

**SAN BERNARDINO COUNTY  
PROBATION DEPARTMENT PROCEDURE**

**CASELOAD AUDITS AND REVIEWS**

**Authority:**

Tracy Reece, Chief Probation Officer

**Purpose:**

To establish guidelines for monthly audits and reviews to ensure appropriate caseload management.

**Definitions:**

Caseload Audit: A monthly random review of the Caseload Explorer (CE) file notes and/or physical case file of probation clients on a caseload by the Supervising Probation Officer or their designee.

Caseload Review: A monthly review of the CE Caseload Audit Report and the Officer-To-Do List by the assigned Probation Officer for all probation clients on their caseload. (This does not apply to caseloads under General Supervision and Investigations Units).

**Responsibilities:**

- I. Supervising Probation Officer (SPO) or designee shall:
  - A. Monthly Caseload Audits (Required for all assignments):
    1. At the beginning of each month, run the appropriate Caseload Audit Report (Juvenile or Adult) from CE Reports for the previous month.
    2. Verify information from the Caseload Audit report and CE face Overview page by reviewing CE notes, CE Reports (e.g., Cases Expiring, Court Reports Due, Last Contacts, Officer-To-Do List, Odyssey, JIMS, or any other relevant source of information, etc.).
    3. Ensure documentation is complete regarding safety, contacts, assessments, case plans, GPS, drug screening, counseling classes, referrals, start and end dates, tolling time, etc.
    4. Review the physical case file for pertinent documents and organization for each section as needed.
    5. Review the completed audit form with the assigned officer.
    6. Have the officer sign the completed audit form.
    7. Provide the officer with a copy of the audit form.
    8. Submit a copy of the completed audit form to the Division Director by the 10th of the month.
    9. If corrections are required of the assigned officer, advise the officer to make corrections within a specific timeframe.
    10. Conduct a follow up review of the audit corrections with the officer.
    11. Submit a copy of the audit corrections to the Division Director on or before the 30<sup>th</sup> of the month.
    12. Document all audits in CE–Events–Supervision–CCB Supervisor Comment by entering “Case Audited,” but do not enter specifics of the audit.
    13. Maintain a record of the audits and audit corrections for one (1) year.
  - B. Transfer of Case Files:
    1. Ensure both CE and physical case files are audited/reviewed prior to transferring case files and document audit/review in CE (as described in A. 12. above).

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**C. Vacant Caseloads:**

1. If a caseload will be vacant for more than three (3) weeks, assign the caseload to another officer in CE within five (5) business days from the date the caseload is vacated.
2. Caseload(s) may be divided and assigned to more than one officer.
3. Ensure caseload(s) not actively being supervised for less than three weeks are still monitored appropriately by a designated case agent.

**II. Probation Officers shall:**

- A. Make necessary corrections generated from a supervisor's caseload audit and submit audit corrections to the supervisor as directed.
- B. On a monthly basis, conduct a caseload review of all assigned cases to ensure appropriate case management by ensuring all alerts have been addressed, completing tasks, and/or making required corrections identified after running applicable reports
- C. Meet with SPO monthly to provide an overview of all cases assigned.
- D. Provide appropriate coverage for vacant caseload(s) as directed.

**Guidelines:**

- A. The Caseload Audit Report and the Officer-To-Do List should be utilized to complete the Audit and/or Caseload Review.

**Inspections:**

Refer to the Policy and Procedure Inspection Matrix.

**References:**

CAIS/JAIS  
Drug Screening  
Juvenile Case Plans  
GPS

Issued by:

  
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Tracy Reece, Chief Probation Officer

Original Issue Date: June 1, 2017

Revised: June 3, 2022