

**OKLAHOMA COUNTY JUVENILE BUREAU  
POLICY AND PROCEDURE MANUAL**

**CHAPTER SEVEN: COURT SERVICES – PROBATION SERVICES**  
**POLICY 7.3-4: PROBATION CASE MANAGEMENT AUDITS**

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**I. POLICY:**

The Oklahoma County Juvenile Bureau (OCJB) Probation Services Unit (PSU) ensures probation officers' compliance with policy and procedure by conducting periodic case management audits. Case management audits enable the OCJB to uphold quality field supervision and evaluate job performance. The review of field supervision from both an administrative and case management perspective is conducted as a supplement to daily supervisory activities **(2-7013) (2-7128)**.

**II. DEFINITIONS:**

- A. **Case Management Audit:** An audit of field files that is utilized to evaluate a youth's progress on his/her ITSP as well as the supervising officer's degree of compliance with supervision requirements, accurate and timely entries in the Juvenile On-Line Tracking System (JOLTS), and field file maintenance requirements **(2-7072) (2-7134)**.
- B. **Case Management Review:** A review that is utilized to evaluate a youth's progress on his/her ITSP by means of the supervisor conducting a staffing meeting with the assigned officer, reviewing of a Service Report to the Judiciary, and/or conducting a case management audit **(2-7072) (2-7134)**.
- C. **Case Plan:** See "Individual Treatment and Service Plan (ITSP)."
- D. **Client Field/Office Contact Notes:** A record of all contacts and attempts to make contact that are noted on the appropriate contact sheets. The notations include the time, date, location, means of contact, with whom the contact was made, and the outcome of the contact.
- E. **Court Minute:** A record of courtroom proceedings including the start and recess of hearings and trials, names of all parties present, and all rulings of the court. The court minute is prepared and maintained by the clerk of the court and/or the judge.

7.3-4, "Juvenile Classification" 02/13 was deleted by 7.3-2 "Disposition Study" 10/15.  
7.3-4, "Probation Case Management Audits" 10/15 is a new policy.

- F. **Delinquency Petition:** An application for the court to act in the matter of a youth apprehended for a delinquent act, in accordance with 10A O.S. § 2-2-102 B.
- G. **Disposition Study:** An in-depth background study of the youth and his/her family that is conducted prior to the disposition hearing and utilized to prepare a report that will provide the court with timely, relevant, and accurate data so that it may select the most appropriate disposition alternative **(2-7181)**. The study consists of a social and legal history as well as the assigned officer's proposed ITSP for the youth **(2-7186)**.
- H. **Field File:** An unofficial file containing pertinent information. OCJB officers maintain field files for the youth they are supervising which contain written records of significant decisions and events **(2-7070) (2-7071)**. Field files are maintained in the supervising officer's locked office and/or locked cabinet when unattended.
- I. **Health Insurance Portability and Accountability Act (HIPAA):** The Health Insurance Portability and Accountability Act of 1996 (HIPAA), as authorized by Public Law 104-191, 1996, Sections 261 through 264, contains the HIPAA Privacy Rule published December 28, 2000. The HIPAA Privacy Rule established the national regulations for the protection, privacy, security, and use of patient records. Youth being served by the Oklahoma County Juvenile Bureau are protected by the HIPAA Privacy Rule.
- J. **Individual Treatment and Service Plan (ITSP):** A comprehensive plan of action that is to be followed by the youth and family to address the risk level and needs identified by the comprehensive assessment and evaluation of the youth and his/her parent/legal guardian/custodian. The ITSP is filed within thirty (30) days of the youth's adjudication as delinquent, as authorized by 10A O.S. § 2-2-502. The ITSP may also be referred to as the "probation plan," "case plan," or "treatment plan."
- K. **Journal Entry:** See "Court Minute."
- L. **Juvenile Delinquent Legal (JDL) File:** A file established and maintained by the court clerk's office for a youth who has or is receiving services from the OCJB.
- M. **Juvenile On-Line Tracking System (JOLTS):** As authorized by 10A O.S. § 2-7-905, provides the computerized information system used by the OCJB to track juvenile offenders from arrest to final closure of the case. The Office of Juvenile Affairs is the authorizing authority for access to the information contained in JOLTS. Authorized OCJB employees are provided a unique identification number that allows them access to the JOLTS system **(2-7141) (2-7074) (2-7190)**.

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- N. **Probation Plan:** See "Individual Treatment and Service Plan (ITSP)."
- O. **Referral (Probation):** Notification from the court informing the youth, his/her parent/legal guardian/custodian and the OCJB that the youth is being placed on probation.
- P. **Service Report to the Judiciary:** A written report required for all review hearings that is commonly referred to as a "service report." The service report is prepared by an officer and details a youth's progress in meeting the requirements of the individual treatment and service plan.
- Q. **Stipulation to Delinquency Petition:** An agreement to the facts cited in the delinquency petition that is presented to the court during the pre-trial conference. "Stipulation" or "stip" are used as internal abbreviations for a stipulation to delinquent petition.
- R. **Supervisor Personnel File:** A file that the officer's immediate supervisor establishes and maintains for each assigned officer which contains current, accurate, and specific documents pertaining to the officer's performance.
- S. **Treatment Plan:** See "Individual Treatment and Service Plan (ITSP)."

