


UMATILLA CO. COMMUNITY CORRECTIONS POLICY/RULE	Community  Corrections	ARTICLE: 507.725
		EFFECTIVE: 08/01/07 Amended:
		REVIEW:
SUBJECT: ADULT FIELD SUPERVISION CASELOAD AUDITS		

I. PURPOSE:

To ensure that case management and supervision standards are being met and that each case is being supervised in accordance with Umatilla County Community Corrections procedures, for the benefit of assisting staff in managing the workload and to provide for training needs.

II. REVIEW HISTORY:

Reviewed and updated by Program Superintendent 08/03/05

III. Contact:

Mark Royal- Superintendent

IV. POLICY:

It is the policy of Umatilla County Community Corrections (UCCC), to review the casework of employees.

V. RATIONALE:

Caseload Audits help assure appropriate oversight and accountability for casework, and provide an opportunity for Program Superintendents to help staff maximize their effectiveness.

VI. CROSS REFERENCES:

Umatilla County Community Corrections Policy & Procedure #507.700
Umatilla County Community Corrections Policy & Procedure #507.775

VII. DEFINITIONS:

Case Review: The physical inspection of files by the supervisor.

Chronological Entries: Narrative entries in chronological log reflecting case activity.

Classification: Offender's Supervision Level.

EPR: Enter Probation Record Law Enforcement Data Systems (L.E.D.S.) computer.

OPS: Offender Profile System; component of the State Corrections Information System.

Contacts: Face-to-face, written, or electronic contact with offenders or others.

File Organization: Four parts as follows:

- Side 1: All orders related to supervision
- Side 2: All reports and forms generated by officer, treatment reports, compliance to special conditions.
- Side 3: Chronological report
- Side 4: Correspondence, monthly reports, police reports, computer print-outs.

Sanction continuum: The PPO shall use a continuum of Administrative Sanctions for violations of post-prison, parole, and probation supervision. The sanction continuum shall include adjustments to the level of supervision and, as approved by the releasing authority, modifications of or additions to the conditions of supervision. In addition it may include any other appropriate local sanctions of but not limited to, jail, community service work, house arrest, electronic surveillance, work release centers or other local sanctions.

Motivational Interviewing: A client-centered, yet directive method of exploring and resolving offender ambivalence about change by eliciting the offender's own intrinsic motivation.

Interstate Compact: In accordance with ORS 144.600 it is the policy of the Department of Corrections to fully participate in the Interstate Compact for Adult offenders supervision and comply with the rules lawfully promulgated by the National Interstate Commission. The rules apply to all offenders applying for or receiving interstate compact services. Upon receipt of an investigation the PPO has 45 days in which to accept or reject the case.

Interregional transfer Request (IRT): The process for which parole, post-prison supervision and probation cases can be transferred from one county to another. Upon receipt of an investigation, the PPO has thirty days in which to respond to the sending county.

LS/CMI Interview: A structured interview that is designed, through the use of MI techniques, to gain valuable knowledge from an offender regarding various areas of his/her life. The information gained is then used to score

the LS/CMI assessment tool and subsequently develop an appropriate supervision plan.

Supervision Plan: A coordinated plan of supervision based on risk, need, and responsivity. Specifically, the highest criminogenic and non-criminogenic needs, previously identified through the LS/CMI interview, are reflected on the supervision plan and goals and interventions are subsequently noted for each need identified.

FRAMES: A research based brief intervention technique. The 6 components are: Feedback, Responsibility, Advice, Menus, Empathy and Self-efficacy.

LS/CMI Progress Record Review: A formal meeting between PPO and Offender where progress toward previously determined goals is evaluated and documented.

Criminogenic needs: Offender needs that have been proven to have a direct effect on recidivism. Examples include substance abuse, employment and attitude.

Non-criminogenic needs: Offender needs that are not directly linked to criminal behavior. Examples include: health care, mental health, and social welfare concerns.

Strengths: Positive characteristics or circumstances that may reduce the chances of criminal conduct by an offender.

Responsivity issues: Issues to consider when working with an offender that if ignored, may hinder the impact of programs/services. Examples include: communication barriers, low intelligence, cultural issues, and motivation.

Stable and Acute: to be developed at recommendation of SOSN.

LS/CMI Discharge Summary: A formal documentation of the closure or discharge of a case.

VIII. Procedures:

A. Caseload audits shall be completed every quarter by the Parole/Probation Supervisor (PS). Each PPO will be subject to 3 separate audit processes, which are described below:

Audit #1: **Audit 5 random case files quarterly per PPO utilizing Exhibit A: File contents and organization. The case audit shall include the physical inspection and review of each file (including electronic file). On compact and**

INS cases, computer data may be solely used for this review.

