



**STATE OF MONTANA
DEPARTMENT OF CORRECTIONS
POLICY DIRECTIVE**

Policy No. DOC 1.5.7	Subject: CASE RECORDS AUDITING
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 2
Section 5: Case Records Management	Effective Date: Oct. 1, 1996
Signature: /s/ Mike Ferriter, Director	Revised: 03/28/07; 03/21/11

I. POLICY

The Department of Corrections will designate Department employees to audit representative offender case records annually.

II. APPLICABILITY

Department and contracted facilities and programs.

III. DEFINITIONS

Facility/Program – Refers to any division, prison, secure care correctional facility, correctional or training program, or community-based program under Department jurisdiction or contract. This term includes the facility building or residence, including property and land owned or leased and operated by the Department.

IV. DEPARTMENT DIRECTIVES

A. Audit Requirements

1. Each facility will establish written procedures that:
 - a. require an annual audit of representative offender case records;
 - b. design the audit process to ensure that records are current, organized, and maintained in accordance with *DOC 1.5.5., Case Records Management*; and
 - c. implement the audits in compliance with federal, state, and Department confidentiality guidelines.
2. The audit instrument will refer to Department records management policies and any additional facility procedures to ensure that the content and organization of offender case records comply with the established requirements.
3. Additional offender records subject to audits may include, but are not limited to, the following:
 - a. offender classification information;
 - b. case notes;
 - c. case progress reviews;
 - d. incident or disciplinary reports;
 - e. treatment information;
 - f. medical records; and
 - g. admission documents.

B. Audit Process

Subject: CASE RECORDS AUDITING

1. Each facility will establish its own case records auditing schedule; however, audits must be conducted at least annually on a representative sample of offender records.
2. The Department recommends that designated facility staff and records staff from other Department facilities comprise the audit team.

V. CLOSING

Questions concerning this policy should be directed to the facility administrator.

VI. REFERENCES

- A. *DOC Policies [1.5.4](#), Transfer of Offender Records; [1.5.5](#), Case Records Management*

VII. ATTACHMENTS

None.