
 <p>NEW YORK STATE Corrections and Community Supervision</p> <p>DIRECTIVE</p>	TITLE		NO. 9812
	Area Office Site Visits and Annual Audits		DATE 07/02/2024
SUPERSEDES	DISTRIBUTION A B	PAGES PAGE 1 OF 2	DATE LAST REVISED
REFERENCES (Include but are not limited to) Directives #6920, #6921	APPROVING AUTHORITY 		

- I. PURPOSE:** The purpose of this directive is to provide guidelines for the implementation of biannual site visits and annual audits at the various Community Supervision office locations. This internal control process is designed to monitor and ensure compliance with applicable statutes, regulations, DOCCS directives, and American Correctional Association (ACA) accreditation standards and expected practices.
- II. POLICY:** It is the policy of the Department of Corrections and Community Supervision (DOCCS) to employ a series of controls, measurements, and procedures for the purpose of reasonably assuring that objectives related to operations, ACA accreditation standards and expected practices, policies, reporting, and compliance are met.
- III. DEFINITIONS**
- A. Site Visit: A formal onsite visit conducted biannually, by an Assistant Regional Director (ARD) or higher-ranking person, for the purpose of physically reviewing the premises, procedures, controls, and daily operations of an Area Office. The site visit also provides staff and managers an opportunity to interact and exchange ideas and feedback.
 - B. Site Visit Report: A biannual report, completed at the conclusion of a site visit, to document issues pertaining to, but not limited to, daily operations, processes, controls, evidence storage, physical condition of premises and assigned vehicles. The report reflects operational procedures and any deficiencies and includes directions or recommendations to the Bureau Chief (BC) for any corrective actions needed.
 - C. Community Supervision Audit Guide: An annual report prepared by the BC and Regional Director (RD)/Assistant Regional Director (ARD), to document compliance and/or deficiencies observed within an Area Office and any corrective actions required to address existing conditions.
- IV. PROCEDURE:** A site visit will be conducted at every Area Office twice each year (biannually). The first site visit will occur during the first six months of the year (January 1st – June 30th). The second site visit will occur within the last six months of the year (July 1st – December 31st) and include completion of the annual audit and Community Supervision Audit Guide.
- NOTE: The site visits should be conducted at least four months apart.
- A. Site Visits
- 1. The RD/ARD will plan a site visit for each Area Office.
 - 2. During the site visit, observations will be made to include, but not limited to, daily operations, processes, controls used, evidence storage, condition of the physical premises and vehicles. The RD/ARD will make note of any deficiencies and provide direction or recommendations to the BC for corrective action.

3. The RD/ARD will interact with staff from various job titles to discuss topics concerning Area Office operations.
 4. Upon completion of the site visit, the RD/ARD will complete [Form #CS9812A](#), "Site Visit Report."
 5. The site visit report will be forwarded to the respective Assistant Commissioner.
- B. Annual Audit: At the conclusion of the second site visit of the year, occurring between July 1st and December 31st, [Form #CS9812B](#), "Community Supervision Audit Guide," will be completed. The guide will be completed jointly by the BC and the RD/ARD auditor. Any corrective actions needed will be specified in the audit guide. Upon completion of the site visit report and the audit guide, both documents will be forwarded to the respective Assistant Commissioner.



Corrections and Community Supervision

KATHY HOCHUL
Governor

DANIEL F. MARTUSCELLO III
Commissioner

_____ Site Visit

To: _____

From: _____

Date: _____

Conduct By: _____

Staff Contacted/Position:

Bureau Controls Used:

Bureau Safe/Logbook:

Spare Weapon: Y or N

Contraband/Evidence Storage/Log Book:

Building Observations:

Vehicle Status/Observations:

Staff Work Areas:

Waiting Room:

Recommendations and Follow Up:

NEW YORK STATE DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION
COMMUNITY SUPERVISION AUDIT GUIDE

Bureau: _____

Date: _____

Auditor: _____

NOTE: Please see the references section of each listed directive below for any applicable current ACA Expected Practices

