

**TEXAS DEPARTMENT OF CRIMINAL JUSTICE
PAROLE DIVISION**



**POLICY AND
OPERATING PROCEDURE**

NUMBER: PD/POP-1.3.16

DATE: September 1, 2021

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SUPERSEDES: May 6, 2020

SUBJECT: INTERNAL REVIEW PROCESS

AUTHORITY: Not Applicable

PURPOSE: To establish procedures regarding quality assurance audits of the Texas Department of Criminal Justice-Parole Division (TDCJ-PD) internal control processes that ensure the division's implementation complies with TDCJ-PD policy and operates effectively and efficiently.

DEFINITIONS:

Offender Related Incident (ORI) Report – An incident report completed after a client causes the death of another, a sex offender commits a new sex offense, or as directed by the TDCJ-PD division director or designee.

Individual Case Review (IR) – An internal review of a specific client, generated when an ORI is completed, that consists of a full review and analysis of parole officer (PO) compliance with established policy.

Office Review (OR) – An internal review conducted annually to determine district parole office (DPO) compliance with established policies and procedures which consists of 3% of a DPO's active client population and of those cases, 15% of their completed Texas Risk Assessment System (TRAS) assessments.

PROCEDURE:

I. INTERNAL REVIEW ASSIGNMENT PROCEDURE

- A. The TDCJ-PD division director or deputy directors may request, grant, deny, or suspend an internal review and IR or OR at any time.
- B. TDCJ-PD Specialized Programs Internal Review staff shall establish an annual OR schedule for the upcoming fiscal year to be provided to the TDCJ-PD Management Operations deputy director by August 15th for approval.

- C. The TDCJ-PD Specialized Programs assistant section director (ASD) shall assign Internal Review staff to complete ORs, IRs, and follow-up ORs within the established completion time frame and approve extensions when necessary.
- D. ORs and follow-up ORs shall be assigned no later than the third business day of the month until all DPOs have been audited for the current fiscal year.
- E. The ASD shall notify the Field Operations deputy director, Management Operations deputy director, respective region director (RD), Specialized Programs director, and the assigned Internal Review staff by e-mail of the OR.

II. INTERNAL REVIEW PROCESS

- A. An OR is the review of all aspects of case compliance for the past three months. It also includes a review of pre-parole investigations (PPI), unit meeting notes, and quality reviews for the past six months. The OR shall be completed within 12 business days of assignment. Internal Review staff shall:
 - 1. Obtain DPO case files for all identified cases selected for review according to the DPO Performance Measures (PDSUR04B) report;
 - 2. Select 15% of the total number of DPO case files identified to review accuracy of TRAS assessments completed during the review period;
 - 3. Obtain 10% of all PPI files conducted during the review period;
 - 4. Obtain copies of all unit meeting notes completed during the review period; and
 - 5. Obtain copies of all quality reviews and follow-up quality reviews conducted during the review period;
- B. An IR is the review of all aspects of case compliance for the past six months of a specific client on active supervision. The IR shall be completed within three business days of assignment. The Internal Review staff shall:
 - 1. Obtain all necessary documentation from OnBase and the DPO case file; and
 - 2. Review all OIMS entries for the review period.

NOTE: A debriefing may be conducted within three business days after completing an IR or OR, if requested. All debriefs shall include the assistant region director (ARD) or region director (RD) and may include the parole supervisor (PS).

III. INTERNAL REVIEW APPROVAL PROCESS AND ACTION PLANS

- A. The Specialized Programs ASD shall review the completed report for accuracy and provide a final summary report to the RD.
- B. The RD shall review and return the final summary report with signature, action plan, and if applicable, additional comments to the Specialized Programs ASD.
 - 1. An OR requires an action plan to be completed within five business days for areas reviewed with a score of 69% or below.
 - 2. An IR requires an action plan to be completed within three business days to address any deficient areas.
- C. The Specialized Programs section director shall review and submit the final summary report and action plan to the TDCJ-PD director.
- D. The RD or designee shall conduct training to address those areas reviewed with a score of 69% or below during an OR.

IV: OFFICE REVIEW FOLLOW-UP

Within 45 calendar days from the date the RD signs the approved OR summary report the RD shall submit documentation to the Specialized Programs ASD to confirm action plan steps are completed for areas that scored 69% and below and all discrepancies for individual cases reviewed are resolved.

René Hinojosa
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