



## PROBATION AND PAROLE BUREAU STANDARD OPERATING PROCEDURES

Procedure No.: P&P 40-5	Subject: <b>CASE RECORD AUDITING</b>
Reference: <a href="#">P&amp;P 40-3</a> ; <a href="#">P&amp;P 40-6</a> ; <a href="#">DOC 1.5.5</a> ; <a href="#">DOC 1.5.7</a> ; <a href="#">DOC 1.7.3</a> ; <a href="#">53-1-203, MCA</a>	Page 1 of 2
Effective Date: 10/29/01	Revision Dates: 03/30/12
Signature / Title: /s/ Ron Alsbury, Probation & Parole Bureau Chief	

### I. BUREAU DIRECTIVE:

Probation & Parole Bureau supervisory staff will conduct regular audits on active offender case records to ensure employee case management performance is in compliance with all applicable standards, procedures and statutory requirements.

### II. DEFINITIONS:

Audit – A process by which supervisors review adult offender files to ensure supervision standards are met and files are organized according to applicable Department policies and Probation & Parole Bureau standard operating procedures.

Department – The Montana Department of Corrections.

Offender Field File – The OMIS and/or hard copy record used for offender management containing legal documents, reports, and offender records to include, but not limited to, material regarding custody, classification, treatment programs, and community supervision. Also referred to as “case record.”

OMIS-Offender Management Information System – The Department’s electronic data collection and reporting.

### III. PROCEDURES:

The case record audit system ensures that Probation & Parole Officers (Officer) are meeting job performance standards and complying with applicable policies and procedures. Audits are used to identify personnel or case record management system compliance. They will be conducted in a manner that reinforces the mission of the Probation & Parole Bureau (Bureau) and provides feedback to Officers in regards to case records they are maintaining.

- A. Offender field file audits will ensure case records are current and that appropriate and accurate materials are being entered and maintained both in OMIS and hard copy of file. Every effort will be made to ensure compliance with Bureau, Department, federal and state guidelines.
- B. The content of all offender case records will be maintained in compliance with *P&P 40-3 Uniform File Organization for Probation & Parole Field Files*.

Supervisors conducting case record audits will refer to *P&P 40-6 Case Records Management* to ensure Officers are properly entering information, and storing and handling offender records.

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### C. Auditing Guidelines

The offender files to be audited will be determined by the supervisor, until such time as random lists can be generated by OMIS and provided to supervisors. Audits will be conducted on a quarterly basis, beginning each January, April, July and October as follows:

- A minimum of two (2) case records per Officer per quarter [minimum of eight (8) annually], or
- A minimum of four (4) case records per quarter per Officer on probationary status or Officer who has permanent status, but is new to his/her position.

Supervisors will review the records using *P&P 40-5(A) Case Record Audit Form-P&P* or *P&P 40-5(B) Case Record Audit Form-ISP* and may include additional records if deemed necessary.

Forms usage will also be reviewed to determine if the appropriate and approved forms are being used. Audits will verify whether the supervision standards are being met and reassessments are current.

### D. Audit Process

Supervisors will:

1. Notify Officer of each upcoming audit.
2. Audit random offender field files and OMIS entries using *P&P 40-5(A) Case Record Audit Form-P&P* or *P&P 40-5(B) Case Record Audit Form-ISP* to determine if standards are being met and procedures are being followed.
3. Review and discuss audit findings which specifically identify compliance or non-compliance with the Officer assigned to the case record.
4. Provide Officer an opportunity to discuss/explain any non-compliance. Corrective action, if necessary, will be noted to rectify non-compliance and Officer has five (5) working days to respond in writing or verbally to the action taken.
5. Recheck files not meeting standards to ensure appropriate action has been taken to correct non-compliance.
6. Maintain original audit form and provide a copy to the Regional Administrator and Officer. Audit results will be used in annual performance appraisals.

## IV. CLOSING:

Questions concerning this procedure shall be directed to the Regional Administrator or POII.

### Form

- P&P 40-5 (A)     [Case Record Audit Form-P&P](#)  
P&P 40-5 (B)     [Case Record Audit Form-ISP](#)