Office Security/Safety

Directive #4026, “Critical Incident Stress Management Plan”

1. Does the Area Office have a process for immediate response, investigation, and further actions and support in the event of a critical incident?
Yes No
2. Is the Area Office aware of and have access to a Critical Incident Stress Management team?
Yes No
3. Do critical incident stress debriefing sessions occur within 24 to 72 hours after the incident?
Yes No
4. Are all critical incident stress debriefing guidelines followed?
Yes No

Corrective action need:

Directive #4960, “Workplace Violence Prevention Program”

1. Are building inspections completed with the Violence Prevention and Safety Committee minimally, on an annual basis?
Yes No
2. Are these inspections recorded and forwarded to the appropriate personnel?
Yes No
3. Are noted deficiencies addressed in a timely manner?
Yes No

Corrective action need:

Directive #9710, “Magnetometers (Metal Detectors) Community Supervision”

1. Are all persons entering an area office/suboffice screened with a security screening device (with the exception of law enforcement personnel)?
Yes No
2. Are metal detectors calibrated daily using only the NYS DOCCS standard test device?
Yes No
3. Are all officers assigned to the metal detector trained in order to be familiar with the equipment and agency policy pertaining to this duty?
Yes No
4. Are the magnetometers staffed in accordance with Directive #9710 during all hours of operation Monday-Friday?
Yes No
5. Does the Bureau Chief or designee ensure that the sensitivity of the metal detector is checked daily, adjusted as required, and that a permanent record of this activity is kept?
Yes No

Corrective action need:

Staff/Visitor ID

1. Are staff provided with a picture identification card authorized by DOCCS?
Yes No
2. Are visitors provided with a “Visitor” identification card upon entering the facility?
Yes No
3. Are visitors required to sign in/sign out of the office?
Yes No
4. Are visitors escorted to and from their destination by DOCCS staff?
Yes No

Corrective action need:

Emergency Action Plan

1. Is there an Emergency Action Plan provided to staff?
Yes No

2. Is training provided to staff?
Yes No
3. Do the procedures at a minimum provide the following:
- a. Telephone numbers for all first responder emergency services for their location?
Yes No
 - b. Staff responsibility to request assistance in emergency situations?
Yes No
 - c. Staff responsibility for reporting situations where emergency services were requested through the chain of command?
Yes No
 - d. Name of their Fire and Safety Directors?
Yes No
 - e. Location of evacuation points?
Yes No

Corrective action need:

Area Office Administration

Directive #2104, "Local Labor/Management Committees"

1. Are Local Labor Management Meetings held monthly?
Yes No
2. Are meeting minutes forwarded to doocs.sm.laborrelations?
Yes No
3. If a Local Labor Management Meeting is declined, are signed declinations submitted to doocs.sm.laborrelations?
Yes No
4. Are efforts extended to address concerns of labor and/or management?
Yes No

Corrective action need:

Directive #2202, "Attendance Control Program"

1. Is conforming medical documentation submitted for absences of more than three consecutive days where the employee seeks to use sick leave or other accruals as appropriate for personal illness/injury or illness/injury in the employee's family?
Yes No
2. Is conforming medical documentation submitted for all absences for which the employee claims their absence is related to an on-the-job injury?
Yes No
3. Are time off slips being submitted and approved no later than the previous day for the time requested?
Yes No
4. Is conforming medical documentation being submitted for previously approved medical appointments of more than four hours?
Yes No
5. Are employees reporting unscheduled absences or lateness to their immediate supervisor?
Yes No
6. Is the supervisor or designee reporting said absences or lateness via email to the Region's medical information officer?
Yes No
7. Is the supervisor or designee reporting via email to the region's medical officer when the employee returns to work?
Yes No
8. Are employees recording absences and late arrivals in LATS?
Yes No

Corrective action need:

Directive #9515, "Core Schedules and Flight Plans"

1. Do Parole Officers have fixed/core schedules?
Yes No
2. Does the Bureau Chief maintain a file with each parole officers proposed work schedule/flight plans?
Yes No

