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<b>Section-16 Probation and Parole</b>	<b>OP-160202</b>	<b>Page: 1</b>	<b>Effective Date: 10/28/2021</b>
<b>Case File Review</b>	<b>ACA Standards: 4-APPFS-3A-27, 4-APPFS-3D-09</b>		
<b>Scott Crow, Director</b> <b>Oklahoma Department of Corrections</b>		<b>Signature on File</b>	

## Audit and Case Reviews

Effective case management is essential to ensure uniformity, consistency and accountability for offenders supervised in the community. Standards for the delivery of supervision will be maintained through initial and ongoing case audit processes. Adherence to effective supervision requirements increases the offenders’ successful completion of community supervision, aids in ensuring public safety and provides more accurate statistical data. Results of the audits and case reviews will provide measurement for employee performance evaluations, generate feedback to the employee, and identify needs for additional coaching or training.

### I. Initial and Secondary Case Audit Procedures

The initial/secondary case audit processes will be utilized to ensure essential supervision functions are performed within policy time frames.

Officers become accountable for an offender upon case assignment in the Inmate and Community Offender Network (ICON).

An initial case audit shall be completed by the assigned officer no later than 60 days from the date of the case assignment utilizing the “Initial Case Audit” ([Attachment A](#), attached/ICON). Upon completion, the form will be submitted to the team supervisor for review. If the requirements of the initial case audit cannot be met within 60 days, the team supervisor may grant an extension, noting the reason in ICON and the plan for rectification.

The “Secondary Case Audit” ([Attachment B](#), attached/ICON) will be completed by the assigned officer receiving a case transfer. The secondary case audit form will be completed no later than 60 days after transfer.

#### A. Initial Case Audit

The purpose of the “Initial Case Audit” ([Attachment A](#), attached/ICON) is to ensure initial policy requirements are met and the officer is afforded the

ability to address any deficiencies in a timely manner. The officer will ensure that all components of the initial case audit are completed prior to the 60<sup>th</sup> day following case assignment. In the event a requirement cannot be completed within 60 days, the officer will notify the team supervisor by case conference to develop a solution to the deficiency. The team supervisor will use the initial case audit form to set due dates for deficiencies, not to exceed 30 days, and/or provide coaching to the officer. This may include, but is not limited to, mentoring or further training.

In the event the assigned officer is unable to complete the requirements for the initial case audit due to leave, training or other unforeseen circumstances, it is the responsibility of the team supervisor to ensure the components of the initial case audit are completed within the required timeframe.

B. Secondary Case Audit

The purpose of the “Secondary Case Audit” ([Attachment B](#), attached/ICON) is to ensure the most recent information is present following a case transfer and that policy is adhered to per [OP-160103](#) entitled “Supervision of Community Offenders.” The assigned receiving officer is responsible for completing the secondary case audit within 60 days of a case being transferred and assigned in ICON. Any deficiencies found during the audit will be staffed with the team supervisor and due dates will be set for corrective actions, not to exceed 30 days. If deficiencies are from the former supervising officer, the team supervisor will document the information in the comments section and forward to the officer’s supervisor.

II. Supervision Review Procedures

To ensure a periodic review of caseload management and supervision activities, the team supervisor will conduct supervision reviews on ten cases of each officer’s caseload on a quarterly basis utilizing the “Supervision Review” form ([Attachment C](#), attached/ICON). The cases to be reviewed will be randomly selected in a manner determined by the administrator of Community Corrections. (4-APPFS-3A-27)

A. Supervision Review Results

The team supervisor will review the results of the supervision review with the officer. The purpose of the review is to identify and develop case management and time management skills. If the review indicates a need for improvement, the team supervisor and the officer will negotiate a plan to correct the deficiencies. This plan may include, but is not limited to, mentoring or further training. Deficiencies must be corrected within 30 days of the review. The results of the reviews will be utilized for:

1. The development of case management and time management skills;

2. Referrals to necessary training;
3. Performance Management Process (PMP); and
4. Compliance with process measures and evidence based supervision.

Assistant regional supervisors will review three files from each of their assigned team supervisors quarterly to ensure the supervision reviews are completed as required. Assistant regional supervisors will report quarterly review findings as compliant or identify deficiencies to the appropriate administrator of Community Corrections by the 15<sup>th</sup> of the month following the end of each quarter.

B. Maintenance

The original "Supervision Review" form ([Attachment C](#), attached/ICON) will be placed in the officer's supervision file and a copy will be given to the officer.

III. Administrative Caseload Review Procedures

The administrator of Community Corrections will ensure that five percent of the administrative caseload is conducted annually for each staff member with assigned administrative cases utilizing the "Administrative Caseload Review Form" ([Attachment D](#), attached/ICON). The immediate supervisor will develop a plan for addressing any deficiencies within the administrative caseloads. (4-APPFS-3D-09)

IV. References

Policy Statement P-160100 entitled "Purpose and Function of Probation and Parole"

OP-160103 entitled "Supervision of Community Offenders"

V. Action

The regional administrator of Community Corrections are responsible for compliance with this procedure.

The chief administrator of Community Corrections and Contract Services is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum OP-160202 entitled "Audit and File Reviews" dated October 14, 2020

Distribution: Policy and Operations Manual  
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
<a href="#">Attachment A</a>	“Initial Case Audit”	Attached/ICON
<a href="#">Attachment B</a>	“Secondary Case Audit”	Attached/ICON
<a href="#">Attachment C</a>	“Supervision Review”	Attached/ICON
<a href="#">Attachment D</a>	“Administrative Caseload Review Form”	Attached/ICON