone or clearance of such notices;
- timely dissemination and resolution of alert responses; and
- monitoring and responding to alerts during evenings and weekends.

Without available business processes or data, the auditors could not verify whether the delivery of service was appropriate or effective.

### **Cash Controls**

Cash controls for RDJS' Division of Adult Programs need to be strengthened to mitigate the risk of clerical errors or the possibility for the misappropriation of fees received.

## **Compliance with Procurement Policies**

Auditors observed noncompliance with the following procurement policies:

- Requesting quotes for purchases exceeding \$5,000 but less than \$50,000
- Inviting bids for procurement exceeding \$50,000

The Department of Procurement Services does not monitor these purchases. The City Auditor's Office observed a similar situation in the audit of Procurement Services, dated August 2012. Procurement Services concurred with the recommendations relevant to the above situation and agreed to monitor small purchases.

The City Auditor's Office appreciates the cooperation of the Department of Justice Services' staff. Please contact me for questions and comments on this report.

Sincerely,

***Umesh Dalal***

Umesh Dalal, CPA, CIA, CIG  
City Auditor

cc: Mr. Byron C. Marshall, CAO  
The Richmond City Audit Committee  
Mr. David Hicks, Interim Director

<b>#</b>	<b><i>COMPREHENSIVE LIST OF RECOMMENDATIONS</i></b>	<b><i>PAGE</i></b>
1	Implement a more comprehensive truancy program in cooperation with the major stakeholders to address truant behavior.	20
2	Establish a protocol for communication with CSU that includes: a. Periodic discussion with CSU of referral policies, program service quality and program improvements; b. RDJS’ observations on various cases, such as significant non-compliance, inappropriate behavior inconsistent with improvement goals, and additional information identified about juvenile offenders that needs to be communicated to the Judge; c. Obtaining the YASI scores for every referral made to RDJS; d. Working with CSU to identify all youth who would be appropriate for the Drug Court; e. Inconsistency in referrals compared to risk levels; and f. Procedures for periodically obtaining input from other stakeholders, such as the Commonwealth Attorney, Richmond Public Schools, etc.	58
3	With the assistance of a qualified third-party facilitator and input from CSU and Judges, implement more evidence-based programs that use cognitive-behavioral tools to improve juvenile behavior and obtain desired outcomes.	59
4	Pursuant to implementation of recommendation 3 and a legal opinion from the City Attorney’s Office on the applicability of the regulations under §6VAC35-150, take appropriate action, if necessary, to recruit staff with or require existing staff to obtain applicable licenses or certifications in accordance with the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services standards and the Virginia Administrative Code.	59
5	Assess training needs of the staff providing program services and adjust the funding appropriation for training.	59
6	With assistance from the CSU, use valid responsivity tools to identify constraints juveniles have to successfully complete all pertinent programs offered and adopt positive change.	59
7	Continue using the YASI risk assessment to screen youth, and begin consistently conducting pre/post assessments for all RDJS programs in order to measure progress in reducing criminogenic needs and to help determine successful program completion.	59
8	Explore the possibility of maintaining complete and comprehensive electronic documentation of each juvenile’s history with stakeholders and the City Attorney’s Office. The documentation should include: a. Risk assessments; b. Family assessments; c. Evidence of using approved, established curriculums; d. Supervisory oversight by a professional qualified in accordance with standards and state statutes; and e. Post assessments objectively depicting the impact of the program on youth’s behavior. Link this information instead of maintaining it in separate files.	59
9	Work with the Virginia Department of Juvenile Justice to periodically obtain recidivism data for each participant and program to assess overall impact of RDJS programming.	60

10	Create detailed management reporting at various organizational levels to conform to established goals and strategies.	60
11	Build a dashboard for the top management of the Department including: a. Relevance of major stakeholders' perspective depicted in a trend of referrals to the various programs; and b. Key performance measures related to various divisions and programming.	60
12	Study the scope of aftercare needs and address the needs in cooperation with major stakeholders, including CSU, Judges, the Commonwealth Attorney and Richmond Public Schools.	60
13	Continue efforts on implementing all UOC recommendations unless there is a justifiable reason for not implementing some of the recommendations.	60
14	Develop a formal, written alerts response protocol that includes: a. Level of response needed to various alert types b. Procedures for responding to the various types of alerts c. Standards for response time for the alerts d. Process for escalation of alerts and an appropriate level of redundancy in communications e. Procedure for documentation of the event and action taken	64
15	Implement an afterhours monitoring protocol.	64
16	Improve recordkeeping of cash transactions where accountability over cash collected, relief offered in accordance with the policies, and receivables, is verified.	66
17	Use one set of pre-printed or computer generated prenumbered receipts.	66
18	Reconcile the amount collected at source with the amount deposited with the Finance Department.	66
19	Related to the non-cash incentives, develop and implement policies and procedures for: a. Purchase and distribution b. Recordkeeping c. Secured custody d. Accountability e. Justification for distribution	68
20	Ensure management oversight over compliance with the City's procurement policies related to obtaining proper bids, quotes, and deterring split purchases.	71
21	Require vendors to document details of products or services provided in their invoices.	71
22	Conduct background checks for all the employees and volunteers in accordance with the established City policy.	72
23	Require official vendor invoices for making payment for expenditures.	74
24	Require supporting documentation sufficient enough to confirm that goods/ services paid for were received.	75
25	Verify the business purpose of all purchases made.	75
26	Develop and implement policies and procedures governing drivers' license checks, including verification of a clean driving record for employees permitted to drive City vehicles for their job duties.	75

## *Overview and Background*

### *Scope*

The City Auditor's Office has completed an audit of the Department of Justice Services (RDJS). This audit covers the 12-month period that ended June 30, 2012. The objectives of this audit were to:

- Determine the existence and effectiveness of internal controls;
- Evaluate the efficiency and effectiveness of operations and programs;
- Determine compliance with applicable laws, regulations, and policies;
- Verify compliance for the expenditures related to physical improvements to the Juvenile Detention Center during the period from FY 2009 to FY 2012; and
- Perform an audit of financial transactions for FY 2012.

The auditors conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that the auditors plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for their findings and conclusions based on the audit objectives. The auditors believe that the evidence obtained provides a reasonable basis for their findings and conclusions based on the audit objectives.

### *Methodology*

Auditors employed the following procedures to complete this audit:

- Reviewed relevant records, policies and regulations;
- Analyzed data in GILS system used by RDJS;
- Hired experts from the University of Cincinnati to provide technical assistance;

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- Conducted extensive research on various published industry literature and research studies;
- Examined documentation contained in various case files;
- Conducted interviews with various stakeholders from the State of Virginia's 13<sup>th</sup> District Court Service Unit (CSU), Richmond Juvenile and Domestic Relations District Court, Virginia Department of Justice Services, Virginia Department of Criminal Justice Services; City of Richmond's Office of the Commonwealth's Attorney, Sheriff's Department; and
- Performed various tests and other audit procedures, as deemed necessary.

*Note: During this audit, the auditors did not attempt to assert expertise similar to that of a clinician. The findings and conclusions of the auditors' work were critically evaluated by experts from the University of Cincinnati (Appendix B). Appropriate suggested changes were made prior to issuing this report.*

### ***Internal Controls***

According to Government Auditing Standards, internal control, in the broadest sense, encompasses the agency's plan, policies, procedures, methods, and processes adopted by management to meet its mission, goals, and objectives. Internal control includes the processes for planning, organizing, directing, and controlling program operations. It also includes systems for measuring, reporting, and monitoring program performance. An effective control structure is one that provides reasonable assurance regarding:

- Efficiency and effectiveness of operations
- Accurate financial reporting
- Compliance with laws and regulations

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The City Auditor found that the internal controls in the audited areas were inadequate and need improvement.

### ***Management Responsibility***

The management of the City of Richmond is responsible for ensuring resources are managed properly and used in compliance with laws and regulations, City programs are achieving their objectives, and services are being provided efficiently, economically and effectively.

### ***Mission***

RDJS provides a core service that impacts some of Richmond's population that is vulnerable to external influences and also has public safety implications. The goals of the agency are to:

- Hold offenders accountable for criminal behavior with appropriate sanctions that fit the severity of the offense;
- Meet assessed needs of at-risk youth and families by providing a diverse range of services; and
- Retain offenders in the community by providing them with community-based services while simultaneously increasing community safety and education.

It is necessary for the readers of this report to understand the complexity of these tasks and various stakeholders involved in this process. These issues are discussed in the following chapter.

### ***Introduction***

The complexity and challenges faced by RDJS can only be understood with the knowledge of the underlying issues related to their clientele.

In its present form, RDJS is divided into two areas of responsibility:



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- Programs and services that serve juveniles and their families living in the City of Richmond. This side of the department works closely with state entities such as the Virginia Department of Juvenile Justice and the Richmond Juvenile and Domestic Relations District Court (Court).
- The Division of Adult Programs includes adult pretrial services, probation services, and a mental health alternative sentencing program. The Division works with the Virginia Department of Criminal Justice Services.

*The Division of Adult Programs is currently being assisted by the State of Virginia to improve their program delivery*

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*The Division of Adult Programs is being assisted by the State to revamp their programs. Therefore, this audit primarily focused on programs offered to juveniles*

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Presently, there are 20 jurisdictions assisted by the Commonwealth of Virginia that are actively working towards and training their staff to implement programs for changing client behavior (Evidence-based practices or EBP). The City's Division of Adult Programs is not one of these sites, but its evaluation began in January 2013. The evaluation is estimated to take about a year to complete and at least 18 months before they offer training for risk assessment. In addition, the Division is working closely with the Virginia Department of Criminal Justice Services to evaluate alternatives to incarceration as the new City Jail is being built. They will offer training and technical assistance to help the Division's staff implement alternatives to incarceration. Considering the magnitude of efforts scheduled to be invested in this process, this audit focused primarily on juvenile services rather than adult services.

### ***History***

In 1994, the Virginia General Assembly funded the development and implementation of community-based programs and services for adjudicated juveniles in Richmond. The City of Richmond created a

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new agency, the Richmond Department of Juvenile Justice, now known presently as the Department of Justice Services. This Department works with the State of Virginia 13<sup>th</sup> District Court Service Unit (CSU) associated with the Richmond Juvenile and Domestic Relations District Court.

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*CSU works with Richmond Juvenile and Domestic Relations and facilitates supervision, rehabilitation and treatment of juveniles coming before the Court*

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CSU serves the Court and facilitates the supervision, rehabilitation and treatment as needed by those who come before the court. The essential functions, amongst others, include intake and risk/need assessment and referral to the partner agencies as follows:

- **Richmond Department of Justice Services** - surveillance services, in-home counseling programs, skills, groups, and truancy program;
- **Virginia Health Center** - substance abuse screening and out-patient counseling groups;
- **Institute for Family Centered Services** - sex offender treatment team;
- **Richmond Behavioral Health Authority** - mental health and mental disability services, psychological evaluations, psychological and Multi-Systematic Therapy;
- **Private In-Home Counseling Programs** - such as Family Focus, Virginia Associated Behavioral Outcomes and Developmental Experts, and Wilkerson's Consultants; and
- **Other Vendors** such as Challenge Discovery that provides substance abuse assessments.

Some of the programs and services provided by RDJS are funded via the Virginia Juvenile Community Crime Control Act (VJCCCA). In addition, the City of Richmond serves as a fiscal agent and is

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responsible for payment and recordkeeping of all expenditures incurred by CSU (State funds) and RDJS (State and City funds).

***Funding***

The total FY 12 budget of RDJS was \$10,377,988. They received funding from the following sources:

<b>Funding Agency</b>	<b>Amount Received in FY 2012</b>
Federal Government	\$ 361,221
Virginia Department of Criminal Justice Services	\$ 936,662
Virginia Department of Juvenile Justice	\$ 2,483,003
City of Richmond	\$ 6,491,889
Other	\$ 105,213

*Source: Advantage, RDJS and VJCCA budget for FY 2012*

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***CSU plays a significant  
role in referring  
juveniles to RDJS***

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For the grant received from the Department of Juvenile Justice, CSU participates in selecting and recommending improvements to RDJS' programs to be funded. In addition, once the programs are approved, CSU plays a significant role in referring youth appearing before the courts to relevant RDJS programs.

The following graph presents the trend of funding in the past five years:

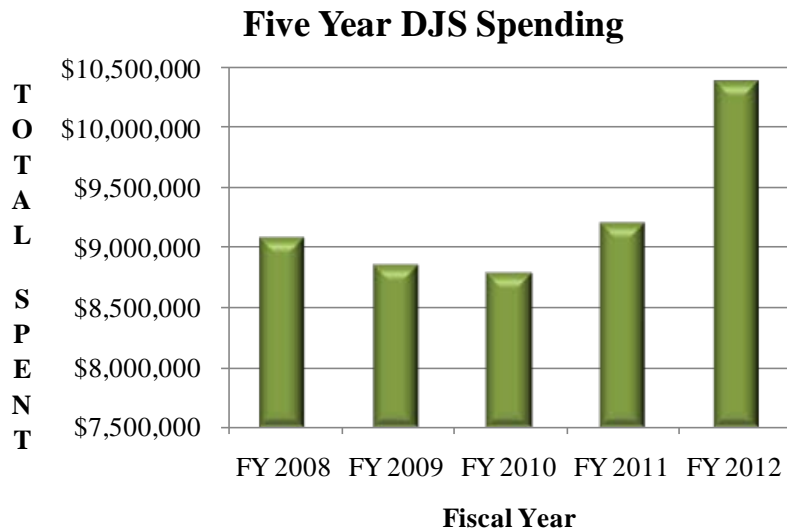
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*Source: City's Advantage fiscal records*

## ***Stakeholders***

There are many agencies that participate in promoting effective programs offered by RDJS, as depicted in the following diagram. For the stakeholders, open lines of communication (as noted by the two-way arrows) are absolutely critical. Collaboration is paramount to the success of the services offered.