3. Does the Bureau Chief ensure adequate duty officer coverage and report day coverage?
Yes No
4. Does the Senior Parole Officer ensure that Parole Officers are adhering to contact standards?
Yes No
5. Do the Parole Officers request adjustment of their normal work schedule in advance?
Yes No
6. Do Parole Officers call in from the field once in the morning and once in the afternoon?
Yes No
7. Do Parole Officers and Senior Parole Officers obtain Bureau Chief approval to work beyond 37.5 hours per week?
Yes No

Corrective action need:

Directive #2945, "Control Inventory," and Directive #9432, "Substance Abuse Testing by Community Supervision Staff"

1. Is inventory being monitored for the timely ordering of drug testing supplies?
Yes No
2. Are all drug testing supplies stored in a secured area?
Yes No
3. Are inventory standards being applied to ensure that all drug testing supplies are counted, inventoried, properly secured, used using singed requisitions and inventory is periodically reconciled?
Yes No
4. Is there a perpetual inventory record?
Yes No
5. Do Senior Parole Officers maintain a record of drug screens provided to a parole officer?
Yes No
6. Do Parole Officers maintain a record of drug screens administered to releasees?
Yes No
7. Do Parole Officers document drug screens and inventory used in CMS?
Yes No

8. Are the drug testing supplies inventory closed out as close as possible to the end of the month?

Yes No

Directive #9220, "Processing Contraband for Community Supervision"

1. Is there a secure area for the sole purpose of securing seized property?

Yes No

2. Is there a Bureau Chief designee who also has access to this area?

Yes No

3. Does the area have the appropriate supplies for photographing, marking, and packaging of seized items?

Yes No

4. Does the Bureau Chief inspect the area quarterly to ensure that proper procedures are being followed?

Yes No

5. Is property being disposed of in accordance with Directive #9220?

Yes No

6. Are Parole Officers seeking supervisor approval to seize items?

Yes No

7. When currency is seized, is OSI immediately notified?

Yes No

8. Is a bound book maintained according to procedure?

Yes No

9. Is the seized property reported, recorded, and logged according to Directive #9220?

Yes No

10. Are stored items categorized as evidence, safekeeping, and disposal property?

Yes No

11. Does the Area Office refrain from storing drugs as contraband?

Yes No

12. Does the Area Office refrain from storing firearms as contraband?

Yes No

13. Is all activity related to seizures, returns, and destruction entered into CMS?

Yes No

Corrective action need:

Directive #2011, "Disposition of Departmental Records"

1. Are records maintained until the minimum destruction period?
Yes No
2. Does the Area Office follow the designated folder destruction schedule?
Yes No
3. Does staff update the Folder Information Tracking System when folders are destroyed/or transferred?
Yes No

Corrective action need:

Directive #2932, "Use of State-Owned Vehicles"

1. Are state vehicles only being used for official state business?
Yes No
2. Are state vehicles in compliance with New York State laws?
Yes No
3. Do employees who drive a state vehicle possess a valid New York State driver license?
Yes No
4. Are employees who drive state vehicles aware that smoking and/or driving under the influence of alcohol or drugs is prohibited?
Yes No
5. Unless specifically authorized to do so, do employees refrain from commuting in state vehicles?
Yes No
6. Do employees refrain from using personal equipment such as a scanner or radar detectors in State vehicles?
Yes No
7. When involved in an accident, are department procedures (see Directive #2932-subsection V-K-1 thru -5) being followed?
Yes No

8. Does each vehicle have a state issued gas credit card?
Yes No
9. Are state issued gas credit cards used for the sole purpose of filling the vehicle with "regular" unleaded gas and no other charges?
Yes No
10. Does each car have a state issued E-Z PASS?
Yes No
11. Are vehicle control logs kept up to date and submitted in a timely fashion (monthly)?
Yes No
12. Are vehicles inspected in accordance with NYS DMV laws on an annual basis?
Yes No

Corrective action need:

Directive #9199, "Photo Imaging"

