



**DEPARTMENT OF CORRECTIONS  
PROBATION AND PAROLE DIVISION  
OPERATIONAL PROCEDURE**

Procedure:	<b>PPD 1.5.700</b>	<b>AUDITS OF CASE MANAGEMENT AND RECORDS</b>
Effective Date:	06/17/2019	Page 1 of 3
Revision Date(s):	09/21/2020	
Reference(s):	PPD 1.5.501; DOC 1.5.5; DOC 1.5.7; DOC 1.7.3; 46-23-1004, MCA	
Signature / Title:	/s/ Kevin Olson, Probation and Parole Division Administrator	

**I. PURPOSE:**

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, and reinforces the mission of the Probation & Parole Bureaus.

**II. DEFINITIONS:**

**Audit** – A process by which supervisors review adult offender case records to ensure supervision standards are met and records are organized according to applicable Department policies and the Probation & Parole Bureaus’ standard operating procedures.

**Current** – For the purpose of this procedure, means information regarding an offender is up-to-date and in the appropriate, respective OMIS module.

**Offender Case Record** – The primary records for offenders that may include, but are not limited to, certified documents that authorize the Department to maintain legal custody and/or supervise the offender, reports, classification, treatment programs, and grievances; utilized to provide basic physical, biographical, or historical information about an offender, and to aid placements, custody, classification, treatment, and supervision.

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

**III. PROCEDURES:**

**A. GENERAL INFORMATION:**

1. The case management and records 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, offender case record, and Officer case management compliance. Feedback is provided to the Officer.
2. Offender case record audits will ensure case records are current and that appropriate, timely, and accurate information and documents are being entered and maintained in OMIS and hard copy of record (also known as “field file”). Every effort will be made to ensure compliance with Probation & Parole Bureau, Department, federal, and state guidelines.
3. The content of all offender case records will be maintained in compliance with *PPD 1.5.501 Case Records Organization, Management, and Retention*.

4. Supervisors conducting case records audits will also refer to *PPD 1.5.501* to ensure Officers are properly entering information and storing and handling offender records.

**B. AUDITING GUIDELINES:**

1. The case records to be audited will be determined by the supervisor until such time as random lists can be generated by OMIS for supervisors.
2. A minimum of three (3) case record audits per Officer will be conducted on a quarterly basis.
3. Supervisors will review the records using *PPD 1.5.700(A) Case Management/Record Audit Form* and may include additional records if deemed necessary.
4. Forms usage will also be reviewed to determine if the appropriate and approved forms are being used.
5. Audits will verify whether the supervision standards are being met and reassessments are current.

**C. AUDIT PROCESS:**

1. Officers assigned to the case record will be notified of each upcoming audit.
2. Supervisors will complete the audits through a two-part process.
  - a. The first process is an audit of the offender's OMIS entries and field files. If a document listed in *PPD 1.5.700(A) Case Management/Record Audit Form* is not in OMIS but is in offender's hard file, Officer will be directed to add the document in OMIS.
  - b. The second process is to meet with the Officer and audit his/her case management of the offender by reviewing the following:
    - 1) Presentence investigation reports written by the Officer: To determine the conditions are appropriate, connected to assessment domains, and a nexus to the crime was provided;
    - 2) Officer's case management: Offender's assessment and Officer's discussion of domains and corresponding case plan. Supervisor will check for compliance with supervision standards contained within *PPD 6.1.203 Case Management for Adult Offenders*;
    - 3) Reports of Violation written by Officer: To determine whether violations, exhaustion of *PPD 6.3.101(A) Montana Incentives/Interventions Grid for Adult Probation & Parole*, and street time are properly recorded;
    - 4) OMIS Data: To include informational and chronological entries made and documents required in OMIS; and
    - 5) Offender Centric Reports: Review and discuss the Officer's use of these reports regarding his/her total case load.
      - a) Assessments,
      - b) CDFS Reviews Needed,
      - c) PSI Overdue,
      - d) MIIG Responses by Date Range, and
      - e) Random Substance Tests.
    - 6) MIIG Responses by Date Range report is attached to the *Case Management/Record Audit Form*.

3. Supervisor will review and discuss audit findings which specifically identify compliance or non-compliance with the Officer:
  - a. provide Officer an opportunity to discuss/explain any non-compliance;
  - b. corrective action, if necessary, will be noted to rectify non-compliance and Officer has 10 working days to respond in writing to the action taken; and
  - c. files not meeting standards will be rechecked to ensure appropriate action has been taken to correct non-compliance.
  - d. Supervisor maintains original audit form and provides a copy to the Officer; and
  - e. Copy of audit form will be attached to appropriate performance evaluation and maintained in Officer's local personnel file.
  
4. Supervisors will meet quarterly with the Deputy Chief to discuss audit process and results, as well as any recommendations made to management regarding the auditing process.

**IV. CLOSING:**

Questions regarding this procedure shall be directed to the Deputy Chief or Probation & Parole Bureau Chief.

**V. FORMS:**

PPD 1.5.700 (A) Case Management/Record Audit Form