

Case File Review	1
I. Case File Review Procedures.....	1
A. Case File Review Results.....	1
B. Maintenance.....	2
II. Administrative Caseload Reviews.....	2
III. References	2
IV. Action.....	2
Attachments.....	3

Section-16 Probation and Parole	OP-160202	Page: 1	Effective Date: 09/13/2016 Revision-01 Effective: 02/14/2018 Page 2, 3
Case File Review	ACA Standards: 4-APPFS-2A-01, 4-APPFS-2A-03, 4-APPFS-2A-08, 4-APPFS-2A-11, 4-APPFS-2B-02, 4-APPFS-2B-03, 4-APPFS-3A-27		
Joe M. Allbaugh, Director Oklahoma Department of Corrections		Signature on File	

Case File Review

Once an offender has been assessed and criminogenic needs have been identified, proper follow up is essential in the supervision of offenders on community based programs. Proper supervision can aid in the offender’s successful completion of community supervision. Addressing and/or reporting violations assist in ensuring public safety. (4-APPFS-2A-02, 4-APPFS-2A-03, 4-APPFS-2A-08, 4-APPFS-2A-11, 4-APPFS-2B-02, 4-APPFS-2B-03)

I. Case File Review Procedures

To ensure a periodic review of caseload management and supervision activities, the team supervisor will conduct case file reviews on a minimum of ten percent or ten files, whichever is greater, of each officer’s caseload on a quarterly basis utilizing the “Case File Review” form ([Attachment A](#), attached). The cases to be reviewed will be randomly selected in a manner determined by the district supervisor. (4-APPFS-3A-27)

A. Case File Review Results

The team supervisor will review the results of the case file review with the officer. The purpose of the review is to identify and develop case management and time management skills. 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. 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.

B. Maintenance

The original "Case File Review" form ([Attachment A](#)) will be placed in the officer's supervision file and a copy will be given to the officer. Copies of case file reviews will not be placed in the offender's field file.

II. Administrative Caseload Reviews

(Revision-01 dated 02/14/2018)The district supervisor will ensure that a quarterly review of five percent (5%) of the administrative case load files is conducted utilizing the "Administrative Caseload Review Form" ([Attachment B](#), attached).

III. References

Policy Statement No. OP-160100 entitled "Purpose and Function of Probation and Parole"

IV. Action

The district supervisors are responsible for compliance with this procedure.

The director of Probation and Parole Services is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-160202 entitled "Case File Review" dated September 13, 2016

Distribution: Policy and Operations Manual
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	"Case File Review"	Attached
(Revision-01 02/14/2018)		
Attachment B	"Administrative Caseload Review Form"	Attached