1. Does the Area Office have a photo imaging machine?
Yes No
2. Are all Parole Officers and Senior Parole Officers trained in the use of the photo imaging machine?
Yes No
3. Does the Area Office have a CJIMS coordinator?
Yes No
4. Are monthly CJIMS audits being conducted to ensure compliance?
Yes No
5. Are photos of releasees being taken at arrival no later than one week of release?
Yes No
6. Upon transfer of supervision between Area Offices, are Parole Officers ensuring that a photo image of the releasee, taken no more than six months prior, is on file?
Yes No
7. Are photo images of releasees being taken when there is a dramatic change in the releasee's appearance?
Yes No

8. Are photo images being sent to DOCCSSOMUPHOTOS@doccs.ny.gov

Yes No

9. Are hard copies of the releasee's photo image being placed in the releasee's file?

Yes No

Corrective action need:

Directive #2401, "Professional Staff Development"

1. Are all new employees receiving 40 hours of orientation?

Yes No

2. Are peace officers receiving 40 hours of in-service training annually?

Yes No

3. Are support staff receiving 16 hours of in-service training annually?

Yes No

4. Are records being kept of all training conducted throughout the year?

Yes No

5. Are training verifications (RTF) being provided to the DOCCS Training Academy in a timely manner?

Yes No

6. Are training completions entered and monitored via KHRT?

Yes No

Corrective action need:

Area Office Safe Inventory

1. Are copies of the safe combinations on file in the regional office?

Yes No

2. In case of compromise, are safe combinations changed?

Yes No

3. Are logbooks/inventory kept for each safe?

Yes No

4. Are logbooks/inventory kept up to date? Yes No
5. Are the contents of the safe inventoried at least twice a year? Yes No

Corrective action need:

**Directive #9295, “Electromagnetic Monitoring (EM) Program – Community Supervision”
and Directive #9301, “Supervision Against Violent Engagement (SAVE) Initiative”**

1. Are GPS monitoring devices being used for the following categories: SAVE, Community Safety, Violators released at Recognizance Hearings, Domestic Violence and Sex Offenders? Yes No
2. Are Parole Officers following the case identification procedure, enrollment, case monitoring, equipment installation, and program removal procedures? Yes No
3. Are records being kept of GPS enrollment and disenrollment? Yes No
4. Are Bureau Chiefs reviewing rationales for GPS enrollment on a monthly basis? Yes No
5. Are GPS devices being inventoried? Yes No
6. Are GPS records updated on a monthly basis? Yes No
7. Is GPS enrollment, unenrollment, and current device information entered in CMS? Yes No
8. Is releasee GPS activity being reviewed by the Parole Officer and/or Senior Parole Officer as needed? Yes No
9. Is the Community Supervision Operations Center (CSOC) advised of all enrollments? Yes No
10. Are UIs submitted on lost or irretrievable GPS devices? Yes No

Corrective action need:

Directive #2713, "Overtime/Holiday Compensation"

1. Is overtime being authorized in accordance with Directive #2713?
Yes No
2. Is overtime approved in advance and only when other options are exhausted?
Yes No
3. Is overtime monitored and recorded?
Yes No
4. Is overtime reviewed regularly by the Bureau Chief?
Yes No
5. Is all overtime entered into LATS?
Yes No

Corrective action need:

Directive #9506, "Staff and Supervision Coverage at Community Supervision Offices"

1. Are caseloads covered when a Parole Officer and/or Senior Parole Officer is out on leave, extended leave, or when there is a vacant item?
Yes No
2. Is there a case conference when supervision is transferred?
Yes No
3. Is the Area Office supervised by a covering Bureau Chief when the assigned Bureau Chief is absent?
Yes No

Corrective action need:

**Directive #9460, “Personal Data and Equipment Inventory (Community Supervision),”
and Directive #2948, “Reporting Loss of Issued Items”**

1. Are annual inventories completed by all staff?
Yes No
2. Are losses of state assigned equipment immediately reported to supervisors?
Yes No
3. Are losses of state assigned equipment reported to local police departments?
Yes No
4. Are losses of state equipment reported on an unusual incident report?
Yes No
5. Is lost equipment replaced when needed?
Yes No

