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Case File Review	ACA Standards: 4-APPFS-3A-27, 4-APPFS-3D-09		
Steven Harpe, Director Oklahoma Department of Corrections		Signature on File	

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 Case Audit Procedures

The initial 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).

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 60th day following case assignment. The form will be completed in ICON by the supervising officer and submitted to the team supervisor by the 60th day due date. 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.

II. Supervision Review Procedures

To ensure a periodic review of caseload management and supervision activities, the team supervisor will conduct supervision reviews on two cases of each officer's caseload on a monthly basis utilizing the "Supervision Review" ([Attachment C](#), attached/ICON). These forms are completed in ICON. The cases to be reviewed will be randomly selected in a manner determined by the administrator of Community Corrections. (4-APPFS-3A-27) If the supervision reviews indicate case management issues, additional reviews will be conducted.

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 provide feedback in order to identify and develop case management and time management skills. (4-APPFS-3A-27) 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 will 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 15th of the month following the end of each quarter.

III. Officer Actions Due (ICON)

By the 5th day of each month, the team supervisor will run the "Officer Actions Due" in ICON for each officer. The report will be printed and

submitted to each officer for correction by the last working day of the month. The team supervisor is responsible for ensuring corrections were made and submitting the results to the appropriate Assistant Regional Supervisor.

IV. 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). These forms will be completed in ICON. The immediate supervisor will develop a plan for addressing any deficiencies within the administrative caseloads. (4-APPFS-3D-09)

V. References

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

OP-160103 entitled "Supervision of Community Offenders"

VI. Action

The regional administrators 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: OP-160202 entitled "Audit and Case Reviews" dated October 28, 2021

Distribution: Policy and Operations Manual
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	“Initial Case Audit”	Attached/ICON
Attachment C	“Supervision Review”	Attached/ICON
Attachment D	“Administrative Caseload Review Form”	Attached/ICON