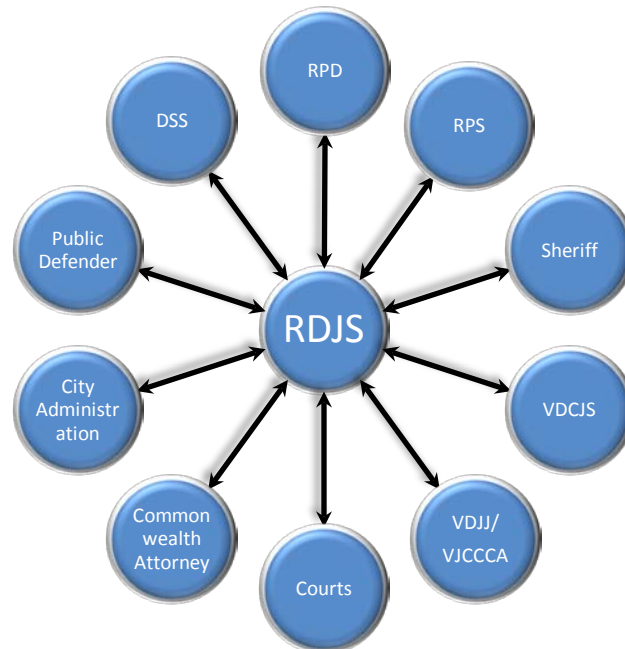
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**Legend:**

*DSS: Department of Social Services*

*RPD: Richmond Police Department*

*RPS: Richmond Public Schools*

*VDCJS: Virginia Department of Criminal Justice Services*

*VDJJ: Virginia Department of Juvenile Justice*

*VJCCCA: Virginia Juvenile Community Crime Control Act*

## ***Leadership Changes***

During the past 10 years, the RDJS leadership has experienced significant turnover as the Department had five directors during this timeframe. It should be noted that with leadership changes, relationships and trust with the existing stakeholders have to be rebuilt to maintain collaboration and open lines of communication. The impact of chronic changes can have a wide-ranging effect on the City's philosophy and strategy for providing services. As the report describes subsequently, these changes may have caused unintended consequences in RDJS' relationship with its major stakeholders and delivering of services to juveniles.

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*Without a reporting system to inform management of progress on key performance criteria, management may miss the opportunity to improve efficiencies, increase productivity, or detect practices that are not effective or adding value*

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A former RDJS manager remarked that the changes in leadership were so frequent that an established set of key performance criteria could not be implemented.

The former manager also noted that an agency-wide reporting process has not been developed and also affirmed that two of the most important performance measures to evaluate the effectiveness of the programs offered by RDJS were recidivism and the behavior modification of the offenders receiving services.

During the audit, the auditors observed that the GILS system provides a variety of reports and query capabilities in live, real-time for operational information such as:

- Crime control program summary reports,
- Open cases,
- Case status by program,
- Juveniles by specific service, etc.

PowerPoint presentations pertaining to agency overviews, truancy programs, detention center statistics, and budgetary presentations were also submitted to the auditors. However, there is no tangible evidence of actual use of this information for operational or policy decisions such as:

- Program impact;
- Performance measures including demonstrated positive behavioral change resulting from applicable programs;
- Effectiveness and impact of service provided;

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- Recidivism data for all programs and agency-wide recidivism; and
- Actions taken by management to ensure the programs' success and their impact towards accomplishing the mission of the department

There are no agency wide reports that analyze behavior modification resulting from those RDJS programs that are aimed at changing behavior. Due to legal constraints, RDJS cannot produce recidivism reports for non-crime control services due to inability to receive data from other stakeholders.

In this situation, management may miss the opportunity to improve efficiencies and increase productivity or detect practices that are not effective or adding value. The impact of not using such reporting on the overall effectiveness is discussed subsequently in this report.

## *Core Issues Affecting Criminogenic Behavior*

### *Environment*

Academics and professional organizations involved in studying and addressing criminal behavior have long recognized that the environment in which an individual operates has a significant impact on his/her behavior. The U. S. Office of Juvenile Justice and Delinquency Prevention observed that the environment in which youth are raised can influence the likelihood of delinquency. According to the Agency:

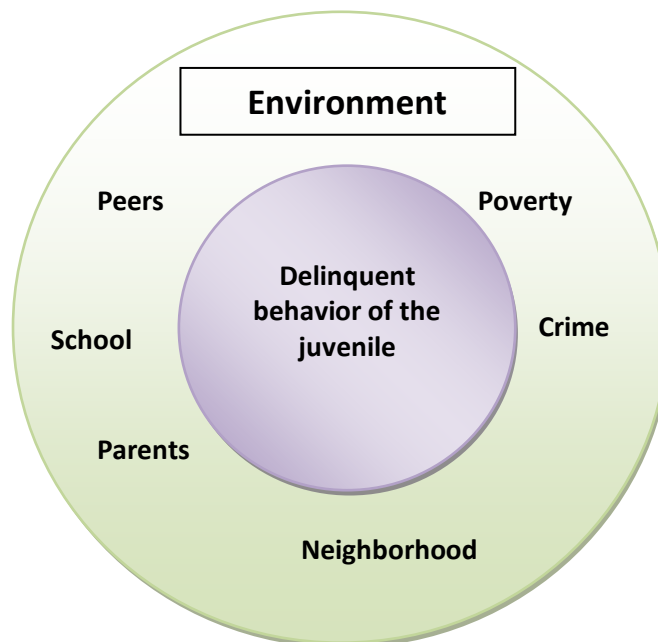
*“Existing research points to a powerful connection between residing in an adverse environment and participating in criminal acts...and that ‘living in a neighborhood where there are high levels of poverty and crime increases the risk of involvement in serious crime for all children growing up there (McCord, Widom, and Crowell, 2001).”*

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*The federal government observed that the environment in which youth are raised can influence the likelihood of delinquency*

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There are various factors that may impact delinquent behavior, such as single parent households (lack of supervision), crime in the neighborhood, and peer pressure. Financial pressures, or poverty, could also play a role in impacting delinquent behavior in association with the above factors.





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Therefore, an individual constantly exposed to an antisocial and criminal environment may be more likely to exhibit illegal/delinquent behavior. Additionally, the research is clear that there are core crime producing, or criminogenic, need areas. These include:

- Antisocial attitudes, thoughts, values, and beliefs;
- Antisocial peers and lack of prosocial peers;
- Antisocial personality factors (e.g., impulsivity, poor problem solving);
- Family (e.g., lack of supervision, poor cohesiveness);
- Education/vocation/finances;
- Lack of prosocial leisure activities; and
- Substance use/abuse.

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***Unless criminogenic needs are reduced, any program that attempts to reduce crime will not be as successful as it should be***

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Unless these core criminogenic factors are addressed, any program that attempts to reduce crime will not be successful. Therefore, government programs addressing juvenile delinquency must attempt to make positive changes to youth's criminogenic need areas in order to achieve a lasting effect. The programs offered by RDJS for these purposes are no exception.

### ***Challenges in Richmond***

The City of Richmond had 26.3% of the population living under the poverty level during the period from 2007 through 2011. In contrast, the Commonwealth of Virginia only had 10.7% of the population living under the poverty level during the same period.

Map 1 below identifies a heavy concentration of poverty on the eastern half of the City, as depicted by the dark colored background. Similarly,

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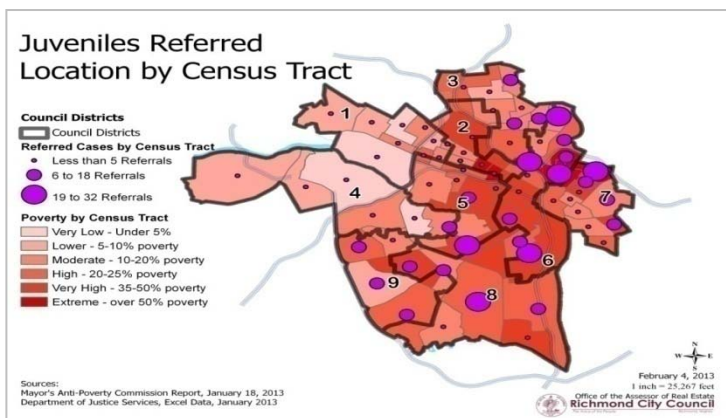
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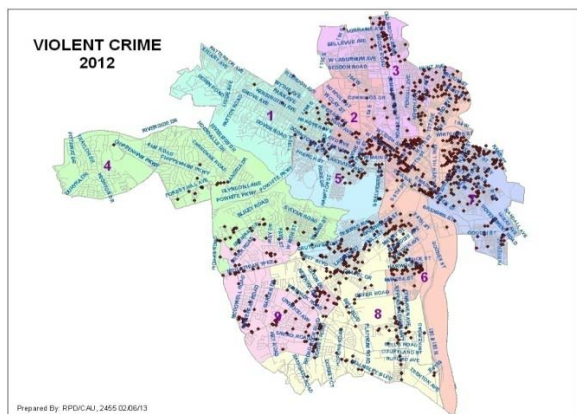
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analysis of crime data in Map 2 indicated a heavy concentration of violent crime in the same area. Ironically, an analysis of residential addresses of juvenile offenders (purple circles in Map 1) referred to RDJS services tend to come from the same area. This shows a very strong correlation between poverty and crime and its influence on vulnerable juveniles:



Source: Richmond Department of Social Services and RDJS

Map 1



Source: Richmond Police Department

Map 2

### ***Recidivism Data (definition pursuant to DJJ –rearrest)***

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***In Virginia, recidivism is referred to as the percentage of individuals held by the Court to have committed a delinquent or criminal act within one year after being placed on probation or released from confinement.***

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Recidivism refers to the tendency to reoffend within a relatively short period. VDJJ's definition of recidivism is: *“the percentage of individuals who are found by a court to have committed, after being (a) placed on probation or (b) released from confinement, a delinquent or criminal act other than violation of probation or parole within one year.”*

The objective of all jurisdictions interested in addressing juvenile delinquency is to keep the rate of recidivism as low as possible. The auditor's evaluation of District 13 data (for Richmond CSU) and other comparable localities is as follows:

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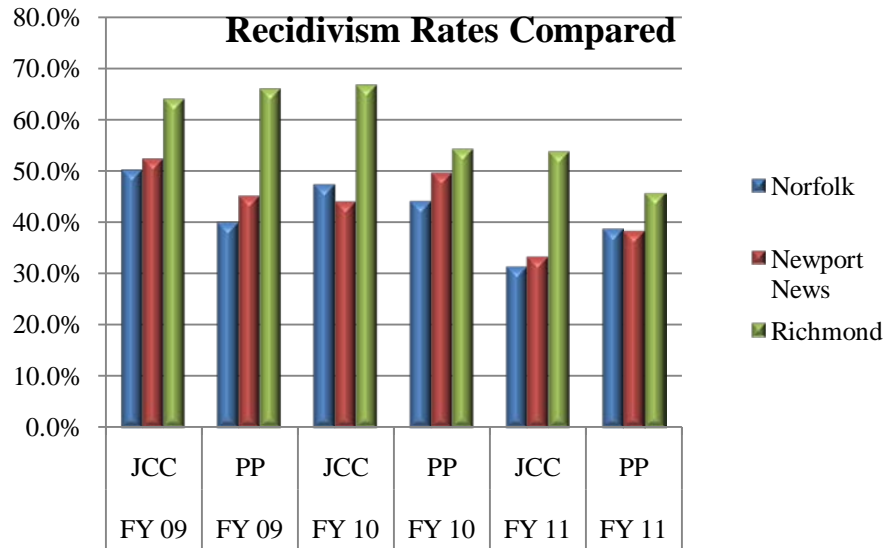
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***Richmond has higher  
recidivism rates  
compared to Norfolk  
and Newport News***

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Source: VDJJ Data Resource Guides

Legend: JCC- Juvenile Correction Centers

PP- Probation Placements

A Juvenile Correction Center (JCC) is a secure facility operated by or under contract with VDJJ where 24 hour-per-day care is provided to juveniles committed to VDJJ.

Probation Placement: all juveniles placed on probation

Note 1: The rates shown above represent 12 month rearrest rates for three locality court service unit districts. The recidivism rate for the Richmond Court Service Unit is not the same as that for DJS' clients; DJS is one of several service providers for the Richmond CSU.

Note 2: The recidivism rates for other localities were available. However, both Norfolk and Newport News have demographics similar to Richmond.

Two observations based on the above table and additional research are noteworthy:

- The recidivism rates for the City of Richmond youth are consistently higher than those of Norfolk or Newport News
- The poverty rate for the City of Richmond is also significantly higher than those of Norfolk or Newport News.

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A 2006 study funded by the National Consortium on Violence Research, and the American Sociological Association examined the role of neighborhoods on predicting recidivism. The study found that those who return to disadvantaged neighborhoods recidivate at a greater rate, and those who return to resource-rich or affluent communities recidivate at a lesser rate.

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*Richmond has significant challenges in bringing long term sustainable change in youth behavior*

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Considering the foregoing discussion, Richmond has significant challenges in bringing long term sustainable change in youth behavior. For the juveniles receiving RDJS and CSU services, unless their criminogenic needs are reduced, they may not be able to resist the environmental pressures that contribute to criminogenic behaviors.

*City's Responsibility*

The juveniles receiving service from RDJS and CSU are Richmond residents. The City has overall responsibility for the health and safety of its citizens, including those involved in delinquent behavior.

The current website for RDJS asserts that its overall mission is to:

- Promote a safe and healthy City;
- Break negative cycles; and
- Encourage education through a continuum of services that empower all participants to achieve measurable success.

*RDJS' Focus*

The previous RDJS Deputy Director indicated that providing public safety was the department's primary concern. This meant ensuring the ability to stay in touch with juveniles and adults, relay their whereabouts to stakeholders to mitigate the risk of criminal activity, and ensuring that youth and families are provided the services that they

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*Currently, RDJS' primary focus is on public safety*

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need. Accordingly, RDJS offered several programs consistent with its primary concern such as:

- Juvenile Detention Center;
- Home Electronic Monitoring;
- Day Reporting;
- Evening Reporting;
- Community Monitoring; and
- Community Service

These programs either restricted the juveniles' mobility or required them to attend sessions as a sanction for their past actions. These programs may not have had a significant impact on juveniles' behavior. However, modern methods encourage jurisdictions to achieve maximum impact and reduce costs by focusing on behavioral change. Therefore, Richmond's emphasis should be on addressing public safety issues with human services tools such as cognitive behavioral treatment methods.

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*Modern methods encourage reducing costs by focusing on behavioral change*

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Reviews of the City's biennial budget reports show that management of their justice services function has been switched back and forth from Human Services (FY 2006-2007, FY 2012-2013) to Public Safety (FY 2008-2011).

