


Idaho Department of Correction 	<b>Standard Operating Procedure</b>	Title: <b>Case Reviews: Probation and Parole</b>		Page: 1 of 4
		Control Number: <b>701.04.02.010</b>	Version: <b>1.0</b>	Adopted: 12/28/2020

**Brian Underwood, chief of the Division of Probation and Parole, approved this document on 12/28/2020.**

Open to the public:  Yes

### SCOPE

This standard operating procedure (SOP) applies to all employees directly involved in the supervision and management of individuals under the jurisdiction of the Idaho Department of Correction's (IDOC) Division of Probation and Parole, as well as division supervisors and managers responsible for the quality and accuracy of case reviews.

### Revision Summary

Revision date (12/28/2020) version 1.0: This is a new SOP describing the case review process. This information was formerly contained in 701.04.02.001, Supervision Strategies.

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### BOARD OF CORRECTION IDAPA RULE NUMBER 06.02.01

Rules Governing the Supervision of Offenders on Probation or Parole

### POLICY CONTROL NUMBER 701

Supervision Strategies

### PURPOSE

The purpose of this SOP is to provide guidance for probation and parole officers and their supervisors in the Division of Probation and Parole regarding the types of case reviews that are conducted and the expectations for conducting case reviews.

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## RESPONSIBILITY

### ***Chief of the Division of Probation and Parole***

The chief of the Division of Probation and Parole is responsible for developing and implementing standards for case reviews and establishing procedures to provide a consistent tool for documenting case reviews of individuals being supervised by the Division of Probation and Parole.

### ***District Managers***

District managers or their designees are responsible for monitoring compliance of all members of the district leadership team and staff in practicing the guidelines, standards, and procedures provided in this SOP.

### ***Section Supervisors***

Section supervisors are responsible for the preparation of case reviews for the employees they supervise.

## STANDARD PROCEDURES

Case reviews are an effective internal control and support maintaining the integrity and reputation of IDOC. There are three types of case reviews, all of which help ensure that division staff are meeting established supervision standards. Meeting these standards is required for IDOC's vision of a safer Idaho with fewer people in its correctional system.

The case review process will verify and document that the supervision of those under IDOC custody is being correctly and properly accomplished according to department expectations.

Case reviews assist supervisors to identify effective supervision strategies and strengths in employee and team performance. These reviews also allow supervisors to acknowledge accomplishments that are generating success for individuals on supervision. Case reviews also identify areas where further staff improvements and coaching may be needed, in addition to providing helpful documentation for employee performance evaluations.

## 1. Types of Case Reviews

### ***Front-Loaded Case Reviews***

Front-loaded case reviews are primarily used by supervisors for reviewing newly assigned cases for all new probation and parole officers (PPOs).

- All PPOs in their probationary employment period will have all of their newly assigned cases reviewed under this category while in the training and coaching (TAC) program.
- New PPOs are also encouraged to perform self-reviews on each of their cases to ensure compliance with supervision standards. The assigned field training officer will then jointly discuss the front-loaded supervision review with their trainee to ensure accuracy and to provide a learning and coaching opportunity. Self-reviews will not replace supervisor responsibility for performing independent front-loaded case reviews of new PPOs.

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### ***Supervision Case Reviews***

These case reviews are performed by section supervisors and/or district managers or deputy district managers for all types of cases and will follow the criteria below.

- Supervision case reviews can occur on any case assigned to the Division of Probation and Parole.
- Supervision case reviews are conducted on any case supervised by PPOs who have completed the TAC program and are no longer considered probationary employees.

### ***Critical Incident Case Reviews***

Critical incident case reviews will take place on incidents deemed significant by the district manager or deputy district manager involving the supervision of a person under the jurisdiction of the Division of Probation and Parole. For a full listing of what will be reported as a critical incident, see SOP [105.02.01.001](#), *Reporting and Investigation of Major Incidents*.

## **2. Supervisory Expectations**

Supervisors are required to conduct case reviews using the [Case Review Form](#) and to meet minimum expectations for frequency and content regarding the three types of case reviews described below.

### ***Front-Loaded Case Reviews***

Front-loaded case reviews are used for PPOs in the new officer training (TAC) program and senior staff.

- Section supervisors will conduct, or delegate to field training officers or lead PPOs to conduct, a front-loaded case review on each new case assigned to new PPOs in the TAC, for compliance with the initial intake/re-entry and sign up processes as outlined in SOP [701.04.02.001](#), *Supervision Strategies*. Section supervisors who delegate case reviews remain responsible for oversight of the field training officers or lead PPOs who conduct those case reviews.
- These reviews may be initially completed by the new officer but must be reviewed for compliance with department expectations by the assigned field training officer or lead PPO, with oversight from the section supervisor.
- Completed reviews will be used in the evaluation, coaching and training of new probation and parole officers, or senior staff. Completed reviews will be discussed by the reviewer with the new PPO and signed by both the PPO and the reviewer.

### ***Supervision Case Reviews***

Section supervisors will conduct supervision case reviews using the following criteria:

- A supervision case review will be completed on one case per quarter on every individual PPO who has successfully completed their probationary period.
- These reviews will be used to acknowledge, coach, mentor and evaluate officers in the performance of their duties. They will also be used to provide specific performance information for the annual performance evaluations of PPOs.

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Completed reviews will be discussed by the section supervisor and the PPO and signed by both the PPO and the section supervisor.

- Supervision case reviews will be randomly selected.

### ***Critical Incident Case Reviews***

Critical incident case reviews will be conducted using the following criteria:

- A critical incident case review will occur on incidents deemed significant by deputy district or district manager as defined in SOP [105.02.01.001](#), *Reporting and Investigation of Major Incidents*. Not all critical incidents or situations that are reported (referred to as a 105 report) need to have a critical incident case review completed. For example, a person under supervision who dies of natural causes does not require a case review. Only those incidents deemed significant require a review.
- These critical incident case reviews will be completed within 21 days from the incident and shared with the chief and deputy chief of the Division of Probation and Parole.

### ***Case Review Records***

Completed critical incident case review records will be forwarded to division leadership to be maintained according to record retention requirements by the Division of Probation and Parole at the department's central office.

All other completed case review records will be maintained electronically by the section supervisor, district manager or deputy district manager in accordance with record retention requirements for personnel records maintained at district offices.

## **DEFINITIONS**

None

## **REFERENCES**

SOP [105.02.01.001](#), *Reporting and Investigation of Major Incidents*

SOP [701.04.02.001](#), *Supervision Strategies*

[Case Review Form](#)

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