



POLICY DIRECTIVE

Policy:	DOC 1.5.7 CASE RECORDS AUDITING
Effective Date:	10/01/1996 Page 1 of 1
Revision Date(s):	03/28/2007; 03/21/2011; 04/24/2026
Signature/Title:	/s/ Eric Strauss, Director

I. POLICY

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

II. APPLICABILITY

Department and contracted facilities and programs.

III. REQUIREMENTS

A. Audit Requirements

1. Each facility will:
 - a. establish written requirements that 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 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

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.

IV. CLOSING

Questions about this policy should be directed to an administrator.

V. REFERENCES

- A. *DOC 1.5.4 Transfer of Offender Records; DOC 1.5.5 Case Records Management*