Corrective action need:

Field Operations

**Directive #8700, “Community Preparation - Case Assignment and Release Investigation
Process”**

1. Is the Bureau Chief or their designee assigning cases by using offenders proposed address, last known address, or county (precinct) of commitment where the instant offense occurred?
Yes No
2. Is the Bureau Chief or their designee using the “NOPO” report to ensure timely Parole Officer assignments to community preparation investigations?
Yes No
3. Does the Bureau Chief have a mechanism to monitor the timely submissions of completed community preparation investigations?
Yes No
4. Is the Bureau Chief or their designee ensuring that all appropriate information is in the community investigation report in CMS?
Yes No
5. Has the Bureau Chief ensured that controls are in place for timely submissions of community preparation investigations?
Yes No

6. Are the Parole Officer and Senior Parole Officer familiar with special residency conditions and how to request special housing when deemed necessary?
Yes No
7. Are the Parole Officer and Senior Parole Officer familiar with procedure for approving temporary housing for undomiciled cases including pending sex offender registry designation for Level 2 and 3 cases pursuant to Executive Law 259-c (17) and Chapter 568 of the Laws of 2008?
Yes No
8. Are the Parole Officers, Senior Parole Officers, and Bureau Chiefs ensuring that releasees have an approved address prior to release?
Yes No
9. Is the releasee being referred to Re-Entry and other supportive services as part of the pre-release supervision plan?
Yes No
10. Is the releasee required to show their DOCCS ID at their arrival report?
Yes No

Corrective action need:

Directive #8500, "COMPAS Assessments/Case Plan"

1. Are any assessments not completed in the facilities completed by the Parole Officer of record within 14 days of release and all information entered into the E-Justice Portal and CMS?
Yes No
2. Are special circumstance cases (Emergency Release, Revoke and Restore from local jails, and Interstate Cooperative Supervision cases) having assessments done in a timely manner by the Parole Officer of record?
Yes No
3. Are medium to high criminogenic needs targeted and included in the releasee case plan by the Parole Officer of record?
Yes No
4. Are the Senior Parole Officer and Bureau Chief ensuring that all Parole Officer requests for overrides are appropriately submitted, reviewed, and entered into the E-Justice portal and contact screen in CMS?
Yes No

5. Are the Senior Parole Officer and Bureau Chief ensuring that the Parole Officer of record is completing the Case Supervision Review Instrument in the E-Justice portal, after every 12 months of unrevoked supervision?
Yes No
6. Are cases remaining in local custody, including DDOI cases, having assessments completed by the Parole Officer of record within 14 days after arrival or upon NYSID receipt?
Yes No
7. Is the Bureau Chief ensuring that the Senior Parole Officer is reviewing each assessment of a releasee within five days of release?
Yes No
8. Is the Bureau Chief ensuring that the Senior Parole Officer is reviewing and approving the case plan and documentations in CMS timely?
Yes No

Corrective action need:

Directive #9504, "Case Conference"

1. Is the Parole Officer ensuring that supervision levels are appropriate, and progress or lack thereof is adjusted?
Yes No
2. Is the Parole Officer ensuring that imposed special conditions are appropriate and are imposed and enforced?
Yes No
3. Is the Parole Officer ensuring that all program treatment, employment, associations, vehicle, and drug screen verifications are entered into CMS?
Yes No
4. Is the Parole Officer addressing developing issues that are positive and those that are negative with graduated response?
Yes No
5. Is the Senior Parole Officer ensuring that all Failure to Report (FTR) cases are followed up on and know the outcomes?
Yes No

