

**TEXAS DEPARTMENT OF CRIMINAL JUSTICE
PAROLE DIVISION**



**POLICY AND
OPERATING PROCEDURE**

NUMBER: PD/POP-1.3.3

DATE: 10/01/14

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SUPERSEDES: 01/27/14

SUBJECT: QUALITY REVIEWS

PURPOSE: To establish procedures for the periodic evaluation and monitoring of parole officers.

PROCEDURE:

I. PURPOSE OF QUALITY REVIEWS

- A. Quality Reviews (QRs) of parole officer caseloads allow supervisors to:
 - 1. Ensure clients receive appropriate services, as required by Parole Division policies and procedures;
 - 2. Identify general or specific areas requiring additional training; and
 - 3. Monitor performance for evaluation purposes.
- B. The QR is only one tool supervisors use to develop and evaluate parole officers. Consistent supervisory communication is essential for the development and retention of quality parole officers.

II. FREQUENCY OF QUALITY REVIEWS

- A. Training: Parole officers shall receive a training QR within two (2) months of the date they complete the Parole Officer Training Academy. The training QR is not used for evaluation purposes. The supervisor shall review all parole officers' assigned cases over several consecutive days. The supervisor and the parole officer shall devote 1–2 hours per day to the training QR. The supervisor shall explain the procedure, identify expectations, and make on-the-spot suggestions and corrections. The training QR shall be conducted with the parole officer present.

- B. Regular: New parole officers shall receive a regular QR within four (4) months of the training QR. Experienced parole officers shall receive regular QRs every six (6) months from the date of the last regular QR. The purpose of the regular QR is to monitor and evaluate parole officers' performance and quality of work, as well as provide an overview of the client's progress on supervision.

- C. Special: The supervisor shall conduct a special QR any time circumstances warrant a review of a parole officer's case or specific files. Managers have wide latitude in deciding when to conduct a special QR. A supervisor shall conduct a special QR at the discretion of the Division Director, Deputy Director, or Region Director. Additionally, a supervisor may conduct a special QR after consultation with the next level of management. Circumstances that may prompt a special QR include, but are not limited to, a pattern of missed contacts, submission of late reports, or incomplete or inaccurate Offender Information Management System (OIMS) entries. A review may be required in one (1) or all sections of the QR. Attendance by the parole officer shall be at the discretion of management. The completion of a special QR does not change the date of the regularly scheduled QR. A special QR shall be conducted as follows:
 - 1. On 25 cases within four (4) months of a parole officer transfer from another district parole office or a parole officer transferring caseloads within the same office.
 - 2. On all cases before a parole officer leaves a position for any reason, such as promotion, transferring to another DPO, transferring caseloads within the same office, or separation and more than three (3) months have elapsed since the last QR.
 - 3. A supervisor notices a pattern of substandard performance.

- D. Extended Leave: The supervisor shall conduct a regular QR within two (2) months of return to duty for a parole officer on extended leave (medical, military, etc.) of more than 30 calendar days regardless of the date of the last QR.

III. SCHEDULING AND NOTIFICATION

- A. Advance notification of special QRs is not required. Regular QR dates are tentative and do not require advance notification, but the supervisor shall conduct the QR within the month the regular QR is due.

- B. The parole supervisor may grant permission for a QR to be postponed. Postponements should be allowed for any unavoidable event, such as extended sick or military leave, etc. The unit supervisor shall submit a request by email to the parole supervisor outlining the reasons for postponing the QR. The email and response shall be maintained in the parole officer's supervisory file. If the postponement is granted, the subsequent QR shall be conducted within one (1) month of the originally scheduled QR. The granted delay does not change the sequence/schedule of subsequent QRs.

- C. Except for the training QR, attendance by the parole officer shall be at the discretion of region management.

IV. CASES SELECTED FOR REVIEW

- A. The cases will be randomly selected electronically. There will be a review of 25 cases for all caseloads, and supervision levels will not be considered in the random selections.
- B. If an officer has less than 25 assigned cases, all cases shall be reviewed.
- C. Pre-revocation/In custody cases will be included in the randomly selected cases.
- D. The parole officer/case owner must have supervised the case for a minimum of 30 calendar days.
- E. If a randomly selected case has a status of discharged, revoked, transferred, etc., the supervisor shall only review the number of cases remaining from the initial electronic random selection. It will not be necessary to review additional cases to have a total of 25 cases.