Audit #2: Audit LS/CMI Assessment Scoring and interrater reliability utilizing exhibit C. PS (Probation/Parole Supervisor) will conduct quarterly training, mock interviews and scoring utilizing a scripted interview, which is pre-scored. They will score and develop a case plan based on the interview, which will be made available to PS and PPO peers for review and accuracy. Based on findings and/or inconsistencies training will occur to insure accuracy and interrater reliability.

Audit #3: Audit Motivational Interviewing skills through quarterly evaluation done by Sheryl Price. Each PPO will be reviewed quarterly in their utilization of Motivational Interviewing techniques. A minimum of one LS/CMI interview will be evaluated annually. Ms. Price will meet with staff to review the interview, outline which of the goals of interview were accomplished and which were not and for what reason. What if any of the information obtained during the interview impacted the interview and the interviewing process. Go over points in the interview staff did well and what strategies worked well and which strategies worked the best for both the interviewer as well as the interviewee. Also review strategies that didn't work as well and provide suggestions on what could have been more effective.

Ms. Price will provide a written summary of the witnessed interview with suggestions and commentary to both PPO and PS.

Audit #4 Administrative audit over the completion of the quarterly completed audits. (to be developed)

- B. PS's shall include the PPO in the review process.
- C. At a minimum, case reviews of supervised cases shall require a review of the following:

1. Orders/Conditions of Supervision: All current orders are in the file and conditions signed.
2. Classification: Current, accurate and appropriate. Date of most recent classification. For sex offenders this will be done in conjunction with the Sex Offender Assessment. Reassessments should be done a minimum of every six months. The PS will note any problems with accuracy or appropriateness.
3. EPR: Case is entered in EPR, including the data for sex offenders. Sex offender's registration for sex offenders.
4. Supervision Fee: Case is entered in supervision fee tracking system.
5. Photo: Current photo in file.
6. Criminal History Record & DNA: i.e., PSI, computer records, CCH to be updated annually.
7. Description of Current Offense: Pre-sentence investigation or police reports.
8. Offender Assessment: Should be completed initially within 30 days of case assignment, unless the offender is unavailable for supervision and a minimum of every 6 months thereafter. The purpose of the Offender Assessment is to focus case management on the most significant criminogenic factors which research has shown impact criminal behavior (substance abuse, attitudes, companions, and education/employment). The Offender Assessment should provide information for case planning and a method to develop case management decisions. The Supervision Goals and directives to address community behavior constitute the Case Plan. Quality is a high priority and should be evaluated when reviewing the Case Plan. Use of the Offender Assessment should be consistent with *Umatilla County Community Corrections Policy & Procedure #507.700, Probation and Parole Case Management System*.
9. Action Plan: Should be used to identify the specific activities required of the offender and instructions given to achieve supervision objectives. Use of action plans should be consistent with *Umatilla County Community Corrections Policy & Procedure # 507.700, Probation and Parole Case Management System*

10. Contacts: Contacts reviewed per standards in Policy and Procedure #400, including quality of contacts.
 11. Chronological Entries: Legible, complete, accurate and **timely**: reflect case activity, quality of activity and writer identified.
 12. Appropriate Case Management: Monitoring of compliance and follow-up to problems; appropriate interagency communication; all significant violations investigated in a timely and accurate manner; and work priorities are consistent with policy or instruction per Policy and Procedure #507.700, P&P case Management.
 13. Monthly Reports: Reviewed for completeness and accuracy.
 14. File Organization: File organized in accordance with policy.
 15. Conformance: Compliance with general and special conditions of supervision, including financial obligations, Treatment/Treatment Module, and SRF's/Sanctions Tracking Module.
- D. The PS may expand upon the items listed under section D whenever warranted, especially for evaluating quality of work.
- E. The PS may check the status of additional files if a problem area is noticed.
- F. The PS shall review the completed case audit with, and provide a copy to the PPO. Written instructions regarding areas requiring further action and time frames will be provided. These instructions should include a review of the Audit and action items, as well as a summary of the quality of case management per *Policy and Procedure#507.700, Probation and Parole Case Management System*. The audit review needs to address how the actions required relate to effective case management, consistence with department goals and objectives.
- G. The PPO shall respond to the audit review, indicating action taken. The PPO may respond and comment on the audit review.

Copies of the file audit, LS/CMI audit, Motivational Interviewing audit and response memo shall be placed in the **supervisors operating employee file**.

IX. EXHIBITS:

- Exhibit A-** File Organization Audit Form
Exhibit B- Caseload Audit Forms
Exhibit C-LS/CMI Interview and Assessment Scoring Audit Forms
Exhibit D-LS/CMI Supervision Planning Interview Audit Form

Exhibit E-LS/CMI Progress Record Review Audit Form
Exhibit F-Frames Approach and LS/CMI Script