	NEW MEXICO CORRECTIONS DEPARTMENT	
	"We commit to the safety and well-being of the people of New Mexico by doing the right thing, always."	
	Courage **R**esponsibility **E**thics **D**edication - **CRED**ibly serving the public safety of New Mexico	
	ISSUE DATE: 02/21/94 **REVIEW/REVISED: 03/06/15**	
	EFFECTIVE DATE: 02/21/94	
CD-051100	TITLE: **PPD Periodic Audits/Monitoring by Region Managers and District Supervisors**	

AUTHORITY:

NMSA 1978, Section 31-21-7, as amended.

REFERENCE:

ACA Standard 4-APPFS-3A-27, 4-APPFS-3D-07, 4-APPFS-3D-08, 4-APPFS-3D-09, 4-APPFS-3D-11, 4-APPFS-3D-12 Performance Based Standards for Adult Probation and Parole Field Services, 4th Edition.

PURPOSE: [4-APPFS-3D-07]

To establish a method to monitor and audit the operations of the Probation and Parole Division (PPD).

APPLICABILITY:

The Probation and Parole Division Director and all Probation and Parole staff.

FORMS:

A. **Case Audit** form *(CD-051101.1)(pages 1-4)*
B. **District Office Function Audit** form *(CD-051101.2)(3 pages)*

ATTACHMENTS:

None

DEFINITIONS:

A. *Action Plan:* A written outline of what measures are to be taken to correct operational deficiencies along with a schedule of the time frames needed for those corrections.

B. *Audit:* A periodic review of PPD documents, procedures, and equipment to assure compliance with PPD policy and procedures.

POLICY:

The Director or his designee(s) will conduct periodic audits to monitor field operations and programs through inspections and reviews to assure compliance with existing policies and procedures to evaluate the effectiveness of existing policies and procedures.

A. The Department shall provide for an internal system to monitor operations and programs through inspections and reviews that are conducted at least annually by the Division Director or designated staff. **[4-APPFS-3D-08]**

B. The Division Director is required to submit a report to the Secretary, at least biannually, that includes goals objectives, outcome measures, programs, budget, major developments, and plans, as well as services furnished to the courts, releasing authority, offenders, and the community. **[4-APPFS-3D-09]**

C. Staff is provided with equipment necessary to perform their assigned duties. All equipment is maintained in good working order and is replaced as needed. There is a review of needs at least annually. **[4-APPFS-3D-11]**

D. The Department provides adequate facilities for all Division operations. Facility needs are reviewed at least annually. **[4-APPFS-3D-12]**

E. Field supervision shall be systematically reviewed by the supervisor from both an administrative and case-management perspective. The reviews include case reviews, observation, and the provision of feedback to field staff. **[4-APPFS-3A-27]**

_____   03/06/15
Gregg Marcantel, Secretary of Corrections   Date
New Mexico Corrections Department

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Policy *CD-051100*

PROCEDURES:

F. Internal audits will be performed on an ongoing basis in all PPD offices statewide. Audits will be conducted at three different levels by District Supervisors, Region Managers, and Special Audit Teams (if one is called for). The audit will review the practices of the officers and the office using the guidelines that have been enumerated in the forms attached and Interstate Compact policies and procedures, other Corrections Department policies and procedures, and applicable ACA Standards. **[4-APPFS-3D-07]**

B. The district supervisor will conduct monthly administrative, operational and case-management audits using the desk top audit on CMIS and the Word Merge audit form. Focusing on such items as completion of the reassessment form, appropriateness of the supervision classification, and the frequency of contact relative to the contact standards set for each supervision level, and compliance with policy and procedure. The following procedures will be applicable to audits by the district supervisor. **[4-APPFS-3D-08] [4-APPFS-3A-27]**

  F. The supervisor will audit at least one case of each officer using the **Caseload Audit** Form *(CD-051101.1)*. Specialized programs may use audit forms designed for that specific program. The Director will approve all audit forms.

  2. The selection of the case to be audited should include those that have been reassessed the previous month (if found deficient the previous month).