## Youth Behavior Pattern

Published research has established that a juvenile’s behavior gradually deteriorates before the youth is involved in delinquent behavior:



### *Truancy*

The U.S Department of Education Office of Safe and Drug-Free Schools defined “truancy” as a pattern of repeated unexcused absences from compulsory education.<sup>1</sup> The Richmond Public Schools considers a student who has accumulated 10 or more unexcused absences in a school year to be a truant.

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*Truancy is one of the early warning signs of youth heading to delinquency, social isolation, or educational failure*

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According to the US Department of Justice, truancy has been clearly identified as one of the early warning signs that youth are potentially headed for delinquent activity, social isolation, or educational failure. Recent research<sup>1</sup> shows that truancy is not only the most significant risk factor for predicting first-time marijuana use, but it also predicts 97 percent of first-time drug use. These early patterns have long-term costs for both the individual and society at large.

From analysis of RDJS data for FY 2012, it appears that 93% of all RDJS participants were initially referred to them for their truant behavior. These juveniles subsequently get involved in more serious

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<sup>1</sup> U.S. Department of Justice Office of Justice Programs-Truancy Prevention-OJJDP Model Programs Guide

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***93% of the juveniles were initially referred to RDJS for their truant behavior***

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violations of law. Truant juveniles referred to RDJS services were as young as eight years old. Educating and counseling juveniles to correct their behavior at a young age may be more effective in addressing juvenile delinquency.

The purpose of the audit analysis was to review the truant behavior for only those individuals referred to subsequent RDJS service. The discussion hereunder should not be considered to be applicable to all truants or truants who are not referred to RDJS services.

During a review of a judgmental sample of 30 case files consisting of juveniles who had committed offenses and were referred to other RDJS juvenile programs, the auditors observed the following:

**Statistics from a sub-sample of 30 juveniles reviewed:**

Average age of juveniles in the sample size	16.5
Average number of truant referrals before placement to detention or another non-truant program	16
Average number of years from 1 <sup>st</sup> truant referral to 1 <sup>st</sup> non-truant (first offense) referral date	3.8
Average number of years from 1 <sup>st</sup> referral date to the most recent non-truant (offense) termination date or last truant date	5.1
Average age at 1 <sup>st</sup> truancy referral	11.5

Source: RDJS

The auditors note that the average number of truancy referrals in the table reflect referrals entered into GILS and include instances where absences were excused as well as those which were not excused. The auditors also note that DJS can only provide service in response to the

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referral requested and does not have the option to choose a service that might aim towards changing the juvenile's truant behavior

In the above sample for younger juveniles entering in the RDJS system as truant, it took almost four years before they engaged in an offense. During this time, a juvenile was referred to RDJS for truant behavior numerous times. This means that the City might have had about a four year window of opportunity where additional counseling to impact a youth's future actions. These statistics point to many missed opportunities to target core need areas that may have prevented some of these youth in the audit sample from progressing further into the juvenile justice system. Although auditors could not study the above relationship for the entire population, it is a good idea to analyze these relationships periodically.

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*The audit test indicates that the City has some opportunities to make a positive impact on the youth's future actions*

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According to the U.S. Department of Justice, truancy-prevention programs are designed to promote regular school attendance through one or more strategies, including the following:

- Court alternatives;
- Mentoring programs;
- Law enforcement participation;
- Increasing parental involvement;
- Truancy awareness campaigns; and
- Other strategies, such as improving parent-teacher communication and drawing on community resources

***RDJS Service for Truancy*** The City Auditor's Office obtained data that indicated for the 2011-2012 school year, 7,427 juveniles with five unexcused absences were referred to RDJS. During a recent audit of



the Truancy Division, the City Auditor's Office identified that about 1,600 juveniles ultimately become truant (10 or more unexcused absences). For the above school year, 782 (10.5%) juveniles were referred to RDJS by the Court for services beyond truancy.

Based on this data, it appears that the existing procedures at Richmond Public Schools and RDJS are making a substantial impact to deter truancy. As discussed previously, 93% of RDJS referrals are associated with the truant population. Truancy is connected to juvenile behavior that in the future could result in delinquency. Therefore, providing effective intervention services to the truant population at its early stages are crucial to limit delinquent behavior.

Based on the above discussion, it appears that RDJS has an opportunity to expand the existing program or implement additional programs targeting early intervention for the truant population.

***Recommendation:***

- 1. Implement a more comprehensive truancy program in cooperation with the major stakeholders to address truant behavior.*

***Challenge of  
Motivating  
Juvenile  
Offenders***

The referral data below provided by RDJS for FY 2012 speaks to the challenge it faces related to the actual completion of programs by juveniles. Bringing services to a Richmond juvenile who may be uncooperative or reluctant to receive services is a considerable challenge. The table below reveals that only about 60% of total referrals complete the service program. This means that as many as

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*RDJS has an opportunity to develop additional sanctions/incentives to encourage these juveniles to participate in the programs*

26% of total eligible juveniles referred to RDJS, who need the services do not obtain it.

**FY12 (excluded Truancy, Detention/DJJ commitments and any referrals where case status has not been recorded)**

Satisfactory Completion	773	59.92%
Unsatisfactory	185	14.34%
Referred but no services provided (runaway, no phone service, etc.)	170	13.18%
Referred but cancelled due to request withdrawn, long wait for available slot, etc.	55	4.26%
Client referred but did not attend any sessions/hours--no service provided	51	3.95%
Terminated program after service began for unrelated reasons (move, phone service disrupted, etc.)	26	2.02%
Client does not meet eligibility for participation in service	12	0.93%
Parent or Guardian declined services	11	0.85%
Unable to contact family	6	0.47%
Vetoed by Commonwealth Attorney	1	0.08%
	<b>1,290</b>	<b>100%</b>

Source: RDJS

It should be noted that many of the above referrals to the programs (other than In-Home and Drug Court) are not designed to change juveniles' behavior. Therefore, RDJS' successes accomplished in these programs, which aim towards limited objectives related to supervision, sanctions or a short-term alternative to school, may not have a significant impact on the overall effectiveness in changing juvenile behavior.

## **Evidence-Based Practices (EBP) for Effective Intervention**

### ***What is EBP?***

According to the Federal Bureau of Justice Assistance, research over the past 20 years has provided a body of knowledge about what works in community corrections. This research points to effective and safe management of a large proportion of adult offenders and delinquent youth through research-based practices and strategies.

EBP is the body of research and replicable clinical knowledge that includes:

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***EBP is the body of research and replicable clinical knowledge for effective intervention programs***

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- Contemporary corrections assessment;
- Programming; and
- Supervision strategies.

Observance of EBP leads to improved correctional outcomes, such as lower rates of recidivism and increased public safety. It is for these reasons that adopting an EBP model for providing justice services is critical and effective. The EBP model is based on providing cognitive behavioral techniques, which is a psychotherapeutic approach that addresses dysfunctional emotions, behaviors and other cognitive processes through goal-oriented systematic procedures.

A document prepared by the Community Resources for Justice<sup>2</sup> using a federal grant for the State of Virginia recommends the following about EBP:

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<sup>2</sup> *An organization dedicated to providing programs and services for over 130 years to some of society's most vulnerable people. This project was funded by a grant from the Federal Bureau of Justice Assistance.*

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*Eight principles to reduce recidivism is a comprehensive guidance for helping delinquent youth*

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1. *“Assess Actuarial Risk/Needs: use research-based tools to determine an individual’s likelihood of reoffense, and to identify factors that are amenable to treatment and risk reduction.*
2. *Enhance Intrinsic Motivation: apply specific communication techniques to identify an offender’s own reasons for change, and to make them partners in their treatment.*
3. *Target Interventions: structure treatment, supervision, and responses to offender behavior based on their risk level, needs, and personal characteristics. This includes:*
  - *Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.*
  - *Need Principle: Target interventions to criminogenic (correlated to crime) needs.*
  - *Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.*
  - *Dosage: Structure 40-70% of high-risk offenders’ time for three to nine months.*
  - *Treatment Principle: Integrate cognitive behavioral and social learning techniques/treatment into sentence/sanction requirements.*
4. *Skill Train with Directed Practice: use cognitive-behavioral treatment methods to disrupt criminal thinking, and provide offenders with the opportunity to practice and apply pro-social behaviors.*
5. *Increase Positive Reinforcement: affirm and reward compliant behavior at a greater rate than you punish non-compliant behavior. This does not mean that non-compliance should be overlooked; only that the positive should be emphasized as well.*
6. *Engage Ongoing Support in Natural Communities: connect offenders to pro-social family, friends, and activities in the community so that their time is structured positively during and beyond the period of supervision.*

- 7. **Measure Relevant Processes /Practices:** collect data on the effectiveness of your work to answer the questions: (1) are we doing evidence-based work? (2) Are we doing it well? And (3) is it leading to desired outcomes?
  
- 8. **Provide Measurement Feedback:** use data to provide feedback to systems, agencies, teams, and individuals, with the goal of improving practice.”

The document indicated that although not all of the principles are supported by the same weight of evidence, each has been proven to influence positive behavioral change.

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***There is an opportunity for achieving a significant reduction in the recidivism rate***

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The National Institute of Corrections<sup>3</sup> discussed research findings that as much as a 30% reduction in recidivism is possible if the justice system applies current knowledge (i.e., information regarding offender risk, criminogenic needs, appropriate interventions, and use of specific tools and techniques) consistently and with fidelity.

**EIGHT GUIDING PRINCIPLES FOR RISK/ RECIDIVISM REDUCTION**



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<sup>3</sup> A Framework for Evidence-Based Decision Making in Local Criminal Justice Systems, published in 2010

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*Source: Commonwealth of Virginia Roadmap for Evidence-Based Practices in Community Corrections, April 2010*

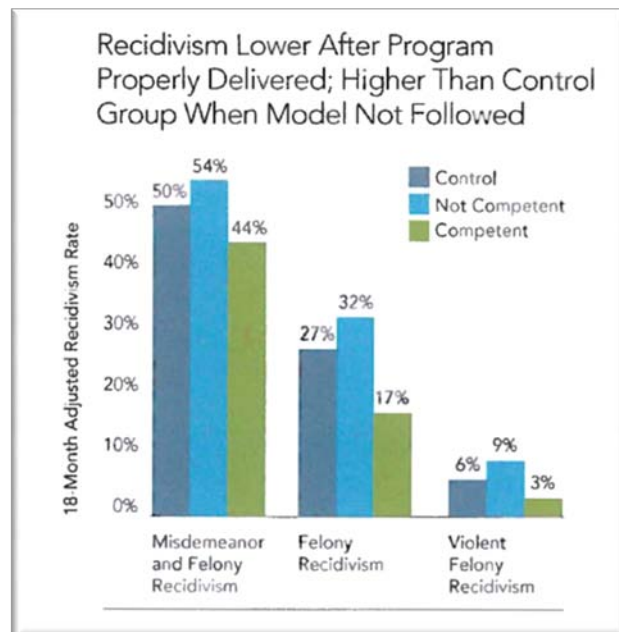
A report published by Pew Center<sup>4</sup> found that programs such as Aggression Replacement Therapy (ART), Functional Family Therapy, and Multisystemic Therapy are highly cost-effective programs in treating juvenile offenders and reducing recidivism, but only to the extent that they were implemented with fidelity to the EBP model.

The following chart in their report indicates that recidivism was lower for the juveniles participating in a properly delivered EBP program. In comparison, recidivism was higher for youth in the programs that did not follow the EBP model than a control group that did not receive these services.

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***Recidivism was found to be lower for participants of well implemented evidence-based programs***

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**Legend:**

*Control – group monitored but did not receive any service*  
*Not-competent – group not monitored and did not receive service*  
*Competent – group monitored and received service*

*Source: July 2012 Pew Center report- “Better Programs, Better Results”*

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<sup>4</sup> *Report on the States published a report on Washington State’s Evidence-Based Programs*

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According to the U.S. Department of Justice Elected Official’s Guide:

*“... when designed with evidence-based practices, adult and juvenile probation, parole, and other community-based programs, can prevent crime, increase offender accountability and competencies, and repair harm to both victims and neighborhoods.”*

## ***Implementation of EBP at the City of Richmond***

The auditors observed several pieces of communications related to the State of Virginia’s decision to follow EBP in programs offered to delinquent juveniles as follows:

<b>Year</b>	<b>Event</b>
2005	Virginia Department of Justice emphasized that services provided by the City of Richmond meet the criminogenic needs of the population.
2005	The Virginia Community Criminal Justice Association and the Virginia Department of Criminal Justice Services (VDCJS) agreed to advance the community corrections and pretrial practitioner profession to implement EBP into all state-supported, locally operated probation and pretrial service agencies.
2005-2006	VDCJS reported that four community-based probation agencies in the Commonwealth of Virginia began the task of implementing evidence-based practices in March 2005; another six local pilot sites began to implement EBP in January 2006.
2006	Juvenile and Domestic Relations District Court’s 2005-2007 Strategic Plan included a focus on achieving effective outcomes to positively impact youth, families and the Richmond community. The main problem was the lack of “a consistent way to evaluate the effectiveness of existing and potentially new programs and services (Graduated Interventions Level System or GILS and others).”
	The report developed an evaluation protocol that embraced evidence-based practices and current research, objective evaluation of quantitative and qualitative data that would be specific to local demographics and simple, practical, realistic and easy to use. EBP emphasizes programs that are outcome-based and can be replicated.
2007-2008	VDJJ introduced the Youth Assessment and Screening Instrument (YASI) for risk assessment for EBP programming.
2009	

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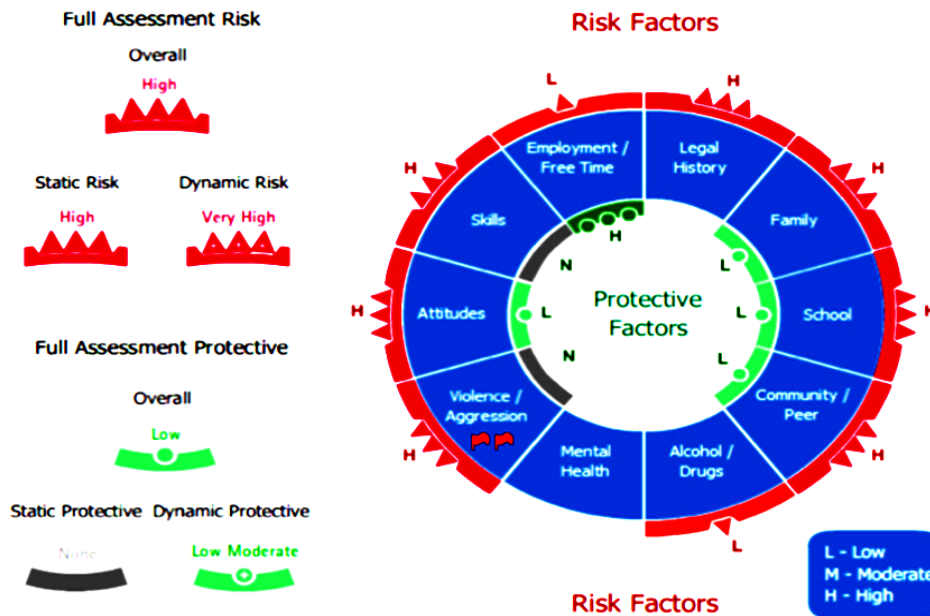
2010

After observing an increasing trend of recidivism in Richmond, the 13<sup>th</sup> District CSU hired the University of Cincinnati to evaluate Richmond's GILS. In addition, the study reviewed the 13<sup>th</sup> District's programming falling short of achieving desired results, meeting needs of juveniles and potential service gaps.

