

Case Audit

624.1 PURPOSE AND SCOPE

To set forth the guidelines and procedures for conducting case audits by supervising probation officers. This policy applies to all supervisors responsible for oversight of supervision caseloads.

624.2 POLICY

Supervisors will conduct case audits of randomly selected cases from each caseload to monitor compliance with individualized caseload mandates.

624.3 CASE AUDIT PROCEDURE

- (a) The supervisor shall complete monthly case audits utilizing the available audit reports such as the “Case Audit Report” and the client management system to determine the following:
 - 1. File contents are complete and in order.
 - 2. Contacts are appropriate for the current level of supervision with respect to frequency and content and in accordance with policy 606 Contact Entries.
 - 3. All appropriate client management system screens are accurate.
- (b) A record of the audit shall be entered in the client management system indicating a supervisor reviewed the case and returned it to the assigned personnel for modifications, if applicable. This record should be specific to the case and not be used to document employee performance.
- (c) Should the supervisor find the assigned officer has failed to meet the above criteria and make any necessary modifications within 30 days unless otherwise directed, the supervisor shall notify the managers.

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