### **III. PROCEDURE:**

- A. The designated auditor shall be the officer's supervisor.
  - 1. In the absence of the supervisor, the Chief of Court Services may designate another supervisor or employee to conduct case management audits.
  - 2. The Chief of Court Services and/or the supervisor may designate another officer to conduct and complete the case management audit for the purpose of training.
- B. Supervisors conduct case management reviews by either:
  - 1. Conducting a staffing meeting with the assigned officer;
  - 2. Reviewing the Service Report to the Judiciary; and/or
  - 3. Conducting a case management audit.
- C. The supervisor shall ensure that case reviews are conducted at intervals of no more than three (3) months and that reclassification promptly occurs when it is warranted **(2-7135)**.
- D. A minimum of nine (9) case management audits shall be conducted on each officer's caseload each quarter.
  - 1. Additional audits shall be conducted at the discretion of the Chief of Court Services and/or the officer's supervisor.
  - 2. The supervisor is responsible for establishing a review schedule for the timely completion of case management audits for all officers assigned to his/her supervision.

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- E. Officers may or may not be provided notification of case management audits in advance.
  - 1. Officers shall not be advised of the specific field files that will be subject to case management review in advance.
- F. The case management audit shall include, but not be limited to, evaluation of the following areas **(2-7135) (2-7134) (2-7072)**:
  - 1. The youth's ITSP requirements and his/her overall degree of compliance and adjustment to determine if consideration for reclassification is warranted;
  - 2. Supervision contacts to include phone, office, field, and detention contact, if applicable;
  - 3. Field file content and organization, using the format authorized by Policy 7.3-2 "Disposition Study;" and
  - 4. The Juvenile On-Line Tracking System (JOLTS), to determine timeliness and accuracy of all entries. Aspects of the JOLTS that shall be reviewed include, but are not limited to:
    - a. Demographics,
    - b. Residency information,
    - c. Programs and services,
    - d. Warrant status,
    - e. Legal status,
    - f. Youth contacts, and
    - g. Court hearings.
- G. The results of each case management audit shall be documented using the "Probation Case Management Audit Form," Attachment A.
- H. Auditor's Conclusions and Recommendations:
  - 1. The auditor shall provide written conclusions and recommended actions, if applicable, on the "Probation Case Management Review Form," Attachment A.
  - 2. If the auditor concludes that youth reclassification is warranted, the auditor shall complete the "Request for Level of Supervision Override/Modification", Attachment K. of Policy 7.3-2, "Disposition Study."
  - 3. The auditor's conclusions and recommended actions shall address the degree of compliance and/or non-compliance of the officer and highlight his/her areas of strength and areas needing improvement.
    - a. When areas needing improvement are noted, the auditor shall meet with the officer and design an action plan to improve performance and/or correct the deficiencies. Case management audits that include an action plan require review and approval of the Chief of Court Services.

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- b. When significant action is required to improve performance and/or correct deficiencies, a full caseload audit will be completed within ten (10) business days or as directed by the Chief of Court Services.
    - 4. Each completed "Probation Case Management Audit Form," Attachment A, shall be submitted to the Chief of Court Services for review;
      - a. Once reviewed, the original copy will be placed in the youth's field file and a copy will be maintained in the supervisor's personnel file designated for the supervising officer.
  - I. Utilization of Case Management Audits:
    - 1. Case Management Reviews shall be utilized for the following purposes:
      - a. To ensure that the appropriate level of supervision is being implemented **(2-7134) (2-7135)**;
      - b. To monitor officer compliance with policy and procedure requirements;
      - c. To identify an officer's skill-based training needs;
      - d. To assist in the completion of an officer's performance evaluation reports; and
      - e. To support employee promotion and/or automatic step increase considerations.

Approved:  10/24/15  
 J'me Overstreet, Chief of Court Services                      Date

Attachments:                      Attachment A, "Probation Case Management Audit Form"

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**OKLAHOMA COUNTY JUVENILE BUREAU  
Probation Case Management Audit Form**

**YOUTH NAME:**

**DOB:**                      **AGE:**

**REV. DATE/TIME:**

**JDL#(S):**

**CHARGE(S):**

**JOLTS #:**

**OFFICER:**

**AUDIT DATE:**

**AUDIT PERIOD:**

**AUDITOR NAME:**

**REVIEWER:**

**DATE OF REVIEW:**

**ITSP REQUIREMENTS – DEGREE OF COMPLIANCE**

- |                                     |   |              |
|-------------------------------------|---|--------------|
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | LIST PROGRAM |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | LIST PROGRAM |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | LIST PROGRAM |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | LIST PROGRAM |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | LIST PROGRAM |

**Date of last YLS/CMI Assessment?**                             /        /       

**SUPERVISION CONTACT - OVERALL FOR AUDIT PERIOD**

(INDICATED MONTHS ARE COMPLIANT)

- |                                |                                |                                |                                |
|--------------------------------|--------------------------------|--------------------------------|--------------------------------|
| <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | FACE-TO-FACE CONTACT           |
| <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | PHONE CONTACT                  |
| <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | <input type="checkbox"/> MONTH | DETENTION VISIT, IF APPLICABLE |

**NOTES:**

**JOLTS DATA and FIELD FILE – OVERALL FOR AUDIT PERIOD**

- |                                     |   |                                   |
|-------------------------------------|---|-----------------------------------|
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | CODED CORRECTLY                   |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | ACCURATE, DOCUMENTED CASE HISTORY |
| <input type="checkbox"/> COMPLIANCE | <input type="checkbox"/> NON-COMPLIANCE | FIELD FILE MAINTENANCE            |

**AUDITOR'S CONCLUSIONS AND RECOMMENDATIONS:**