  3. The case audit may include the supervisor accompanying the officer on a field visit to the offender's residence or employment.

  4. If in the judgment of the supervisor the audited case is unsatisfactory and/or there are major deficiencies, the supervisor will audit a minimum of two (2) more cases of the same supervision level from the same officer. All three (3) cases will be audited again the next month to insure that they have been brought up to standards.

5. The district supervisor will maintain an electronic administrative file of completed audits by month.

6. Cases being transferred from regular supervision to a specialized program and vice versa will be audited before case files are transferred.

C. Region Managers shall perform audits of the operations of each district office under their supervision at a minimum of once a year, but can perform audits more frequently if they deem appropriate. The Region Manager will audit case files, field visits, offender reporting practices, district case audits, court report procedures, practices governing conditions of probation and parole, collection practices governing the receiving, accounting, and disbursing of fees, restitution and fines ordered by the court or the Parole Board and any other procedure in line with the duties of a probation and parole officer and district office normal work practices. Region Managers shall also conduct a systematic review of all equipment needs and/or equipment replacement, as needed. The Region Managers will use the following procedures in conducting district office audits. **[4-APPFS-3D-08] [4-APPFS-3D-11]**

   F. The Region Manager shall assure that adequate facilities are available for all field agency operations. Deficiencies or requests to meet space requirements shall be made to the Director. **[4-APPFS-3D-12]**

   2. The Region Manager will attempt to work around the district office work schedule and, if possible, avoid audits during the first week of the month.

   3. The district supervisor of the office to be audited will be notified of the audit 24 hours before the audit is to commence.

   4. The Region Manager will randomly select at least two (2) cases from each supervising officer in the District.

   5. The audit will be conducted using the **Caseload Audit** form *(CD-051101.1)* and the **District Office Function Audit** form *(CD-051101.2)*. Specialized programs may require audit forms designed for that specific program and must be approved by the Director.

   6. The Region Manager will choose the audit team for district audits, to include staff members from different Regions. The audit team will be approved by the Director or designee.

D. Auditors approved by the Director or designee may perform audits to review compliance with policies and procedures and any special audits as ordered by the Division Director or designee. **[4-APPFS-3D-08]**

E.   The Region Manager and/or other auditors shall conduct a brief exit interview with the district supervisor upon completion of the audit. A cover memo outlining observed strengths and weaknesses of the district audit will be forwarded to the Director within 30 days of the audit. Upon review by the Region Manager, the audit forms and any suggested changes will be returned to the district office for review and implementation as necessary. **[4-APPFS-3D-08]**

F.   Auditors finding deficiencies in a district office and/or officer caseloads will make written recommendations for correcting the deficiencies. The district supervisor will submit an action plan to the Director through the Region Manager within 30 days of receipt of a written audit report. The district supervisor will implement the action plan upon approval by the Region Manager and Director. The Region manager or designee may assign a follow up audit to ensure the deficiencies have been corrected. **[4-APPFS-3D-09]**

_____   03/06/15
Gregg Marcantel, Secretary of Corrections   Date
New Mexico Corrections Department

NEW MEXICO CORRECTIONS DEPARTMENT
PROBATION/PAROLE DIVISION
CASE AUDIT FORM

OFFENDER NAME: _____ OFFENDER NUMBER: _____

		YES	NO	N/A
1.	VERIFICATION OF EMPLOYMENT/EDUCATION	☐	☐	☐
2.	VERIFICATION OF COUNSELING	☐	☐	☐
3.	REGISTRATION AS A SEX OFFENDER	☐	☐	☐
4.	INITIAL ASSESSMENT	☐	☐	☐
5.	6 MONTH REASSESSMENT/CASE SUMMARY	☐	☐	☐
6.	SUBSTANCE TEST WITHIN OR 30 DAYS	☐	☐	☐
7.	PRE SENTENCE REPORT/ POST SENTENCE REPORT	☐	☐	☐
8.	BENCH WARRANT/RETAKE WARRANT ISSUED	☐	☐	☐
9.	ALL VIOLATIONS REPORTED	☐	☐	☐
10.	ARREST AND HOLDS/CANCELLATIONS	☐	☐	☐
11.	FLASH	☐	☐	☐
12.	COPY OF FINGERPRINT CARD	☐	☐	☐
13.	JUDGEMENT AND SENTENCE	☐	☐	☐
14.	ORDER OF PROB/PTF ACKNOWLEDGMENT	☐	☐	☐
15.	AMENDED ORDER OF PROBATION	☐	☐	☐

