

<b>SONOMA COUNTY PROBATION DEPARTMENT JUVENILE PROBATION POLICIES &amp; PROCEDURES</b>			
SECTION: <i>Operational</i>	SUBJECT: <b>Juvenile Case Review/Audit Policy</b>	PAGE: <i>1 of 3</i>	IDENTIFIER: <i>3.2</i>

### **3.2 JUVENILE CASE REVIEW/AUDIT POLICY**

#### **POLICY**

A highly functioning probation department monitors the integrity of its operations, and compliance with policies and procedures, for purposes of quality assurance. In order to ensure the Department's mission is being met, supervisory staff (DPO IVs and Division Directors) will be responsible for regularly reviewing and auditing Deputy Probation Officer (DPO) work products and case management activities. Acknowledging staff who perform their duties effectively, providing useful and timely feedback to staff, and identifying opportunities to improve performance and build skills, all sustain healthy organizational development and growth.

#### **PROCEDURES**

Supervisory staff will conduct routine case reviews and case audits to gauge the following quality standards:

- a. Accuracy of the Positive Change and Achievement Tool (PACT) assessment;
- b. Adequacy of the case plan and its implementation;
- c. Quality of the interaction between the Deputy Probation Officer (DPO) and the youth/parent/guardian;
- d. Appropriate application of the EPICS (Effective Practices in Community Supervision) structured supervision model, and use of behavioral interventions (including responses to delinquent youth behavior and provision of incentives);
- e. Suitability of actions and report recommendations in relation to the minor's assessed risk and needs, and responsivity factors; and
- f. Documentation of case management activities

#### **2. CASE REVIEW/AUDIT**

- a. Case reviews provide supervisory staff with a brief snapshot of staff activities to regularly monitor quality of work and identify training issues. The case audit is a compilation of multiple case reviews conducted during an identified performance period (typically the designated performance evaluation period).

<b>SONOMA COUNTY PROBATION DEPARTMENT JUVENILE PROBATION POLICIES &amp; PROCEDURES</b>			
SECTION: <i>Operational</i>	SUBJECT: <b>Juvenile Case Review/Audit Policy</b>	PAGE: <i>2 of 3</i>	IDENTIFIER: <i>3.2</i>

- a. Supervisory staff must include results of case reviews and audits in DPO performance evaluations; and
- b. Division Directors must periodically evaluate case reviews and audits conducted by supervisory staff to ensure quality and compliance with policy, and must include these results in the DPO IV annual performance evaluation.

## **2. SELECTING CASES FOR REVIEW OR AUDIT**

### a. Case Reviews:

- i. Supervisory staff overseeing Supervision, Diversion, Intake, Placement and Investigations units shall complete a minimum of one (1) case review per month for each DPO supervised in their unit.
- ii. Cases selected for review should be randomly selected to ensure a representative sample of work.
- iii. To initiate case reviews, DPO IVs will identify a representative sample of reports submitted for review/approval, ensuring the work of each DPO in their unit is considered. These include disposition reports, universal reports, supplemental reports, violation reports, modifications and memos to Court. Additionally, file material as well as electronic case management information should be reviewed in conducting the review.

### b. Case Audits:

- i. Annually, DPO IVs in Supervision and Placement Unit must audit a portion of the caseload of each DPO.
- ii. Supervisors should distribute case audits evenly throughout the year.
- iii. Unless directed otherwise by the Division Director, supervisory staff should randomly select 6-12 cases, depending on caseload size (a 10-20% sample is desirable).
- iv. As needed, DPOs may be audited more frequently for training and support purposes.

## **3. CONDUCTING THE REVIEW OR AUDIT:**

- a. Supervisors will use the appropriate case review or audit form to review quality of investigative and information reports, accuracy of

SONOMA COUNTY PROBATION DEPARTMENT JUVENILE PROBATION POLICIES & PROCEDURES			
SECTION: <i>Operational</i>	SUBJECT: <b>Juvenile Case Review/Audit Policy</b>	PAGE: <i>3 of 3</i>	IDENTIFIER: <i>3.2</i>

assessments, overall community supervision and case management practices, and file maintenance (See Attachments).

- b. Within two weeks of completing the case review or case audit, the Supervisor will discuss results with the DPO, acknowledging positive performance and providing constructive feedback regarding areas requiring improvement. Follow up on items requiring additional action is to be completed within time frames specified by the Supervisor.
- c. The Supervisor retains the original, signed case review/audit forms in a separate Case Review/Audit file and provides the DPO with copies. These documents may be destroyed upon completion of the employee's performance evaluation wherein case review/audit results are summarized.

New Policy – October 11, 2013

APPROVED BY:

---

ROBERT M. OCHS  
Chief Probation Officer

**ATTACHMENTS:**

- [Attachment A: Case Review Format - Investigations](#)
- [Attachment B: Case Review Format - Intake/Diversion](#)
- [Attachment C: Case Review Format - Supervision Cases](#)
- [Attachment D: Case Review Format - Placement Cases](#)
- [Attachment E: Case Audit Format – Supervision Cases](#)
- [Attachment F: Case Audit Format – Placement Cases](#)

*Effective: 10/11/2013*