YASI became the required risk assessment tool for all court service units in the Commonwealth of Virginia.

## YASI Risk Assessment

YASI generates a complete risk and protective factor profile in a "Wheel" format (shown below). The YASI includes a brief "pre-screening" version that determines both an overall risk level, as well as separate risk scores for legal history, family, and some social domains. It includes ratings of both "static" (historical/unchangeable) and dynamic (changeable) risks and protective factors in each of the ten domains. In a full YASI assessment, a narrative report is created that can be provided to a service provider.



Source: Virginia Department of Juvenile Justice



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The YASI domains include risk factors that have emerged from research on criminogenic needs over the past 20 years. This helps jurisdictions to develop evidence-based programs. The ten YASI domains consist of:

- Legal History;
- Family;
- School;
- Community/Peers;
- Alcohol/Drugs;
- Mental Health;
- Violence/Aggression;
- Attitudes;
- Skills; and
- Use of Free Time/Employment.

According to the Virginia Department of Criminal Justice Services, “The YASI has been validated and is in use in a number of states and local jurisdictions (e.g., New York, Illinois, Washington, and Mississippi). Validation studies reveal that the YASI is an accurate method of placing youth in categories that correspond to their likelihood of future arrests and future violent offenses. It is valid across age, sex and ethnic groups.”

Based on the above description, it appears that the YASI is a comprehensive assessment tool. RDJS has recently incorporated the results from the YASI risk assessment provided by CSU.

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## *Evaluation of Richmond Programs*

During this audit, the auditors evaluated RDJS' programming during FY 2012. The following is the analysis based on information gathered during this audit:

Program	Evaluation
<i>Family Ties &amp; Functional Families</i>	This program includes a series of home visits by a social services case manager to provide counseling services. The purpose of this program is to change behavior with buy-in from all family members. The University of Cincinnati (UOC) rated this program to be effective but the treatment needed improvement and assessment was deemed ineffective. RDJS considers this program to follow the EBP model.
<i>Drug Court</i>	This program entails monitoring of drug use by the offenders through periodic drug tests. In addition, one-on-one counseling is provided to attempt to change the offender's behavior. The UOC rated this program as effective; however, both treatment and quality assurance were rated to be ineffective. RDJS considers this program to follow the EBP model.
<i>Community Monitoring</i>	It provides face-to-face contact with juvenile offenders and imposes daily curfew checks to reduce the risk of reoffending while on probation. This program is not designed to reduce criminogenic needs.
<i>HEM Outreach II</i>	This program is offered as an alternative to secured detentions to certain non-violent juveniles. Youths' movements are restricted to their house and approved locations and times. This program is not designed to reduce criminogenic needs.
<i>Anger Management</i>	This program uses curriculum to help juvenile offenders to control their temper and thereby prevent them from committing other offenses. According to the UOC, this program does not follow the EBP model.
<i>Community Service</i>	It provides constructive sanctions and accountability for juveniles who have committed a minor offense. This program is not designed to reduce criminogenic needs.
<i>Law Related Education</i>	It attempts to reduce juvenile delinquency through education related to laws, crimes, offenses and punishments. According to the UOC, this program does not target criminogenic needs and does not follow an EBP model.
<i>Day and Evening Reporting</i>	These two programs are a short term educational alternative for juveniles on probation who are suspended for 10 days or less by Richmond Public Schools. These programs are not designed to reduce criminogenic

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needs.
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The auditors reviewed the referral data to these programs and observed the following:

<b>Program</b>	<b>Referrals</b>	<b>FY 2012</b>
Anger Management	209	16.5%
Community Monitoring	88	7.0%
Community Service	263	20.8%
Day and Evening Reporting	285	22.5%
<b>Drug Court</b>	<b>27</b>	<b>2.1%</b>
<b>Family Ties/Functional Families</b>	<b>83</b>	<b>6.6%</b>
Law Related Education	86	6.8%
HEM Outreach II	225	17.8%
	<b>1,266</b>	<b>100.0%</b>

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***Only 8.7% of the total number of referrals is made to programs considered to provide treatment in accordance with EBP principles***

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Source: RDJS

Based on the above data, only 8.7% of the total referrals are made to the programs (drug court and family ties/functional family) intended to provide cognitive behavioral treatment in accordance with the EBP principles.

In addition to the above analysis, the auditors evaluated these programs using the principles of effective intervention supporting the EBP model. The results of this evaluation are presented in the following table:

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Program/ EBP Attribute	Name of Program							
	1	2	3	4	5	6	7	8
Assess actuarial risk/needs	Partially implemented <sup>a</sup>	Yes	N/A <sup>f</sup>	N/A <sup>f</sup>	No <sup>f</sup>	N/A <sup>f</sup>	N/A <sup>f</sup>	N/A <sup>f</sup>
Enhance intrinsic motivation	No <sup>g</sup>	Yes	N/A <sup>g</sup>	N/A <sup>g</sup>	No <sup>g</sup>	N/A <sup>g</sup>	N/A <sup>g</sup>	N/A <sup>g</sup>
Targeted interventions	Partially Implemented <sup>b</sup>	Yes	N/A <sup>a,f</sup>	N/A <sup>a,f</sup>	No <sup>a,f</sup>	N/A <sup>a,f</sup>	N/A <sup>a,f</sup>	N/A <sup>a,f</sup>
Skill train with directed practice	Partially Implemented <sup>g</sup>	Yes	N/A <sup>g</sup>	N/A <sup>g</sup>	No <sup>g</sup>	N/A <sup>g</sup>	N/A <sup>g</sup>	N/A <sup>g</sup>
Increase positive reinforcement	Partially Implemented <sup>c</sup>	Inconclusive <sup>c</sup>	N/A <sup>c</sup>	N/A <sup>c</sup>	No <sup>c</sup>	N/A <sup>c</sup>	N/A <sup>c</sup>	N/A <sup>c</sup>
Engage on-going support in natural communities	Yes	Partially Implemented <sup>d</sup>	N/A <sup>h</sup>	N/A <sup>h</sup>	No <sup>h</sup>	N/A <sup>h</sup>	N/A <sup>h</sup>	N/A <sup>h</sup>
Measure relevant processes/practices	Partially Implemented <sup>i</sup>	Substantially <sup>e</sup>	N/A <sup>i</sup>	N/A <sup>i</sup>	No <sup>i</sup>	N/A <sup>i</sup>	N/A <sup>i</sup>	N/A <sup>i</sup>
Provide measurement feedback	Partially Implemented <sup>i</sup>	Partially Implemented <sup>e</sup>	N/A <sup>h,i</sup>	N/A <sup>h,i</sup>	No <sup>h,i</sup>	N/A <sup>h,i</sup>	N/A <sup>h,i</sup>	N/A <sup>h,i</sup>

**Programs**

1. Family Ties & Functional Families
2. Drug Court
3. Community Monitoring
4. HEM Outreach II
5. Anger Management
6. Community Service
7. Law Related Education
8. Day and Evening Reporting

**Notes:**

<sup>a.</sup> A complete system of risk screening includes risks, need and responsivity (barriers) assessment. Auditors found a YASI risk assessment, but did not find a responsivity tool in the

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- files. Responsivity is assessed to detect obstacles to treatment success (e.g. motivation, learning disability, language barriers, intelligence, etc.)*
- b. *Behavior/ Intervention/ Response/ Treatment (BIRP) notes and the Individual Service Plan (ISP) do not provide sufficient details regarding program fidelity, and treatment of service, the participants' response to the intervention, and use of participants' time in productive activities.*
  - c. *Evidence of measuring the appropriateness of the frequency of incentives and sanctions could not be found.*
  - d. *Based on Richmond Behavioral Health Authority responses, not all attributes are adopted.*
  - e. *Post testing to evaluate effectiveness of cognitive techniques was not documented.*
  - f. *Risk assessment was not found.*
  - g. *Appropriate training documentation was not found.*
  - h. *Program description does not support this objective.*
  - i. *Measuring change in cognitive behavior and evaluation of offender recidivism are not done consistently.*

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***RDJS has yet to fully embrace an EBP model in its programming***

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The above table indicates that seven out of ten programs (some columns represent more than one program) either do not impact criminogenic behavior or do not follow the EBP principles. The remaining three programs partially follow the EBP principles. This means that RDJS has yet to fully embrace the EBP model to effect behavioral change and take proactive steps to reduce recidivism.

## **Major Stakeholders' Concerns**

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***The quality of RDJS programs has been challenged by CSU and Judges***

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In their recent communications during April, May, and July 2012, the District Court and CSU informed the City leadership of long-expressed concerns about the quality of RDJS programs and its failure to guarantee acceptable standards of care in the delivery of services that target the needs of juveniles under Court supervision. In addition to the Court's 2007 abstention from approving the VJCCCA plan that provides funding for specific programs, the Judges expressed reluctance to approve a similar plan in 2012. During interviews, the Judges expressed concerns about the programs' contents and methods of delivering program services. They also had concerns about RDJS' receptiveness to the Judges' and CSU's input.

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***For some time, there was a breakdown in communication between RDJS and CSU***

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The regular communication between RDJS and CSU discontinued for a period of about three years. Communication between RDJS and CSU is critical since CSU is a primary stakeholder and the agency responsible for processing juvenile delinquency court cases for Richmond.

***Reaction to Perceptions about RDJS Programs***

CSU noted that regular meetings with RDJS had only resumed in October 2012 after about three years of lack thereof. A former RDJS manager also affirmed that the RDJS executive team and CSU used to have monthly meetings, but these meetings stopped several years ago when there was a change in leadership.

Due to these concerns, there have been several changes to the current VJCCCA plan and to referrals made by CSU for RDJS for some programs not funded through the VJCCCA:

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*Several programs were discontinued after a reduction in CSU referrals*

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- The Day Reporting program was discontinued under VJCCCA due to concerns over program content and supervision.
- Family Ties, which was previously funded through VJCCCA, as one of the two RDJS In-Home programs, is used by CSU for referral on a limited basis only to cover juveniles who do not have medical insurance, including Medicaid. CSU notes that for RDJS to qualify as a primary “intensive in-home provider” instead of an in-home provider, it will have to meet the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services regulatory standards.
- CSU ceased referrals to RDJS’ Anger Management program and has trained its staff to deliver Aggression Replacement Therapy, an EBP program, to treat juveniles whose YASI scores identify this risk/need. A CSU representative informed the auditors that it plans to implement “Thinking For A Change”, another recognized EBP program aimed at cognitive restructuring, social skills development and problem-solving skills, later in calendar year 2013.

### ***Impact on Program Referrals***

Auditors reviewed the impact on referrals made by CSU to RDJS programs. The following table depicts that the number of referrals have declined in certain programs:

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	<b>Program</b>	<b>FY 10</b>	<b>FY 11</b>	<b>FY 12</b>
<hr/> <p><i>There has been a slight reduction in referrals to RDJS programs, but three of the programs have been discontinued</i></p> <hr/>	Anger Management <sup>1</sup>	181	222	209
	Community Monitoring	127	81	88
	Community Service <sup>2</sup>	325	326	263
	Day and Evening Reporting <sup>3</sup>	325	331	285
	Drug Court	42	36	27
	Functional Families/Family Ties <sup>4</sup>	111	86	82
	Law Related Education	93	124	86
	Outreach/HEM	204	179	225
	Impact of Crimes on Victim <sup>5</sup>	33	4	-
		<i>Total</i>	1,441	1,389

Source: RDJS data

- <sup>1</sup> Referral to this program ceased in FY 13. The program was replaced by an EBP program offered by CSU.
- <sup>2</sup> Hourly/Weekend
- <sup>3</sup> Program was discontinued in FY 2013
- <sup>4</sup> Only the individuals who do not have medical insurance including Medicaid are referred.
- <sup>5</sup> Program was discontinued in FY 2011

***Communication between RDJS and CSU/Judges needs to improve***

The above table shows that referrals to RDJS programs have reduced slightly. However, as of the date of this report, three of the above programs have been discontinued as a result of the major stakeholders' concerns. The programs were eliminated due to further reduction in referrals or their replacement by CSU. Based on the above information, it appears that communication between RDJS and CSU/Judges needs improvement to strengthen their working relationship.

***University of Cincinnati (UOC) Report***

In 2010, CSU hired experts from the UOC to evaluate Richmond's GILS model for serving juveniles. The UOC concluded that the GILS system double-counted youth's criminal history for risk assessment.



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***Proper risk assessment expects lower recidivism for low risk juveniles***

The effect of the double-counting using GILS produced a misalignment of the relationship between risk and recidivism. In general, when an assessment tool rates youth as low, moderate or high-risk to recidivate, the expectation is that the lower the assessed risk, the lower the rate of recidivism.