NEW MEXICO CORRECTIONS DEPARTMENT
PROBATION/PAROLE DIVISION
CASE AUDIT FORM (continued)

16. PAROLE CERTIFICATE   ☐YES ☐NO ☐N/A

17. DNA COLLECTION   ☐YES ☐NO ☐N/A

18. INSTITUTIONAL PAPERWORK   ☐YES ☐NO ☐N/A

19. POLICE REPORTS   ☐YES ☐NO ☐N/A

20. PLEA AND DISPOSITION AGREEMENT   ☐YES ☐NO ☐N/A

21. NCIC DATA COLLECTION FORM/CHANGE/TRANSFER   ☐YES ☐NO ☐N/A

22. ORIENTATION HANDBOOK/
   ACKNOWLEDGMENT FORMS   ☐YES ☐NO ☐N/A

23. CRIMINAL HISTORY/ RECORDS CHECK   ☐YES ☐NO ☐N/A

24. PHOTO IN CMIS/UPDATED FROM PNM   ☐YES ☐NO ☐N/A

25. TWO FILES FOR DUAL CASES   ☐YES ☐NO ☐N/A

26. DOCUMENT FOLDER ON THE SERVER   ☐YES ☐NO ☐N/A

27. MERGED DOCUMENTS IN SERVER FOLDER   ☐YES ☐NO ☐N/A

28. PHOTO IN FOLDER ON THE SERVER   ☐YES ☐NO ☐N/A

29. CORRECT LEGAL STATUS   ☐YES ☐NO ☐N/A

30. LOCATION STATUS   ☐YES ☐NO ☐N/A

NEW MEXICO CORRECTIONS DEPARTMENT
PROBATION/PAROLE DIVISION
CASE AUDIT FORM (continued)

31. UP-TO-DATE CASENOTES   ☐YES ☐NO ☐N/A

32. CURRENT ADDRESS   ☐YES ☐NO ☐N/A

33. CORRECT COURT INFORMATION   ☐YES ☐NO ☐N/A

34. CURRENT EMPLOYER IN CMIS   ☐YES ☐NO ☐N/A

35. APPROPRIATE TRAVEL PERMITS ISSUED   ☐YES ☐NO ☐N/A

36. PHASE CONDITIONS   ☐YES ☐NO ☐N/A

37. GANG CARD   ☐YES ☐NO ☐N/A

38. ELECTRONIC MONITORING PAPERWORK   ☐YES ☐NO ☐N/A

39. COPS IN PROPER ORDER   ☐YES ☐NO ☐N/A

40. RESTITUTION PLAN   ☐YES ☐NO ☐N/A

41. RESTITUTION COLLECTED   ☐YES ☐NO ☐N/A

42. LAB FEES/DNA FEES COLLECTED   ☐YES ☐NO ☐N/A

43. PRO-PAR COSTS COLLECTED   ☐YES ☐NO ☐N/A

44. COMMUNITY SERVICE HRS   ☐YES ☐NO ☐N/A

45. SUPERVISION PLAN   ☐YES ☐NO ☐N/A

46. J&S REVIEW   ☐YES ☐NO ☐N/A

**NEW MEXICO CORRECTIONS DEPARTMENT
PROBATION/PAROLE DIVISION
CASE AUDIT FORM (continued)**

47. PROGRESS REPORTS, OSI'S, PPI'S;　　☐YES　☐NO　☐N/A

　COMPLETED WITHIN TIMELINES

48. CURRENT MONTHLY CONTACT SHEETS　　☐YES　☐NO　☐N/A

49. FIELD CALLS PER SUPERVISION LEVEL　　☐YES　☐NO　☐N/A

50. OFFICE VISITS PER SUPERVISION LEVEL　　☐YES　☐NO　☐N/A

51. PROPERTY ACKNOWLEDGMENT FORM　　☐YES　☐NO　☐N/A

OVERALL COMMENTS:

AUDITOR: _____　DATE OF AUDIT: _____

PPO: _____　DATE CORRECTED: _____

NEW MEXICO CORRECTIONS DEPARTMENT
PROBATION PAROLE DIVISION
District Office Function Audit

REGION:_____   DISTRICT:_____

DATE:_____

	AREAS TO EVALUATE	YES	NO	N/A	COMMENTS
1.	Is the District Office orderly and well kept?				
2.	Are the dress code requirements being adhered to?				
3.	Is the Oath posted in the lobby?				
4.	Are there any derogatory items posted in a general area or in any office that a reasonable person might deem offensive?				
5.	Are the PPO officer set up in a safety conscious way?				
6.	Have steps been taken to maximize security?				
7.	How many vehicles are assigned to the office?				
8.	Are the vehicle logs being maintained and current?				
9.	Have the vehicle monthly reports been submitted and are they complete?				
10.	Are the vehicle maintenance requirements being adhered to and documented on the maintenance log?				
11.	Are the vehicles clean and well kept?				
12.	Do the radios in the vehicles work?				
13.	Do the PPO's know how to operate the radios?				
14.	Do the handheld radios work?				
15.	Is there a District first aid kit accessible and fully stocked?				
16.	Is there an AED machine that is updated and accessible?				
17.	Are supplies being kept in an orderly fashion and in sufficient quantities?				
18.	Is there a place in the lobby with current community resources?				

	AREAS TO EVALUATE	YES	NO	N/A	COMMENTS
19.	Is the general on-line inventory being maintained by the support staff? Does the supervisor have access?				
20.	Is there an annual inventory sheet per officer reviewed and signed in the supervisor's employee file?				
21.	Do the firearm and Taser serial numbers match the employee online inventory?				
22.	Is there a separate inventory log of all confiscated property using the property control number and follow up destruction? (NMCD 050700)				
23.	Are training logs current and being maintained?				
24.	Is the arrest & hold log current and maintained?				
25.	Is the Supervisor conducting monthly staff meeting and keeping minutes?				
26.	Is there a current & signed EEP on each PPO?				
27.	Are EEP interim reviews being completed?				
28.	Is the Supervisor maintaining soft files on each employee?				
29.	Is the Supervisor performing random case audits on a monthly basis?				
30.	Are deficiencies on case audits being documented and corrected?				
31.	How is the Supervisor ensuring substance testing is being done on offenders?				
32.	Is the Supervisor monitoring COPS collections? How?				
33.	Are NCIC entries being completed?				
34.	Are NCIC forms being turned in by the Officers?				
35.	Are NCIC forms being entered into the system?				
36.	Are Triple I's being done per the 24-hour directive?				
37.	Are NCIC validations being pulled and corrected by the TAC every month?				

	AREAS TO EVALUATE	YES	NO	N/A	COMMENTS
38.	Are closed files being archived per the archive list?				
39.	Is archiving being done annually?				
40.	Is assigned staff maintaining GPS inventory?				
41.	Is assigned staff maintaining SCRAM inventory?				
42.	Are PPOs entering GPS/SCRAM into CMIS & COPS?				
43.	Are Taser spark tests being conducted according to policy? Are they tracked?				
44.	Is the Employee notification board updated and does it include minimum wage and notice of accident documents?				
45.	Is the Supervisor maintaining and updating a DR log? Are assignments being completed according to policy?				

Overall office observations and comments:

Auditor:_____   C0_Auditors:_____

Field Call Auditor:_____   Date audited:_____

Reviewed with District Supervisor:_____ Date:_____