
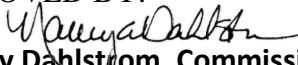


<p>STATE OF ALASKA DEPARTMENT OF CORRECTIONS</p>  <p>POLICIES & PROCEDURES</p>	SECTION: Administration		PAGE: Page 1 of 3
	CHAPTER: 600	NUMBER: 603.03	P&P TYPE: Public
	TITLE: Pretrial, Probation & Parole Case Record Audit		
	APPROVED BY:  Nancy Dahlstrom, Commissioner		DATE: 01/21/22
ATTACHMENTS / FORMS: (A) Pretrial Desktop Audit Report (B) Probation and Parole Electronic Audit Report (C) Case File Audit.		AUTHORITY / REFERENCES: 22 AAC 05.155 AS 33.30.011 AS 33.05.010 AS 33.30.021 AS 33.07.010 AS 44.28.030 AS 33.16.180	

POLICY:

It is the policy of the Department of Corrections (DOC), Division of Pretrial, Probation and Parole (DP3) to complete quality assurance reviews of written and electronic offender records to ensure compliance with Departmental Policies and Procedures.

APPLICATION:

This policy and procedure will apply to all Division of Pretrial, Probation and Parole employees.

DEFINITIONS:

As used in this policy, the following definitions shall apply:

Active Caseload:

Cases on active pretrial, probation and/or parole supervision.

DP3 Executive Team:

A team comprised of the Division Director, Division Deputy Directors, Chief Probation Officers, and Deputy Chief Probation Officers.

PROCEDURES:

I. Pretrial Audit Process:

- A. Active pretrial caseloads are subject to audit standards.
- B. Pretrial supervisors will audit pretrial officers (PO) on a tri-annual basis.

SUPERCEDES POLICY DATED:	12/13/98
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/27

SECTION: Administration		PAGE: Page 2 of 3
CHAPTER: 600	NUMBER: 603.03	P&P TYPE: Public
TITLE: Pretrial, Probation & Parole Case Record Audit		

- C. Pretrial supervisors shall complete a Pretrial Desktop Audit Report Form (attachment A) three (3) times per year. Each audit cycle should occur four (4) months apart.
- D. The pretrial supervisor shall meet with the PO within five (5) business days of the audit to discuss the audit findings and address any necessary corrections or improvements. The pretrial supervisor shall provide the PO with a copy of the Pretrial Desktop Audit Report Form (attachment A).
- E. The PO must address the corrections or noted improvements within thirty (30) days and provide appropriate notice to the pretrial supervisor that the adjustments have been made.
- F. The pretrial supervisor shall provide all audit results to the Chief PO (CPO) or the Deputy Chief PO within five (5) days of receipt.
- G. The CPO or DCPO will review all regional audit results to determine and report on any trends or identify training needs for their regions or offices.
- H. All audit results will be retained electronically and made available for the Deputy Director or Director, at their request.

II. Probation and Parole Audit Process:

- A. Active probation and parole caseloads are subject to audit standards.
- B. Probation/parole supervisors will audit probation/parole officer (PO) caseloads electronically on a bi-annual basis as well as complete a one (1) time per year field file audit.
- C. The probation/parole supervisor shall complete a Probation and Parole Electronic Audit Report Form (attachment B) on a bi-annual basis, occurring every six (6) months.
- D. A minimum of six (6) field supervision files from each PO caseload shall be audited annually. For locations where the probation/parole supervisor is off-site, six (6) field supervision files shall be audited during the annual office audit.
 - 1. It is the expectation that field files reviewed will be randomly selected and should capture a cross section of various risk levels and compliance status.
 - 2. The probation/parole supervisor shall complete a Case File Audit form (attachment C) for each field file reviewed.

SUPERCEDES POLICY DATED:	12/13/98
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/27

SECTION: Administration		PAGE: Page 3 of 3
CHAPTER: 600	NUMBER: 603.03	P&P TYPE: Public
TITLE: Pretrial, Probation & Parole Case Record Audit		

- E. The probation/parole supervisor shall meet with the PO within five (5) business days of the audit to discuss the audit findings and address any necessary corrections or improvements. The probation/parole supervisor shall provide the PO with a copy of the audit worksheet (attachment B or C).
- F. The PO must address the corrections or noted improvements within thirty (30) days and provide appropriate notice to the probation/parole supervisor that the adjustments have been made.
- G. The probation/parole supervisor shall provide all audit results to the Chief PO (CPO) or the Deputy Chief PO (DCPO) within five (5) days of receipt.
- H. The CPO or DCPO will review all regional audit results to determine and report on any trends or identify any training needs for their regions or offices.
- I. All audit results will be retained electronically and made available for the Deputy Director or Director, at their request.

SUPERCEDES POLICY DATED:	12/13/98
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/27