***UOC found double counting the juveniles' criminal history in RDJS' GILS system***

The UOC looked at the GILS classification system and recidivism rates and noted that double-counting the criminal history in GILS reduces the ability of the YASI risk level currently used to accurately predict which types of youth will recidivate. The following tables were obtained from the UOC report:

YASI Category	Male			Female		
	Total N in Category	N Recidivists	% Recidivists	Total N in Category	N Recidivists	% Recidivists
Low	351	96	27.4	316	62	19.6
Moderate	491	289	58.9	142	81	57.0
High	377	306	81.2	27	21	77.8

GILS Levels	Male			Female		
	Total N in Category	N Recidivists	% Recidivists	Total N in Category	N Recidivists	% Recidivists
Level 1	445	148	33.3	316	62	19.6
Level 2	254	189	74.4	65	44	67.7
Level 3	332	227	68.4	88	47	53.4
Level 4	188	127	67.6	16	11	68.8

Source: UOC report

The above tables demonstrate that YASI assessment results follow a well known pattern where higher recidivism is observed in the high risk group. Results obtained from GILS do not follow that pattern as depicted in the following graphs: (YASI—CSU—and enters the GILS 1-4; GILS Levels rather than a risk assessment)

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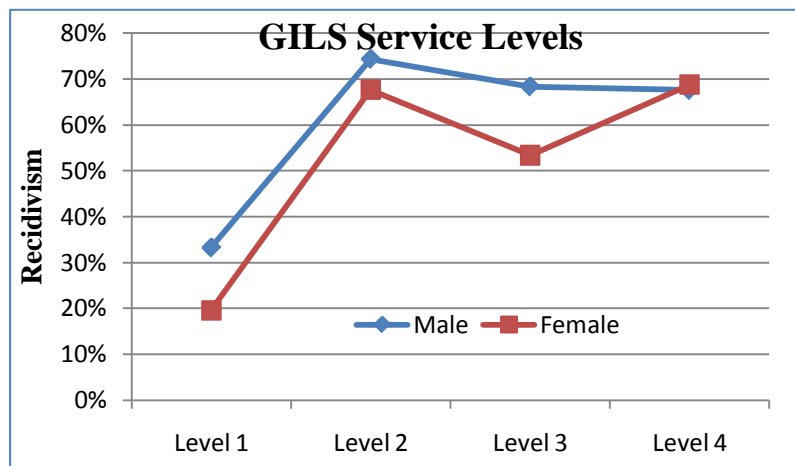
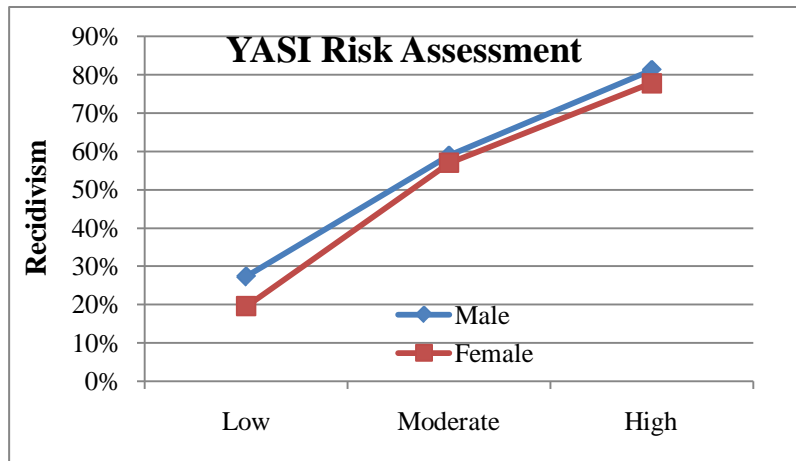
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*Unlike the GILS model, the YASI risk assessment model produces lower recidivism for low risk juveniles*

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*In Richmond, there may have been a mismatch of delinquent juveniles to supervision services and treatment based on risk, need, and responsibility principles*

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The UOC also observed:

Regardless of risk level, the recidivism rates for youth who received treatment services were actually higher than for those who had not received treatment services. This highlights the importance of matching youth to supervision services and treatment based on risk, need, and responsibility principles.

Based on this observation, there appears to be a mismatch of delinquent juveniles to supervision services and treatment based on risk, need, and

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responsivity principles. As depicted above, using the GILS service levels in the past could have contributed to the conditions observed by the UOC. In addition, the auditors' file reviews indicated that risk assessment is not being actively considered in several programs offered by RDJS. Also, the auditors did not observe the use of a recognized responsivity tool in conjunction with the risk assessment in the In-Home programs.

Responsivity assessment is necessary to assess motivational level, personality, cognitive functioning or learning style. These assessments are also used to identify barriers to success. Also, it is used to match youth to services and counselors with whom they are likely to have successful interaction. The UOC provided examples of responsivity tools such as the Massachusetts Youth Screening Instrument, IQ tests, Beck's Depression, and Jesness Inventory. Unidentified barriers may prevent a treatment plan from effecting beneficial behavioral change.

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***Observations made by the UOC are applicable to all programs offered in Richmond, including those offered by RDJS***

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UOC evaluated correctional service providers, including RDJS, through the use of the Evidence-Based Correctional Program Checklist (CPC), which assesses programs based on the known principles of effective intervention. The recommendations offered to improve the juvenile justice system in Richmond are relevant to all the treatment programs offered throughout the juvenile justice system, including but not limited to, RDJS programs. The study included the following observations:

- Based upon the overall types of programs available in Richmond combined with the CPC results of selected programs, there are both definitive gaps in services and a lack of evidence-based treatment programming in Richmond.

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- There are no specific services that target the top criminogenic need factors (antisocial attitudes, values, and beliefs; antisocial personality; and antisocial peers).
- Richmond needs to fully utilize a standardized system of assessment. All youth on probation and parole should be reassessed with a standardized assessment, preferably YASI since all youth are assessed with it upon entry into the system. Youth who are on supervision for long periods of time should be reassessed at least every six months.

The above concerns were evaluated by the auditors and are considered subsequently in this report.

## **Observations**

### ***Qualifications and Training***

According to a CSU representative, CSU is pursuing service providers who comply with the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services standards in order to qualify as “intensive” in-home providers.

The above standards have the following requirements<sup>5</sup>:

- All programs must have a Licensed Mental Health Professional who is responsible for the clinical oversight of the program.
- Intensive in-home services can only be provided by individuals who meet the Department of Medical Assistance Services and definition of a Qualified Mental Health Professional<sup>6</sup> or Licensed Mental Health Professional<sup>5</sup>.
- A Qualified Mental Health Professional can carry at one time a maximum number of five cases. If one case is transitioning out of Intensive In-Home the caseload can be up to six for up to 30 days.

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***RDJS staff are not supervised by a licensed/certified professional***

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In addition to the above standards, RDJS’ manual refers to compliance with the Virginia Administrative Code (§6VAC35-150-460) pertaining to personnel qualifications for program and service providers for nonresidential services:

- A. *Program staff and service providers shall have a job description stating qualifications and duties for the position to which they are assigned.*

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<sup>5</sup> *DBHDS Virginia Department of Behavioral Health and Developmental Services- Licensing Intensive In-Home Services Guidance*

<sup>6</sup> *Chapter 105 rules and regulations for licensing providers by the Department of Behavioral Health and Developmental Services*

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*B. Staff and volunteers who provide professional services shall be appropriately licensed or certified or be supervised by an appropriately licensed or certified person as required by applicable statutes and regulations.*

During the review of employee qualifications, the auditors observed the following:

- Except for one individual noted below, RDJS staff who deliver in-home programs do not meet the definition of a Qualified Mental Health Professional or Licensed Mental Health Professional;
- RDJS hired a licensed clinician in January 2012. Previously, the position had been vacant since December 2010. This means that there was no licensed professional available to either provide or supervise treatment services delivered by staff for approximately one year;
- During file review, the auditors found no evidence of field supervision of counselors.
- RDJS staff who provide counseling to juveniles may have the title of Social Services Case Manager, Outreach Counselor, or Community Services Manager. The job descriptions for these positions do not include requirements for licenses or certifications as required by the Virginia Administrative Code. There was no evidence that these counselors were being supervised by a licensed or certified person to comply with the Administrative Code.
- Auditors observed that one of the counselors did not graduate from college but met the minimum requirement.

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During FY 2012, RDJS' Family Ties program was funded by VDJJ pursuant via the VJCCA plan which is regulated under §6VAC35-150. The applicability of regulations under §6VAC35-150 has been referred to the City Attorney's Office.

The auditors reviewed training records for sixteen RDJS employees representing both the juvenile and adult program staff for the periods FY 2011 through December 2012 to capture all relevant training and observed the following:

- There was no formal business process to document how training needs were established or evidence that staff completed training. Although training logs were often submitted, none of the logs reviewed could be completely corroborated with certificates or other evidence of completion. The auditors noted the following:
  - In two instances, the number of hours on the log overstated the hours shown on the certificate of completion;
  - No training documentation was provided for three individuals; and
  - Training for cognitive-behavior techniques, social learning, Strengthening Families, or ART appears to have been offered to some staff providing in-home counseling, but certificates of completion for some staff were not on file to verify that the training has been received. Such training is necessary to deliver programming in accordance with the fourth principle of evidence-based practices pertaining to skill training with directed practice.

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- Auditors observed that RDJS had \$4,847 in their FY12 budget for training their staff. This amount does not appear to be adequate for the numerous positions that need training. In order to provide sufficient, needed training, RDJS will require additional funding.

### *File Review*

Auditors reviewed 89 program files to evaluate the following attributes:

- Program design and curriculum;
- Evidence of program monitoring;
- Measurement of effectiveness;
- Training and qualifications of program personnel; and
- Follow-up on UOC Recommendations.

The auditors attempted to identify the basis of offering a specific curriculum for various programs offered by RDJS. The following programs did not have a curriculum due to the type of service provided:

- Community Monitoring;
- Community Service;
- Day and Evening Reporting; and
- HEM Outreach II.

The auditors did not evaluate the Day and Evening Reporting Programs; the Day Reporting program was discontinued during the audit period.

The evaluation of the foregoing attributes is discussed below:



***Community Monitoring:***

- The auditors found YASI risk assessments in four out of 17 case files. Without the risk assessment, it is not possible to determine if the level of the service provided to the juvenile was appropriate.
- There was evidence of a file completion check list and supervisory review of the case file in only five out of 17 files. In this event, the quality of service cannot be assured.
- In addition, auditors did not find any evidence of training to the counselor providing this service. In these circumstances, the program may not be administered properly.
- Generally, low risk juveniles are referred to this non-EBP based program. However, in the audit sample, the auditors observed one case where a juvenile had committed rape and assault crimes. According to GILS notes, the referral cautioned that there could be a threat to children under the age of 13 from this individual and recommended extra supervision and strict enforcement of any curfew and substance violation. The auditors did not observe any evidence of RDJS staff confirming with CSU the referral of this high risk individual to a low risk program. After successfully completing Community Monitoring in July 2012, the juvenile was reordered back to this program one month later. However, the service was cancelled after five days due to a curfew violation and a positive drug test. A review of the juvenile's referral history with RDJS shows seven referrals related to truancy from April 2010 to May 2011. The Court eventually placed the juvenile in detention in November 2011, and again in March 2012.

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- The Community Monitoring program exceeded the percentage of completion rate of 75%. However, the recidivism rate after 90 days from the program end date was 62.2%, which exceeded the District 13 (Richmond) rate of 54.2%. These were the performance measures established by the VJCCCA grant.

### *Community Service:*

Auditors reviewed 21 files for this program and had the following observations:

- Two juveniles completed the assigned community service satisfactorily.
- Sixteen other juveniles appear to have completed the community service satisfactorily in accordance with the data in GILS. However, the auditors did not find any evidence supporting this conclusion. Therefore, it is not clear if these juveniles performed the required community service hours.
- There was no evidence of supervisory review for any of the sampled cases.
- During FY11, this program successfully met the completion percentage and targeted recidivism rate compliance.

### *HEM Outreach II*

- For FY11, this program exceeded the required percentage completion rate.
- There was no evidence of the file completion check list and supervisory review of the case files. In this event, the quality of service cannot be assured.

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- There was no documentation of training provided for one of the outreach counselors included in the audit sample.

### *Law Related Education*

- This program provides classroom training and is supposed to have a structured curriculum and detailed training manual. However, auditors found that such curriculum and training manuals were not available. Without these resources, it is difficult to verify if the service was delivered as intended and to evaluate the counselor's performance.
- The auditors did not find any case files for this program other than GILS notes. A review revealed limited information included in these notes, such as the passing score of the participant. This information does not provide any assurance about the skills learned by the youth.
- UOC evaluated this program and concluded that it is not an EBP program. UOC asserted that this type of program is less likely to reduce recidivism as it does not focus on criminogenic needs.
- Auditors did not find the YASI risk assessments for the participants in the program. RDJS staff could not provide a list of participants in various Law Related Education classes. There is a risk that low and high risk individuals could be mixed together in a group. The published literature discourages this type of practice as it will increase the recidivism rate.

### *Anger Management*

- The auditors did not find any case files for this program other than notes made in GILS. A review of these revealed limited

information included in these notes such as the passing score of the participant. This information does not provide any assurance about skills learned by the youth.

- UOC evaluated this program and concluded that it is not an EBP program. UOC recommended replacing this program with an evidence-based treatment program such as ART (which CSU has done).
- Auditors did not find the YASI risk assessments for the participants in the program. RDJS staff could not provide a list of participants in various Anger Management classes. There is a risk that low and high risk individuals could be mixed together in a group. The published literature discourages this type of practice as it will increase the recidivism rate.

#### ***Drug Court***

- The auditors observed that proper documentation related to the following existed in the case files:
  - YASI risk assessment;
  - Additional needs assessment was administered by the Richmond Behavioral Health Authority;
  - Individual service plans;
  - Clinician progress notes; and
  - Results of drug tests.
- The clinician progress notes documented progress made and changing behavior of the youth. This indicated the EBP nature of this program.
- The auditors identified the need for the following improvements:

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- According to the U. S. Department of Justice, research indicates that the ratio of four positive reinforcement to one negative sanction is optimal for promoting behavior changes. However, the documentation in the case files did not keep records of positive reinforcement or sanctions.
- UOC recommended pre and post testing to determine progress on meeting targeted behavior changes. The case files did not show any evidence of conducting post assessments. A Richmond Behavioral Health Authority representative confirmed that they do not perform the post assessments. However, she indicated that a pre/post assessment tool can be incorporated in the program readily.
- During FY 2012, only 27 juveniles were referred to Drug Court. Drug Court staff should work closely with CSU to ensure that all high risk/high need youth who are appropriate for Drug Court actually get referred to the program.
- Out of a total of 14 UOC recommendations, RDJS implemented five, did not implement eight, and did not concur with one of them.

