

**TEXAS DEPARTMENT OF CRIMINAL JUSTICE  
PAROLE DIVISION**



**POLICY AND  
OPERATING PROCEDURE**

**NUMBER: PD/POP-1.3.13**

**DATE: 11/17/16**

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**SUPERSEDES: 05/02/16**

**SUBJECT:** OVERSIGHT RESPONSIBILITIES OF REGION MANAGEMENT FOR PAROLE OFFICER DUTIES

**AUTHORITY:** TEXAS DEPARTMENT OF CRIMINAL JUSTICE (TDCJ) BOARD POLICY #BP-02.08, POLICY STATEMENT OF INTERNAL CONTROLS (DATED 02/20/15)

**PURPOSE:** To outline the responsibilities of region management in the planning, organizing, and directing of operations to provide reasonable assurance regarding the achievement of Division and Department objectives. Region management is defined to include: unit supervisors, program administrators, parole supervisors, Assistant Region Directors, Region Directors, or other persons as designated by the Region Director. Oversight activities should also be applied with case management and administrative personnel. Training, quality control, performance evaluations, workload monitoring, and coordination are critical oversight activities for region management.

**PROCEDURE:**

**I. TRAINING**

- A. Unit meetings shall be held at least once a month to review administrative issues, core policies, and other topics deemed appropriate by Region or Division management. Meeting notes, along with a list of personnel attending the meeting, will be prepared and forwarded to parole supervisors.
- B. In-service requirements for assigned personnel shall be monitored. Formal training shall be conducted in accordance with policy.
- C. Remedial training shall be conducted as required.
- D. Updated Division and Department policies shall be accessible to assigned personnel.
- E. Parole supervisors shall attend at least one (1) unit meeting every three (3) months for each unit supervisor they supervise.
- F. Informal training by supervisors shall be an ongoing process so that all personnel are kept up-to-date regarding changes or additions to policies and procedures within the Division.

## II. QUALITY CONTROL

Region management shall be responsible for ensuring that assigned personnel complete their duties in a manner that is accurate, timely, and in compliance with existing policy. Critical duties for parole officers include the Offender Information Management System (OIMS) entries made in a timely manner, automation accuracy, case classification, case records, contact standards, and required reports.

Quality control for the critical functions include, but are not limited to, the following:

- A. Region Directors shall be responsible for the tracking of quality reviews and quality review follow-ups for parole officers assigned to their regions to ensure accurate and timely completion by region management. Identified training needs should be relayed monthly to the Deputy Director of Field Operations.
- B. Upon completion of a quality review, parole supervisors shall review the quality review management contacts to ensure they were performed in accordance with PD/POP-1.3.3, *Quality Reviews*.
- C. As noted below, unit supervisors shall print and review oversight reports relating to client contacts for the parole officers assigned to their units. Any case noted shall be reviewed with the parole officer for appropriate action. Oversight reports include, but are not limited to:
  1. Onbase Report PDKAR016AA—Previous Day's Releases (should be monitored daily)
  2. Onbase Report PDKAR016AB—Halfway House Previous Day's Releases (should be monitored daily)
  3. Onbase Report PDSUR410—Delinquent Pending Arrivals Released (weekly report)
  4. Onbase Report GLBL\_R004—Missed Contact with No Warrant Issued (weekly report)
  5. Mainframe Visual Contact Sheets (should be monitored weekly)
  6. Pending Charge Report (monthly)—This list should be created and maintained by each officer to reflect all clients on their caseload with pending charges.
- D. Each week Assistant Region Directors shall contact parole supervisors assigned to their areas to review any delinquent cases and affect appropriate and immediate action.
- E. The Region Director shall receive reports from their assigned Assistant Region Directors on any problems associated with meeting contact standards by region staff.
- F. Unit supervisors shall be responsible for the review and approval of all reports and documents submitted by parole officers assigned to their units.

Reports and documents submitted shall be reviewed for accuracy, completeness, and timeliness. The OIMS shall be reviewed for verification of information and to insure that the OIMS has been updated, as appropriate.

- G. Each month, parole supervisors shall review at least three (3) assessments approved by the unit supervisors under their direction. The purpose of the parole supervisor's review of the assessments with the case records is to evaluate the unit supervisor's compliance with policy on the approval of the reports.
- H. As an internal control, the Warrants Section shall refer absconder Violation Reports (VRs) to the Region Director on those cases where the number of business days has elapsed since the last face-to-face contact with the client who does not comply with Parole Division policy 4.1.1, *Processing Violations of the Rules and Conditions of Release*.
- I. Priority must be placed on the timely and accurate completion of VRs for absconders, administrative violations of release, and law violations. Unit supervisors and parole supervisors shall be the quality control points. Incorrect VRs received by the Warrants Section shall be referred to Region Directors for remedial action.
- J. All TDCJ statistical reports shall be reviewed by the next level of management of the person responsible for submission to ensure that the information is accurate and completed according to policy.
- K. No less than one (1) time per month, unit supervisors shall print and review the Assessments Due report for each officer assigned to their unit. Past due assessments shall be suspended for completion by parole officers within five (5) business days.

### III. PERFORMANCE EVALUATIONS

- A. Region management shall be responsible for monitoring compliance with departmental guidelines on employee performance evaluations and career path advancement.
- B. The status regarding the completion of performance evaluations shall be monitored monthly by Region Directors.
- C. In addition to quality control and follow-up procedures, region management should conduct periodic observation of personnel as they complete their job functions.
- D. Region management shall be responsible for the review, referral, or resolution of complaints either as received or as assigned.

### IV. WORKLOAD MONITORING

- A. Region management shall be responsible for the equitable and efficient assignment of staff workload, including case assignment, investigations, or special projects.

- B. Region management staff shall establish suspense systems to track the completion of assignments to personnel under its supervision. Due dates shall be assigned according to TDCJ policy, or, if no completion time frame is established by policy, by a reasonable date following assignment. In these later circumstances, the priority of the subject assignment shall dictate the due date.
- C. Region management staff shall be responsible for monitoring and approving the work schedules of its subordinates based upon TDCJ need and policy.

## V. COORDINATION

- A. Region Directors shall oversee coordination and communication with other sections of the Department and with external agencies ensuring compliance with policy and continuity of services and programs.
- B. Region Directors shall assign office management responsibility to a member of region management staff for the purpose of asset control, inventory, supply, and liaison functions with the building owner.
- C. In each district parole office, region management staff shall be responsible for the daily or monthly review of case or district management information available on the Onbase system and/or the OIMS. Reports shall be pulled according to availability schedule, reviewed, and promptly disseminated to personnel as applicable. Region Directors shall establish a monthly review process to ensure that reports are accessed and actions have been taken by district personnel.

## VI. COMPLIANCE REPORTS

Compliance reports shall be submitted on a monthly basis by region managers to their next level of management (i.e., unit supervisor to parole supervisor, parole supervisor to Assistant Region Director), indicating completion of oversight responsibilities for the prior month. Region Directors shall determine the due dates and formats for the reports.

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