

**TEXAS DEPARTMENT OF CRIMINAL JUSTICE
PAROLE DIVISION**



**POLICY AND
OPERATING PROCEDURE**

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DATE: 05/06/20

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SUPERSEDES: 09/13/2011

SUBJECT: PAROLE DIVISION INTERNAL REVIEW PROCESS

AUTHORITY: Not Applicable

PURPOSE: To establish procedures for internal review of the Parole Division Field Operations. Internal reviews consist of office reviews on district parole offices (DPOs) and individual case reviews with regard to implementation and compliance with Parole Division policy.

DEFINITIONS:

Individual Case Review (IR): A review of a client case to determine parole officer compliance with established policies and procedures directed by an authorized authority. IR assignments are generated based on an Offender Related Incident (ORI) report that may include commissions of new offenses which involve homicide, a subsequent sex offense if a sex offender, or assigned as directed by an authorized authority.

Office Review (OR): A review conducted annually on 3% of a DPO's active client population to determine office compliance with established policies and procedures.

PROCEDURE:

I. PERSONS AUTHORIZED TO REQUEST AN INTERNAL REVIEW

- A. The Parole Division Director and Deputy Directors may request an internal review (IR/OR) to include follow up reviews.
- B. Review requests may be in writing or verbal and shall specify the client record to be reviewed.
- C. The Division Director may, at any time and for any reason order, grant, deny, or suspend an internal review.

II. INTERNAL REVIEW ASSIGNMENT PROCEDURE

- A. The Internal Review section shall establish an annual OR schedule for each fiscal year and provide to the Deputy Director of Management Operations by August 15, to establish final

approval by September 1.

- B. The Assistant Section Director, Specialized Programs shall be responsible for:
 - 1. Assigning Internal Review staff accordingly for completion of reviews and;
 - 2. Issuing assignment numbers to approved reviews, establishing review time frames, adjusting time frames accordingly on approved extensions, and ensuring completion of reviews within the appropriate time frame.
- C. ORs shall be assigned no later than the 3rd business day of the month, including follow up reviews (as directed by the Division Director or Deputy Directors) until all DPOs have been audited for the current fiscal year.
 - 1. Any follow-up OR shall constitute a new request and shall be governed by this policy.
- D. Notice of the pending OR shall be sent via e-mail by the Internal Review section to the Deputy Director of Field Operations, Deputy Director of Management Operations, respective Region Director, Director of Specialized Programs, and the assigned Internal Review staff.
- E. Notice of the pending IR shall be sent via email to the assigned Internal Review staff for completion.

III. RESPONSIBILITIES OF INTERNAL REVIEW STAFF

- A. Before beginning an Internal Review staff shall:
 - 1. Create a file that includes the email of the originating internal review request from the assistant section director, Specialized Programs;
 - 2. Identify all applicable policies and directives relevant to the Parole Division policy area(s) to be examined as it relates to the different caseload types and statutorily/mandated conditions of release;
 - 3. Pull reports PDSUP043 (DPO Performance Measures) and PSUP_R005 (Normal/Quarterly/Annual Reporting Offenders Requiring Drug Tests During the Current Month) for ORs to include requesting:
 - a. Pre-parole investigations conducted within the review period;
 - b. Management oversight reports (unit meeting notes, quality reviews conducted within the review period, follow up quality reviews).
 - 4. Pull reports PPSUPP3A (Statewide Summary of Caseloads by Region) and PSUP_R005 (Normal/Quarterly/Annual Reporting Offenders Requiring Drug Tests During the Current Month) for IRs, along with requesting the client case file material electronically from the respective DPO.

- B. Internal Review staff shall utilize established templates of comment sheets, workbooks, worksheets, and reports in completing the reviews.

IV. INTERNAL REVIEW REPORTS – REVIEW PERIODS AND APPROVAL PROCESS

A. Review Periods

1. ORs shall cover a period of three (3) months of caseload review with six (6) months of review in management oversight.
 - a. OR shall be due within 10 business days of assignment to Internal Review staff.
 - b. If requested, debriefs are due within three (3) business days of the report being provided to the parole supervisor from the assigned Internal Reviewer.
2. IRs shall cover a six month period of active client supervision. This period may be less based on the client's release date. The time period between warrant issuance and warrant confirmation shall not be reviewed
 - a. IRs shall be due within three (3) business days of assignment.
 - b. If requested, debriefs are due within the three (3) business days of the time frame of the assignment completion.
3. Debriefs shall be conducted with the region director or designated assistant region director, if requested. Comment sheets shall be provided to the parole supervisor during the course of the OR and IR to address discrepancies prior to the debrief and to eliminate the amount of time spent in the debrief.
4. Distribution on the IR/OR reports shall include the director of the Parole Division, the Deputy Director of Field Operations, Deputy Director of Management Operations, the respective Region Director(s) of the office under review during the review time frame, Director of Specialized Program, Assistant Section Director, Specialized Programs and the assigned Internal Reviewer.
5. The report shall be sent to the Assistant Section Director, Specialized Programs for final review.

B. Approval Process/Action Plans

1. The Assistant Section Director, Specialized Programs shall review the completed report and provide a final summary report to the Region Director.
2. The Region Director shall review and request clarification of findings, if needed, and return the final summary report with comments, a signature, and an action plan, if applicable, to the Internal Review section.

- a. Action plans shall be required for each performance measure scored at 69% and below for ORs.
 - b. The action plan is due to the Assistant Section Director, Specialized Programs within five (5) business days of the final report being sent to the Region Director.
 - c. Action plans shall be required for each finding on IRs.
 - d. The action plan is due to the Assistant Section Director, Specialized Programs, within three (3) business days of the final report being sent to the Region Director for IRs.
3. The Assistant Section Director, Specialized Programs shall review the final summary report. The final report, to include the Region Director's comments and action plan, if applicable, shall be submitted to the Parole Division Director, through the Deputy Directors of Management Operations and Field Operations.
 4. Within 45 calendar days of a completed OR, the Assistant Director, Specialized Programs shall schedule a follow up of OR action plan items 69% and below, and report all findings to the Parole Division Director, through the Deputy Directors of Management Operations and Field Operations. The follow up is to ensure all action plan items have been completed or implemented. Documentation shall be provided by the Region Director verifying the steps have been completed, implemented and ongoing.

V. TRAINING

- A. Training shall be conducted by the region to address those areas of deficiencies identified by an OR with a score of 69% or below.
- B. Region Directors may conduct local training to address those areas of deficiencies with a score of 70% - 89% at their discretion.
- C. No further action is necessary for those areas of 90% - 100%.
- D. Management may incorporate any areas of deficiencies in the training.

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