### *Family Ties/Functional Families*

- In the files, the auditors observed the following:
  - For FY 2011, Family Ties met the program completion rate of 75%, and the recidivism rate of 48.6% was less than the 54.2% actual overall CSU rate;
  - YASI/GILS risk assessments and “How I Think” cognitive distortion assessments, which were implemented after the current RDJS clinician was hired in January 2012;

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- Individual Service Plans (ISP) that outline treatment goals and strategies;
- Youth and family history information including youth's social, medical and psychological history and miscellaneous school records, such as report cards or absence reports;
- Copies of RDJS In-Home contract and attire agreement signed by the youth, parent/guardian, and RDJS counselor that specify program rules required for compliance and successful program completion;
- GILS Behavior/ Intervention/ Response/ Treatment (BIRP) notes recorded by counselor to document treatment sessions set forth in the ISP and miscellaneous contact with parent/guardian, schools, and CSU;
- Monthly GILS Reports and clinician reports regarding compliance with curfews, school rules, family household, and program rules; and
- Case file monthly review forms used to check for file completion and timeliness of program service; and GILS documentation including:
  - Termination Summary written by the case manager at conclusion of treatment and signed by the clinician;
  - Summary progress report submitted to the Court at the conclusion of treatment; and
  - Youth outcome evaluation form (the final "report" card score used to pass or fail the youth).
- The files showed evidence of monitoring that focused upon completion of required forms and documentation into GILS. However, RDJS lacked a formal monitoring process to ensure program fidelity or skilled delivery of program lessons and

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overall adherence to attributes of evidence-based practices. The current monitoring process does not include verification of outcome scores for reasonableness.

- All files had a performance outcome score; however, the file documentation did not always provide support for the derivation of the final score. Also, some useful performance measures, such as the “How I Think” score results which are used to measure changes in cognitive distortion, were not included in the performance outcome.
- According to the UOC, “How I Think” is a useful pre/post assessment tool, but it is not a responsivity tool. As noted previously, responsivity assessment is a critical tool that is employed in cognitive behavioral programs that adhere to the third principle of evidence-based practices pertaining to target intervention.
- A domain-specific need assessment, recommended by UOC, to determine which family factors the treatment sessions should be targeting, was not implemented in FY 2012.
- Programs that purport to change behavior use treatment services that are based on scientific evidence of recidivism. The department uses three separate manuals. In addition, it was not clear from the documentation which of the three available manuals the counselors were using in the treatment sessions or when the counselors chose to depart from a structured lesson. Therefore, program fidelity could not be verified.
- The detailed notes in GILS are designed to conform to a standard clinician’s convention referred to as “BIRP” notes. These notes should:
  - connect the juvenile’s individualized treatment plans;

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- identify the strengths and limitations in achieving goals;
- reflect any changes in the juvenile's behavior; and
- enable someone not familiar with the case to read the notes and understand exactly what occurred in treatment.

However, these case notes did not consistently provide details, such as:

- Objective data about the juvenile and what the counselor observed during the session (juvenile's emotions, thoughts, appearance, etc.);
- Counselor's understanding and process during the session and review of any homework or goals and objectives observed during the session;
- Juvenile's response to the session or to the treatment plan; and
- Any revisions to the plan or what the counselor would do in the next session.

This information, along with the periodic assessments like "How I Think" tracks progress and the effects of change that are primary traits of evidence-based programs.

- The file documentation does not quantify the use of rewards and sanctions employed throughout the treatment. The National Institute of Corrections has concluded, based on research, that a ratio of four positive to every one negative reinforcement is optimal for promoting desirable behavioral changes.
- The file showed and RDJS staff agreed that there is no formal process for evaluating how well staff are delivering the service.
- Case files did not show and RDJS staff confirmed that there is no formal process for reviewing the outcome scores for reasonableness.



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- In one case, the auditors observed the following about a juvenile who was deemed to have successfully completed the Family Ties program:
  - The juvenile was awarded all 25 points for not committing new offenses, even though the detailed GILS notes show that the youth admitted to distributing marijuana during treatment. Furthermore, the progress report to the Court did not mention that the juvenile had admitted distributing marijuana;
  - The youth received 10 out of 15 points for measurable improvement in grades even though there were no report cards and the grades were not received from the school;
  - Both “How I Think” scores used to establish a baseline for the juvenile’s thinking and then to measure the effect of cognitive change during the program, had to be discarded. This action was followed by a determination that the scores were unreliable and did not indicate positive impact of the program; and
  - During the treatment, the juvenile was referred to other programs. However, after passing Family Ties, the juvenile failed to complete four out of five programs successfully.

Due to the above discrepancies and general lack of clarity in monitoring and quality assurance processes during the audit period, it was not possible for the auditors to measure or comment upon the overall effectiveness of the services provided by the In-home Program.

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- Published literature indicates that the use of recidivism data and measurement of behavioral change are two of the most objective and important outcome measures. RDJS does not have access to recidivism data, which is maintained by VDJJ, for all their programs. There is no business process for obtaining subsequent recidivism data from the Virginia Department of Juvenile Justice to measure programs' effectiveness. It should be noted that the recidivism data is not be available until at least a year after a juvenile successfully completed the program.
- Of the 15 recommendations pertaining to the In-Home programs in 2010 UOC evaluation, two were deemed implemented, five deemed partially implemented, and seven were deemed not implemented, and one was deemed to require a collaborative effort with other stakeholders.
- Subsequent to the audit period, CSU suggested using another program called Strengthening Families, which is an evidence-based family skills program offered by an outside vendor.

### *Manual Case Files*

The auditors observed that paper case files with electronic and paper documents exist for:

- Community Monitoring;
- Community Service;
- In-Home programs (Functional Families/Family Ties);
- Drug Court; and
- HEM Outreach II.

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This means that a juvenile's information may appear in as many as six different files. The creation of multiple files for the same youth creates the following issues:

- The information may be repetitive and unnecessarily duplicated;
- The information (e.g. YASI/GILS assessments) contained in one file may not be available for another program that may affect/direct delivery of service;
- Some critical documents may be misplaced, destroyed or left unsecured;
- Complete history for a juvenile is not available at one place for comprehensive evaluation of the juvenile's tendencies and behavior.

### *Addressing UOC concerns*

The auditors have the following observations related to some of UOC's concerns:

- UOC found definite service gaps and lack of evidence-based programming. The auditors determined that these gaps still exist, as discussed in the overall effectiveness section below. RDJS needs to embrace evidence-based practices in its programs.
- UOC found that there were no specific services that target the top criminogenic factors. During the audit, the auditors did observe some evidence of targeting criminogenic factors in Drug Court and In-home programs. The other programs did not target criminogenic behavior. The CSU has since started to provide groups that target these needs on their own.
- UOC identified a need for RDJS to use a standardized risk assessment system, preferably YASI. RDJS is currently using it

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in the In-home and the Drug Court programs. However, there was no evidence of YASI for other programs. RDJS should work to obtain YASI results from CSU for every referral to each of its programs.

- UOC recommended implementing a responsivity tool during juvenile assessment. The auditors found responsivity tools used only in Drug Court.
- UOC recommended that juveniles who are on supervision for long periods of time should be reassessed every six months. Since the YASI only CSU personnel conduct testing RDJS cannot implement this recommendation. However, in order to ensure that each RDJS group intervention is affecting change in the targeted areas, RDJS should have pre/post assessment tools for each group, which will help ensure that a youth should successfully complete the group or not based on knowledge and skill acquisition.

***Overall  
Effectiveness***

As discussed in this report, all but two programs offered by RDJS are not designed to provide evidence-based services, and therefore, do not make a significant impact on juveniles' behavior. The remaining two programs, In-Home Services and Drug Court, may have an impact on the juveniles' behavior.

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***Overall, the  
effectiveness of RDJS  
programs needs  
improvement***

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Based on this discussion, if the City expects to provide services that have a long-term impact on influencing beneficial behavioral change, juveniles must be referred to programs that achieve this objective. Due to the challenging environment (poverty and crime) that impacts juveniles' behavior, it is essential that the City provide programs that alter juveniles' behavior to resist environmental influences.

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The auditors analyzed the total of 1,290 referrals made by CSU in FY 2012 and determined the following information related to referrals made to the two RDJS programs that are likely to impact the juveniles' behavior as follows:

	<b>In-Home</b>	<b>Drug Court</b>	<b>Total</b>	<b>% of Total Referrals</b>
2012 Referrals	83	26	109	8%
Satisfactory Completion	35	4	39	3%
Unsatisfactory Completion	14	3	17	1%
Service not Provided	34	19	53	4%

*Source: RDJS data*

Based on the above information, only 109 (8%) referrals were made to programs that have the potential of affecting behavior of juveniles positively. Only 39 or 3% of total referrals satisfactorily completed the programs. The auditors found that the individuals who are unsuccessful in completing these programs may be referred to other programs that are not designed to provide evidence-based services. This means that RDJS programs may be positively impacting juveniles for only 3% of referrals. This observation is depicted in the following pie-chart:

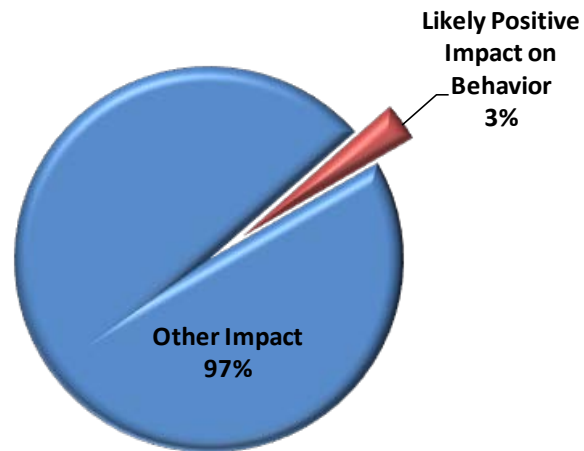
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An analysis of FY 2012 data revealed that of 535 juveniles that were referred to RDJS programs, 260 (49%) were referred to the services two or more times. Of these, 71 (13%) juveniles were referred to the services five times or more. Some of the juveniles may not have actually received services as they did not show up for the programs as scheduled. The programs that are not designed to change the juveniles' behavior may be essential for short-term meaningful purposes; however, programs that change behavior have long-term, sustainable results. This may mean that, in the long-term, current RDJS programs other than Drug Court and In-Home programs may not be positively impacting the juveniles' behavior through their services.

It appears that there is a clear need for improving the existing RDJS juvenile programs, not only to satisfy the needs of the stakeholders, but also to help vulnerable juveniles to improve behavior and to break the negative cycle of crime.

### **Aftercare**

After completing treatment through RDJS programs, youth are expected to not engage in delinquent behavior. However, they are expected to do so with less support in the same environment that may have previously influenced them to commit offenses. This situation requires some methods to keep them motivated to retain the learned behaviors and resist peer pressure and other compelling factors.

According to the UOC, all treatment programs should include aftercare for youth that successfully complete programs. The purpose of aftercare is to help the juvenile rehearse relapse prevention techniques. It is desirable that all youth complete aftercare treatment. The auditors found that the City has yet to adopt a strategy to provide aftercare.

### ***Recommendations:***

2. Establish a protocol for communication with CSU that includes:
  - a. Periodic discussion with CSU of referral policies, program service quality and program improvements;
  - b. RDJS' observations on various cases, such as significant non-compliance, inappropriate behavior inconsistent with improvement goals, and additional information identified about juvenile offenders that needs to be communicated to the Judge;
  - c. Obtaining the YASI scores for every referral made to RDJS;
  - d. Working with CSU to identify all youth who would be appropriate for the Drug Court;
  - e. Inconsistency in referrals compared to risk levels; and

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- f. Procedures for periodically obtaining input from other stakeholders, such as the Commonwealth Attorney, Richmond Public Schools, etc.
3. With the assistance of a qualified third-party facilitator and input from CSU and Judges, implement more evidence-based programs that use cognitive-behavioral tools to improve juvenile behavior and obtain desired outcomes.
4. Pursuant to implementation of recommendation 3 and a legal opinion from the City Attorney's Office on the applicability of the regulations under §6VAC35-150, take appropriate action, if necessary, to recruit staff with or require existing staff to obtain applicable licenses or certifications in accordance with the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services standards and the Virginia Administrative Code.
5. Assess training needs of the staff providing program services and adjust the funding appropriation for training.
6. With assistance from the CSU, use valid responsivity tools to identify constraints juveniles have to successfully complete all pertinent programs offered and adopt positive change.
7. Continue using the YASI risk assessment to screen youth, and begin consistently conducting pre/post assessments for all RDJS programs in order to measure progress in reducing criminogenic needs and to help determine successful program completion.
8. Explore the possibility of maintaining complete and comprehensive electronic documentation of each juvenile's history with stakeholders and the City Attorney's Office. The documentation should include:
  - a. Risk assessments;



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- b. Family assessments;
- c. Evidence of using approved, established curriculums;
- d. Supervisory oversight by a professional qualified in accordance with standards and state statutes; and
- e. Post assessments objectively depicting the impact of the program on youth's behavior.

Link this information instead of maintaining it in separate files.

- 9. Work with the Virginia Department of Juvenile Justice to periodically obtain recidivism data for each participant and program to assess overall impact of RDJS programming.
- 10. Create detailed management reporting at various organizational levels to conform to established goals and strategies.
- 11. Build a dashboard for the top management of the Department including:
  - a. Relevance of major stakeholders' perspective depicted in a trend of referrals to the various programs; and
  - b. Key performance measures related to various divisions and programming.
- 12. Study the scope of aftercare needs and address the needs in cooperation with major stakeholders, including CSU, Judges, the Commonwealth Attorney and Richmond Public Schools.
- 13. Continue efforts on implementing all UOC recommendations unless there is a justifiable reason for not implementing some of the recommendations.

## Other Observations

*Home  
Electronic  
Monitoring  
(HEM)*

Home Electronic Monitoring is the least restrictive alternative to incarceration for certain juvenile offenders. This program ensures availability of detention for youth that present the greatest risk to public safety. HEM reduces the secured detention population. The Court orders HEM for qualified juvenile offenders.