V. CONDUCTING THE QR

- A. The supervisor shall note all case review observations and instructions made on an individual Case Review Worksheet (PSV-96).
- B. In addition to the PSV-96, the supervisor shall complete the General Caseload Required Forms checklist or Specific Caseload Required Forms checklist as noted below.
 - 1. General Caseload Required Forms (Attachment A)
 - 2. Electronic Monitoring Caseload Required Forms (Attachment B)
 - 3. District Re-entry Center Caseload Required Forms (Attachment C)
 - 4. Sex Offender Caseload Required Forms (Attachment D)
 - 5. Special Needs Offender Program Caseload Required Forms (Attachment E)
 - 6. Super-Intensive Supervision Program Caseload Required Forms (Attachment F)
 - 7. Therapeutic Community and Substance Abuse Counseling Program Caseload Required Forms (Attachment G)

Note: If the client has multiple caseload indicators, the supervisor shall complete multiple worksheets. For example, if the client is on the sex offender caseload and has a special needs indicator, the supervisor shall complete the Sex Offender Caseload Required Forms checklist and Special Needs Offender Program Caseload Required Forms checklist.

A hard copy shall be completed if one is not automatically printed due to inaccurate caseload assignment or indicators in the OIMS

- C. Management contacts are contacts made between the supervisor conducting the QR and two randomly selected cases from the parole officer's caseload. The contacts shall occur within six (6) months of the scheduled QR (i.e., contact shall occur January through June for a June scheduled QR).
1. One management contact shall occur during a regularly scheduled office visit.
 2. One management contact shall occur during a scheduled or unscheduled home visit.
 3. The supervisor shall document the management contact information on the Management Contact Questionnaire.
 4. The supervisor shall document information obtained during the management contacts in the OIMS within three (3) business days, in accordance with PD/POP-3.2.8, *Contact Standards for Regular Supervision Cases*.

Note: Management contacts may be used to meet monthly contact requirements.

VI. QR RESULTS

- A. Upon completion of the QR, the supervisor shall complete a QR Summary (PSV-95) based upon the observations on the Case Review Worksheets, General Caseload or Specific Caseload Required Forms, and the management contacts. The supervisor shall review and discuss the results of the QR Worksheets and the General Caseload or Specific Caseload Required Forms with the parole officer within seven (7) calendar days of completion of the review. The parole officer shall sign the QR Summary indicating that the results of the QR were discussed.

The supervisor shall instruct the parole officer to correct all deficiencies within 30 calendar days from the date the parole officer signs the summary.

- B. The supervisor shall file the original Case Review Worksheet and General Caseload or Specific Caseload Required Forms in the client's field file on the left side.
- C. The supervisor shall attach a copy of each Case Review Worksheet and the two (2) management contacts questionnaire to the Quality Review Summary.
- D. The supervisor shall maintain the original Quality Review Summary, attached Case Review Worksheets, General Caseload or Specific Caseload Required Forms, and the Management Contact Questionnaires in the parole officer's supervisory file. In addition, the supervisor shall provide a copy of these documents to the parole officer.

- E. The supervisor shall only provide a copy of the Quality Review Summary and the Management Contacts Questionnaire to the Region Director, Assistant Region Director, and parole supervisor.

VII. QR FOLLOW-UP

- A. The supervisor shall ensure the instructions were completed by reviewing the deficiencies noted in the original QR within five (5) calendar days of the follow-up due date.
- B. The parole officer may request, via email, additional time to prepare for the follow-up from the supervisor, citing extenuating circumstances. The supervisor shall respond to the request via email and maintain the email request in the parole officer's supervisory file. However, the follow-up shall not be suspended for more than 45 calendar days from the date the parole officer signed the Quality Review Summary. If an extension is granted, the supervisor's review shall occur within five (5) calendar days from the date of the extension due date. The supervisor shall forward the results of the follow-up to the parole officer and parole supervisor via email and maintain it in the parole officer's supervisory file. The email should list the outstanding discrepancies to include the client's name and state identification (SID) number. If, upon review, it is determined the parole officer did not correct discrepancies, the parole officer shall be allotted an additional three (3) business days to correct them. If after the third (3rd) business day the parole officer has failed to correct the deficiencies, the supervisor may elect to take corrective action as indicated in the Texas Department of Criminal Justice Personnel Directive (PD-22) *General Rules of Conduct and Disciplinary Action Guidelines for Employees*.
- C. If a supervisor determines the parole officer did not meet contact standards during the QR period, the supervisor will review the contact standards for each specific client for the month following the completion of the QR to ensure the parole officer met contact standards. The supervisor shall document the contact standard review and attach it to Quality Review Summary.

VIII. RESPONSIBILITIES OF REGION MANAGEMENT

- A. The Region Director or designee shall maintain a suspense system for the completion of QRs and follow-ups.

The Region Director shall submit a monthly tracking report to the Deputy Director for Field Operations within 10 calendar days of the beginning of the month on the completion of QRs and follow-ups due during the preceding month.

- B. The Region Director shall ensure the standardization of the quality review process and conduct training as required.

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