HEM offers significant cost reduction when compared to the cost of placement in secured detention, as depicted in the following table:

<b>Alternatives</b>	<b>Cost per Day</b>
HEM	\$6.30
Secured Detention	\$465.00

Additional administrative costs in HEM are significantly less than the alternative.

HEM requires the offender to wear an electronic monitoring ankle bracelet, which allows the authorities to determine the youth's location. The youth is permitted to be confined in established boundaries, such as their home. If the youth moves beyond the permitted area, an alert is generated and a notification is sent to the authorities monitoring the youth. RDJS has a contract with a vendor to provide home monitoring equipment and services.

For purposes of this audit, RDJS' Juvenile HEM program was examined. RDJS' Division of Adult Programs was excluded from the auditors' examination as the program began after the audit period.

HEM is an option given to youth if he/she does not want to be incarcerated. The eligibility requirements for this program are:

- City of Richmond residency
- Age between 10 through 17 years
- Non-violent and property offenders with a record of arrest that is not lengthy.

The auditors noted the following issues with this program:

***Lack of response to alert protocol***

RDJS did not have a documented protocol for responding to the alert of an offender moving outside of a predetermined zone. Without written protocol the staff may not consistently contact offenders and/or their parents. During the audit, the staff could not provide any data for contacts made in the event offenders moved out of their predetermined zones. RDJS does not have a process to clear an alert in the system. In absence of this process, it is difficult to know if the alert was properly disseminated and addressed by the staff. In the absence of clearing of alerts, it may not be possible to escalate the alerts that were not responded to.

During the audit, there were no procedures to keep track of alert response times. In addition, there were no standards established for alert response times.

***Lack of afterhours monitoring service***

It is imperative under a HEM program that enrolled offenders are monitored 24 hours a day. RDJS has staff available to respond to alerts

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received from the vendor. However, there is no written evidence of RDJS staff assignment for monitoring and responding to alerts in the evening and on weekends. RDJS has a standing practice where each staff has a smartphone device that is provided by the HEM vendor. The alerts should be monitored 24/7 via the smartphone. The auditor analyzed alert data stored in the vendor's database during February 2013 and there were 516 total notifications generated. Of these 516 alerts, the auditor noted the following:

- 137 alerts occurred on the weekend
- 158 alerts occurred on weeknights
- Included in these totals was one juvenile who had 36 total weekend and weeknight alerts during the month

Based on this information, it is evident that there are substantial number of alerts generated on weekends and weeknights.

The Richmond Sheriff's office uses the same contract as RDJS for home monitoring of adult offenders 24 hours a day. They have established a protocol for responding to alerts during the evening hours and on weekends, as depicted in the following example of a juvenile tampering with equipment:

<b>Step</b>	<b>Wait Period</b>	<b>Action</b>
1	XX	If closed document, otherwise
2	XX	Call officer, if not cleared
3	XX	Escalate the call
4	XX	Document
5	XX	Send email

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Although this service is included in the contract price, RDJS does not have a protocol similar to the above. RDJS has not configured the system to enable them to utilize a similar protocol. As a result, some alerts may not be properly responded to during the evening hours and on weekends.

Not properly monitoring youth could allow the youth to move outside the predetermined zone without being detected. In such case, the youth getting involved in undesirable behavior may not be detected or prevented in a timely manner.

### ***Recommendations:***

14. Develop a formal, written alerts response protocol that includes:

- a. Level of response needed to various alert types
- b. Procedures for responding to the various types of alerts
- c. Standards for response time for the alerts
- d. Process for escalation of alerts and an appropriate level of redundancy in communications
- e. Procedure for documentation of the event and action taken

15. Implement an afterhours monitoring protocol.

### ***Cash Controls***

The Division of Adult Programs collects service fees from the participants. Generally, the fee costs the participants \$100 for the program. However, this fee is reduced to \$20 if the participant receives other benefits, such as food stamps, social security or disability. If the participants are required to be in the program for more than six months, an additional amount is charged.

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To account for the fee collection, the Division maintains a spreadsheet that shows transactions with the participants. If correctly maintained, this record could be useful to determine the amount of fees collected and deposited with the Finance Department. However, the auditors noticed several issues with this recordkeeping as follows:

- The entries made on this spreadsheet were inconsistent. The balances due from various participants did not agree with the balances computed using detailed transactions as depicted in the following table:

<b>Fiscal Year</b>	<b>Balance due per spreadsheet</b>	<b>Computed balance*</b>	<b>Discrepancies</b>
2010	\$280,010	\$315,829	\$35,819
2011	\$185,178	\$246,661	\$61,543
2012	\$190,393	\$277,720	\$87,327

*\*The auditor independently computed the ending balance using transactions during the year.*

The spreadsheet records are manual and can be easily manipulated without detection. This would prevent errors or misappropriation of funds from being detected and corrected in a timely manner.

- The Division issues receipts to the participant for their payments. These receipts are the official record of service fee transactions. Auditors observed that the staff did not maintain and issue receipts in sequential order. In addition, they maintained two receipt books. In this situation, there is a risk for misappropriation of fees received. Lack of using sequential order in the receipt book reduces accountability over the money

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collected.

- The staff inconsistently charged fees to the participants. They did not maintain proper evidence for reduction in fees in seven out of the 25 participants' records reviewed. One of the participants did not have support to show the reduction of the fee and six other participants were billed more than the amount for a stay greater than six months.
- The Division did not reconcile the amount of receipts in the spreadsheet and amount deposited with the Finance Department. The auditors observed the following discrepancies:

<i>Fiscal Year</i>	<i>Amount received per spreadsheet</i>	<i>Amount deposited per Finance</i>	<i>Difference</i>
2012	\$111,002	\$45,806	\$65,196

The auditors' evaluation found that the spreadsheet record was not reliable and had several errors. Therefore, it was not possible for the auditors to evaluate this discrepancy using the available records.

***Recommendations***

16. Improve recordkeeping of cash transactions where accountability over cash collected, relief offered in accordance with the policies, and receivables, is verified.
17. Use one set of pre-printed or computer generated prenumbered receipts.
18. Reconcile the amount collected at source with the amount deposited with the Finance Department.

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### *Controls Over Incentives Offered To Participants*

Participants in some RDJS programs are given incentives as they achieve certain milestones. RDJS uses a variety of incentive rewards, such as gifts for:

- Putt Putt Fun Center
- Regal Entertainment Group (Movies)
- McDonalds
- Bowl America
- Science Museum Exhibits
- Kings Dominion
- Shoe City
- GRTC Bus Tickets

The rewards are distributed at three RDJS locations with three different supervisors responsible for the distribution. The auditors recognized that the RDJS' Division of Adult Programs had some internal controls but had no formal policies and procedures.

For the juvenile programs, audit procedures identified the following issues:

- RDJS did not have written policies or procedures related to the distribution and recordkeeping for the rewards.
- The recordkeeping for the rewards was inadequate. One of the supervisors did not maintain any records for awards distributed. The other two supervisors did maintain records, but they were not accurate. A physical count of gift vouchers on hand and gift vouchers expected on hand based on records did not match. Although auditors do not believe the loss is significant, the importance of keeping accurate records cannot be over



emphasized.

- Two of the three supervisors could not provide evidence for their procurement of reward items. Therefore, the auditors could not quantify the total spending on rewards.

***Recommendation:***

19. Related to the non-cash incentives, develop and implement policies and procedures for:

- a. Purchase and distribution
- b. Recordkeeping
- c. Secured custody
- d. Accountability
- e. Justification for distribution

***Compliance  
with  
Procurement***

***Detention Center Capital Improvements***

***Split Purchases***

Pursuant to Purchasing Policy No. 14, user agencies/departments may not submit a PD for the same supplies, materials, or services within ninety (90) calendar days of the initial request. The receipt of such a request shall not be processed by Procurement Services with an aggregate amount exceeding \$50,000. Auditors found that Procurement Services is not always monitoring small purchases for splitting. The auditors found repetitive instances of capital improvement purchases made by the Department of Public Works for the Detention Center where a series of payments less than \$5,000 made to the same vendor less than 90 days apart. The aggregate spending included in the audit sample for each vendor for which split purchases were observed is depicted in the following table:

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Vendor	Amount Spent as Included in Audit Sample*
A <sup>1</sup>	\$9,515
B <sup>2</sup>	\$6,490
C <sup>3</sup>	\$8,782

*\*This indicates the splitting of purchases observed in sampled transactions. The amount of split purchases in the population of transactions could be higher.*

<sup>1</sup> *Purchase and programming of matrix switcher system*

<sup>2</sup> *Interior and door painting*

<sup>3</sup> *Rewire restrooms*

This appears to be a violation of procurement policy. The Department of Procurement Services does not monitor these purchases. The City Auditor's Office observed a similar situation in the audit of Procurement Services, dated August 2012, and recommended the following:

***“Establish written procedures for monitoring small purchases and PD exemptions procured by the departments to assure compliance with the City policies.”***

Procurement Services concurred with the recommendation and agreed to monitor small purchases.

***Procurement over \$5,000 without obtaining required quotes***

RDJS entered into memorandums of understanding (MOU) with two Richmond Public School employees to provide extended math/reading and anger management services for RDJS at the detention center. The amounts of the MOUs' for Vendor X for FY12 and FY10 were \$22,000 and \$14,000, respectively. The amounts of the MOUs' for Vendor Y

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were \$3,000 for each year during FY11 and FY10. RDJS could not locate the MOU's for the other years; however, the amounts paid to these individuals over a four year period from FY09 to FY12 are as follows:

<b>Vendor</b>	<b>Total Payments Over 4 Years*</b>
X	\$43,560
Y	\$27,150

*\*Payments exceeded \$5,000 annually for each individual*

The City's Procurement policy requires obtaining three written quotes and approval from Procurement Services for expenditures of \$5,000 or more. However, RDJS did not obtain three quotes as required by the policy.

In addition, payments to Vendor X were made from the funding received by the City under the Title IV-E federal grant. Federal statutes and the Virginia Department of Social Services Title IV-E manual clearly communicates that education is not an allowable/reimbursable cost. Title IV-E disbursements are restricted to payments related to foster care placements, not for extended reading and math programs for juveniles. The City may be required to repay \$43,560, plus potential fines and penalties, if applicable to the federal government.

***Missing Contractual Agreements***

Under Chapter 74 of the City Code, Procurement Ordinances require formal sealed bids for the purchases over \$50,000. However, auditors

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noted that for FY 2012, RDJS disbursed about \$53,000 to one of its vendors without a contract. The auditor could not find sealed bids for this service or evidence these aggregated payments were detected by Procurement Services. This is a violation of the City Code.

The agreements should include specific descriptions of work to be accomplished and enumerate labor rates, quantity, product specifications, deliverables and due dates. Failure to require full disclosure can result in little or no recourse in the event of contractual, delivery, and billing disputes and may result in incorrect payments.

In addition, during the audit testing, the auditors observed that the scope of work statements for several contractual agreements, as well as vendor invoices, did not adequately describe goods and services. Without proper documentation, it may be difficult to hold the vendor accountable or verify value received for amounts paid. This could result in misuse or misappropriation of the City resources.

### ***Recommendations:***

20. Ensure management oversight over compliance with the City's procurement policies related to obtaining proper bids, quotes, and deterring split purchases.
21. Require vendors to document details of products or services provided in their invoices.

RDJS staff consistently works with juveniles, most of whom are in a vulnerable situation. It is necessary that the adults interacting with these juveniles do not have any objectionable background.

***Background  
Checks***

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The Code of Virginia §66-24 and the City's Administrative Regulations mandate background checks for employees and volunteers. Audit inquiry revealed that RDJS has several employees that either transport juveniles for the various programs or visit homes to administer certain programs.

The auditor reviewed FY 2012 background check records for all new hires and volunteers/interns not connected with the Truancy Program. The Auditor verified if the following three mandated background checks were performed:

- FBI,
- Child Protective Services, and
- VA State Police

The auditor noted the following:

<b>Description</b>	<b>Total records reviewed</b>	<b>At least one of the three mandated checks were not done</b>
Employees	25	13 (52%)
Volunteers	38	19 (50%)

The above table indicated a total of 32 exceptions from 63 background checks. Of the above, no background checks were performed for seven of the 25 employees and two of the 38 volunteers. Additionally, files could not be found for one employee and two volunteers. There is a risk of exposing vulnerable juveniles to adults who may not have appropriate backgrounds.

***Recommendation:***

22. Conduct background checks for all the employees and volunteers in

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accordance with the established City policy.

**Grants**

RDJS received several grants from the State of Virginia and the federal government for FY 2012 as follows:

<b>Grant</b>	<b>Award Amount</b>
Community Corrections and Pretrial Services	\$1,074,886
Juvenile Accountability Block Grant	\$67,581
Juvenile Accountability Block Grant Evaluation of the GILS	\$45,000
Juvenile Detention/Post Dispositional Program	\$15,986
Juvenile Drug Treatment Court Grant	\$133,000
Title II Formula Grant - Evening Reporting Center	\$15,986
Title II Formula Grant - Restorative Justice	\$65,000
USDA	\$47,911
Mental Health Collaboration	\$224,680
Virginia Juvenile Community Crime Control Act (VJCCCA)	\$1,042,894
<b>Total</b>	<b>\$2,732,924</b>

There are grant conditions that the City is expected to comply with in order to continue receiving funding. The auditors tested the City's compliance with the conditions on \$1.3 million out of \$2.7 million grants. The grants tested were found to be in compliance with the City's grants policy and proper evidence was found for:

- Grant Planning
- Pre-Award Application Approval
- Award Acceptance

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- Post Award Grant Management
- Grant Accounting

However, the auditors testing of grant expenditures identified the following internal control weaknesses:

- Two out of 20 invoices tested were created by RDJS and not by the vendor providing services or products. This practice has a risk that grant funds could be misappropriated using invoices created by City employees for services and products not received by the department
- Eight of the 20 invoices lacked supporting documentation such as:
  - Receipt of goods or services
  - Business purpose for the expenditure
  - Proper review and approval

Making payment without supporting documentation may result in the City paying for:

- Goods and services not received
- Non-City business purposes
- Unauthorized expenditures

RDJS needs to improve internal controls over grant expenditures.

### ***Recommendations:***

23. Require official vendor invoices for making payment for expenditures.

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24. Require supporting documentation sufficient enough to confirm that goods/ services paid for were received.
25. Verify the business purpose of all purchases made.

### *Driver License Verification*

RDJS has several employees, such as probation officers, whose job duties require them to drive City vehicles. All the drivers using City vehicles are expected to have their drivers license current and in good standing. However, RDJS does not have written policies and procedures covering drivers' license checks.

RDJS did not have records of drivers' license checks for 12 of the 15 newly hired employees who were required to drive City vehicles as a part of their job duties. Without this information, the supervisors of these employees will not be aware of past issues, if any, related to driving. Any accidents caused by employees could cause additional liability for the City. The Auditor concluded that the controls around driver license checks were inadequate.

### ***Recommendation:***

26. Develop and implement policies and procedures governing drivers' license checks, including verification of a clean driving record for employees permitted to drive City vehicles for their job duties.



**MANAGEMENT RESPONSE FORM**

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#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
1	Implement a more comprehensive truancy program in cooperation with the major stakeholders to address truant behavior.	Y	RDJS, RPS and RPD will establish a memorandum of agreement that outlines a comprehensive approach for addressing chronic absenteeism.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		9/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
	Stakeholders are currently in the process of negotiating the details of the memorandum of agreement.		
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
2	Establish a protocol for communication with CSU that includes: a. Periodic discussion with CSU of referral policies, program service quality and program improvements; b. RDJS' observations on various cases, such as significant non-compliance, inappropriate behavior inconsistent with improvement goals, and additional information identified about juvenile offenders that needs to be communicated to the Judge; c. Obtaining the YASI scores for every referral made to RDJS; d. Working with CSU to identify all youth who would be appropriate for the Drug Court; e. Inconsistency in referrals compared to risk levels; and f. Procedures for periodically obtaining input from other stakeholders, such as the Commonwealth Attorney, Richmond Public Schools, etc.	Y	a. RDJS will continue to participate in bi-monthly meetings with representatives from the 13th District Court Service Unit, Virginia Department of Juvenile Justice and the Juvenile and Domestic Relations Court to discuss policies, program service quality and program improvements. b. RDJS will continue to notify the Court Service Unit as the referral source and court designated case manager when there are issues of non-compliance and inappropriate behavior inconsistent with improvement goals. Notification will be documented in weekly progress notes, monthly status reports and detailed discharge summaries. c. RDJS will work with the CSU to establish a protocol for transmission of the YASI Assessment and scores for all service referrals. d. RDJS will continue to utilize the Drug Court Advisory Committee which is comprised of representatives from the CSU, Commonwealth's Attorney, Public Defender, DJS, and RBHA will to provide guidance on program measures, outcomes, and efficiencies to ensure appropriate placements are promptly identified and connected to treatment with minimal delay. e. RDJS will ensure that program participant eligibility and exclusionary criteria are disseminated to stakeholders and community partners to promote fidelity of the evidence-based risk/needs/responsivity principle. f. RDJS will continue to participate in the Juvenile Justice Collaborative Initiative on a quarterly basis.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		12/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
3	With the assistance of a qualified third-party facilitator and input from CSU and Judges, implement more evidence-based programs that use cognitive-behavioral tools to improve juvenile behavior and obtain desired outcomes.	Y	RDJS will consult with organizations as National Institute of Corrections, Office of Juvenile Justice Programs, and local universities to obtain technical assistance on establishing additional evidence-based programs.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		4/1/2014
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
4	Pursuant to implementation of recommendation 3 and a legal opinion from the City Attorney's Office on the applicability of the regulations under §6VAC35-150, take appropriate action, if necessary, to recruit staff with or require existing staff to obtain applicable licenses or certifications in accordance with the Department of Medical Assistance Services and the Department of Behavioral Health and Development Services standards and the Virginia Administrative Code.	Y	Following a legal opinion from the City's Attorney Office on the applicability of the regulations under the Administrative Code 6VAC35-150, if necessary, the DJS will take appropriate action to ensure that employees are qualified by the applicable regulatory board to deliver services.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		12/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>

#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
5	Assess training needs of the staff providing program services and adjust the funding appropriation for training.	Y	RDJS Training Coordinator will ensure that employee training and development activities are planned based on appropriate needs assessments; training curricula and learning objectives designed with industry best practices; verify trainer qualifications; and maintain official training records for RDJS employees.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		12/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
	In 2013 RDJS hired a Training Policy Coordinator to assess training needs of staff providing program services.		
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
6	With assistance from the CSU, use valid responsivity tools to identify constraints juveniles have to successfully complete all pertinent programs offered and adopt positive change.	Y	RDJS will establish a policy to request the results of the responsivity tool administered by the Court Services Unit. RDJS will administer a responsivity tool at the service level to determine the strategies for accomplishing individualized service plans.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		10/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
7	Continue using the YASI risk assessment to screen youth, and begin consistently conducting pre/post assessments for all RDJS programs in order to measure progress in reducing criminogenic needs and to help determine successful program completion.	Y	RDJS will establish a policy standard to request a copy of the YASI risk assessment administered by the 13th District Court Service Unit. Documentation of each request will be recorded in the hard or electronic case file. For evidence-based intervention programs, RDJS will implement pre and post assessments.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		12/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
8	Explore the possibility of maintaining complete and comprehensive electronic documentation of each juvenile's history with stakeholders and the City Attorney's Office. The documentation should include: a. Risk assessments; b. Family assessments; c. Evidence of using approved, established curriculums; d. Supervisory oversight by a professional qualified in accordance with standards and state statutes; and e. Post assessments objectively depicting the impact of the program on youth's behavior. Link this information instead of maintaining it in separate files.	Y	a., b., c., and e. RDJS will seek advice from the City Attorney's Office and the CSU to determine what, if any, legal and security breaches would prohibit maintaining complete and comprehensive documentation electronically. If records are eligible to be stored electronically in accordance with the legal and state funder's opinion, DJS will consult with the Department of Technology to design a secured central digital library. d. RDJS will seek advice from the City Attorney's Office to determine DJS program services that are deemed professional. Such services will be supervised by a professional qualified with evidence of appropriate credentials in accordance with state statutes.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		9/1/2013 to obtain legal opinion. 04/01/2014 to design data library
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
9	Work with the Virginia Department of Juvenile Justice to periodically obtain recidivism data for each participant and program to assess overall impact of RDJS programming.	Y	RDJS will submit a written request to the Virginia Department of Juvenile Justice central research office to obtain annual recidivism data for clients served by RDJS programs.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Director		8/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
10	Create detailed management reporting at various organizational levels to conform to established goals and strategies.	Y	RDJS will conduct a thorough review of existing goals/strategies by program. Once that baseline is established, RDJS will analyze existing individual scoring models used to determine case status/outcome grade and make modifications as indicated to support the updated goals and strategies. RDJS will then develop a tracking mechanism designed to collect the scores for individual domains and create reports/queries that measure specific changes in behavioral modifications for EBT services.

#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		10/1/2013 for completion of review and modifications to current scoring models by service; 2/1/2014 for development of tools for each service to track individual domains; 5/15/2014 for development of reports designed to measure specific behavioral modifications for EBP programs
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
11	Build a dashboard for the top management of the Department including: a. Relevance of major stakeholders' perspective depicted in a trend of referrals to the various programs; and b. Key performance measures related to various divisions and programming.	Y	RDJS will meet with stakeholders to determine reporting needs beyond the scope of what is currently available and submit the required Information Systems Request document with the Richmond Department of Information Technology. Next steps are (1) prepare the business process argument for review (2) work with DIT to develop detailed functional specifications (3) develop security model and determine access (4) obtain approval for the City's technology roadmap (5) design of centralized dashboard using Business Objects (6) testing and (7) end user training.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		10/1/2013 Meet with stakeholders to define needs and prepare detailed ISR document for submission and approval. The remainder of the timeline will be determined by the DIT implementation schedule following the policies and procedures for development of new applications that will be supported by the DIT Help Desk.
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
12	Study the scope of aftercare needs and address the needs in cooperation with major stakeholders, including CSU, Judges, the Commonwealth Attorney and Richmond Public Schools.	Y	RDJS will collaborate with stakeholders to establish a local response to addressing the scope of aftercare service needs and funding sources.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		3/1/2014
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
13	Continue efforts on implementing all UOC recommendations unless there is a justifiable reason for not implementing some of the recommendations.	Y	DJS has purchased a UOC recommended responsivity tool and family assessment tool. RDJS will train staff to use the electronic version of the MAYSI responsivity tool. Policy and procedures manuals will be updated to reflect the effective date of implementing the MAYSI.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director I		12/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
	An action plan for implementing the UOC recommendations has been submitted to the court service unit for approval. The plan was approved except for two areas regarding responsivity and dosage.		
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
14	Develop a formal, written alerts response protocol that includes: a. Level of response needed to various alert types b. Procedures for responding to the various types of alerts c. Standards for response time for the alerts d. Process for escalation of alerts and an appropriate level of redundancy in communications e. Procedure for documentation of the event and action taken	Y	RDJS will update the current Juvenile Outreach Electronic Monitoring policy and procedures manual by including a "closed Loop notification" standard to verify alerts are received, a "call tree" standard to ensure appropriate escalation of alerts sent, and a "response time" grid for responding to specific alerts. RDJ will establish a standard for staff to utilize the features of the GPS software to acknowledge an event has cleared. RDJS will seek technical assistance from the electronic monitoring contract provider.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		7/31/2013
	Develop a formal, written alerts response protocol that includes: a. Level of response needed to various alert types b. Procedures for responding to the various types of alerts c. Standards for response time for the alerts d. Process for escalation of alerts		

	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
15	Implement an afterhours monitoring protocol.	Y	RDJS will establish an "in-house" monitoring center that will operate 24/7 to ensure that alerts are responded in accordance with the "response time" grid.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Deputy Director II		7/31/2013
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
16	Improve recordkeeping of cash transactions where accountability over cash collected, relief offered in accordance with the policies, and receivables, is verified.	Y	RDJS will upgrade the electronic fee transaction ledger to include an autosum formula that reconciles money orders collected and the weekly total submitted for deposit. Program Manager will ensure that staff are trained and compliant with the supervision fee guidelines.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Deputy Director I		7/1/2013
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
17	Use one set of pre-printed or computer generated prenumbered receipts.	Y	Implemented 2012
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Deputy Director I		
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
			A single receipt book with prenumbered receipts have been implemented as of February 2012.
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
18	Reconcile the amount collected at source with the amount deposited with the Finance Department.	Y	Implemented
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Business Operations Officer		
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
			A procedure has been implemented to reconcile all DJS deposit forms against deposits submitted to Finance on a monthly basis to ensure accuracy. A separate reconciliation of all transactions posting to the Supervision Fee account is done on a quarterly basis.
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
19	Related to the non-cash incentives, develop and implement policies and procedures for: a. Purchase and distribution b. Recordkeeping c. Secured custody d. Accountability e. Justification for distribution	Y	RDJS will develop policies and procedures for purchasing, recording, distributing, securing, and accountability of non-cash incentives.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Deputy Director II		10/1/2013
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
20	Ensure management oversight over compliance with the City's procurement policies related to obtaining proper bids, quotes, and deterring split purchases.	Y	RDJS will establish an internal control to ensure compliance with the City's procurement policies on bids and quotes.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Deputy Director II		10/1/2013
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
21	Require vendors to document details of products or services provided in their invoices.	Y	RDJS will ensure that invoices are appropriately documented with details of products or services rendered.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Business Operations Manager		7/31/2013
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION

#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
22	Conduct background checks for all the employees and volunteers in accordance with the established City policy.	Y	DJS will ensure that employees and volunteers personnel records contain verification that background checks are completed.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		9/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
	DJS has implemented the City policy on background checks and most employee records are updated.		
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
23	Require official vendor invoices for making payment for expenditures.	Y	DJS will insure that invoices are appropriately documented on the vendor's official letterhead prior to authorizing payment of products or services.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Business Operations Manager		7/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
24	Require supporting documentation sufficient enough to confirm that goods/ services paid for were received.	Y	RDJS will establish an accountability policy to ensure that supporting documentation sufficient to confirm that goods/services paid for were received.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		7/31/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
25	Verify the business purpose of all purchases made.	Y	RDJS will establish a policy for internal control of verifying business purpose of all purchases made.
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		9/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>
#	RECOMMENDATION	CONCUR Y-N	ACTION STEPS
26	Develop and implement policies and procedures governing drivers license checks, including verification of a clean driving record for employees permitted to drive City vehicles for their job duties.	Y	DJS will develop and implement a policy to conduct DMV checks bi-annually on all employees permitted to drive City vehicles for their jobs
	<b>TITLE OF RESPONSIBLE PERSON</b>		<b>TARGET DATE</b>
	Deputy Director II		9/1/2013
	<b>IF IN PROGRESS, EXPLAIN ANY DELAYS</b>		<b>IF IMPLEMENTED, DETAILS OF IMPLEMENTATION</b>



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Robert W. Hanway, CPA, CIA, CMA, CFM, MBA  
Lead Auditor  
City of Richmond  
900 East Broad Street  
Richmond, VA 23219

Dear Mr. Hanway –

Per the request quote, I have reviewed the City of Richmond Audit Report 2012-Department of Justice Services. University of Cincinnati was tasked with three responsibilities: (1) validation of the report's findings; (2) a written opinion of the report's findings; and (3) any suggestions for RDJS' improvement.

Upon receipt of the report on 2/27/13, I reviewed each page the 58 pages of the draft report and provided specific feedback for improvement throughout the entire document. After reviewing the full report, I focused my efforts on the correctional issues of the report and also provided some clarifications related to the concepts of the risk, need, and responsivity principles of effective intervention. I submitted a tracked changes version of the report on 3/4/13.

Throughout the report, I was very impressed with quality of the content, the understanding of correctional issues, and the thoroughness of the audit. After the auditors reviewed my recommendations, we held a phone call on 3/6/13 to further discuss remaining areas needing clarification. After the call, I also reviewed another version of the report. Overall, I found the report to be very well rounded and it is an accurate representation of the areas where RDJS needs improvement. Additionally, the recommendations suggested by the auditors and additional recommendations made by me are comprehensive in nature and will assist RDJS in improving services delivered to youth.

With the incorporation of my comments and recommendations, I do not have any further recommendations for improvement. Your team should be very pleased with the outcome of the report.

Sincerely,  
Carrie Sullivan  
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