6. Is the Senior Parole Officer ensuring that all 40/60 day alerts are given due dates for completion?
Yes No
7. Is the Senior Parole Officer ensuring that all OVERDUE reports (mandatory, merits, 3YD discharges, certificate of relief, interstate inv., VORR, etc.) are provided with due dates for completion?
Yes No
8. Is the Senior Parole Officer ensuring that the content and quality of all CMS entries are thorough, timely, and appropriate?
Yes No
9. Is the Senior Parole Officer ensuring that the Bureau Chief is given all pertinent information available for the timely submission of a Point of Information (POI)?
Yes No
10. Is the Senior Parole Officer ensuring that all cases in violation status are properly served, hearings are scheduled, and that Parole Officers are aware of when they have to testify with all appropriate evidence obtained and presented?
Yes No
11. Is the Bureau Chief ensuring that case conferences are being conducted monthly?
Yes No
12. Is the Bureau Chief ensuring that ALL cases that are in pre-delinquent/violation status have a supervisory conference, which considers all alternative options prior to incarceration?
Yes No
13. Is the Bureau Chief ensuring that the Regional Director is updated on all cases requiring full case review?
Yes No
14. Is the Bureau Chief ensuring that the Regional Director is aware of any Parole Officer that is not meeting supervision standards or required tasks and duties?
Yes No

Corrective action need:

Directive #9025, "Case Management System (CMS) Operational Guidelines"

1. Is the Parole Officer ensuring that all contact information relevant to compliance with supervision standards is entered into CMS?
Yes No

2. Is the Parole Officer ensuring that all contacts made are entered into CMS by close of business the following day the contact is made and no later than the close of business of the business week?
Yes No
3. Is the Senior Parole Officer reviewing the contact record of the Parole Officers they supervise to ensure that standards of supervision are met?
Yes No
4. Is the Bureau Chief ensuring that all case conferences and caseload reviews are documented according to established standards?
Yes No
5. Are requests to modify or delete entries requested to internal operations via chain of command when time allowances for correction have passed?
Yes No

Corrective action need:

Directive #9210, "Supervision Standards for Community Supervision"

Supervision Compliance

1. Are home visits being conducted within eight business days of release?
Yes No
2. Are cases transferred to another Parole Officer's supervision visited within eight business days of the releasee's first office report?
Yes No
3. Are office reports being conducted in accordance with the COMPAS Level?
Yes No
4. Are home visits being conducted in accordance with the COMPAS Level?
Yes No
5. Are curfew checks being conducted in accordance with the COMPAS Level and special conditions?
Yes No
6. Are mandated treatment programs verified in accordance with the COMPAS Level?
Yes No

7. Are employment verifications being conducted in accordance with the COMPAS Level?
Yes No

8. Is substance abuse testing being conducted in accordance with COMPAS Level and risk needs?
Yes No

Corrective action need:

Failure to Report

1. Is the Parole Officer attempting to re-engage the releasee within 24-hours of a failure to make an office report?
Yes No

2. Is the Parole Officer conducting a home visit within 48 hours if other contact with the releasee cannot be made?
Yes No

3. Are efforts to re-engage after an FTR properly recorded in CMS in accordance with policy?
Yes No

Corrective action need:

Directive #9221, "Merit Termination of Sentence and Discharge from Presumptive Release, Parole, Conditional Release and Post Release Supervision (PRS)"

1. Are the reports received, reviewed, and processed in a timely manner?
Yes No

2. If an eligible merit termination candidate is arrested, or engaged in behavior that may form the basis for a violation, are Quality Control and the Regional Director notified?
Yes No

Corrective action need:

Directive #9404, "Search and Seizure"

1. Is the Parole Officer aware of how and when a search is to be conducted in accordance with Directive #9404?
Yes No

2. Do Parole Officers conference the need to conduct a compliance search with the Senior Parole Officer?

Yes No

3. Are [Form #CS4096](#), "Property Receipt," [Form #CS4099](#), "Report of Search," and [Form #CS4100](#), "Disposition of Property," being utilized?

Yes No

Directive #9220, "Processing Contraband for Community Supervision"

1. Is property which may be evidence of a crime turned over to law enforcement having jurisdiction?

Yes No

2. Is property which may be evidence of a violation of parole inventoried and retained in the Area Office?

Yes No

3. Does the Area Office refrain from handguns/long guns being inventoried and retained in the Area Office?

Yes No

4. Does the Area Office refrain from controlled substances (drugs) being inventoried and retained in the Area Office?

Yes No

5. Is property that is no longer needed for evidence returned or destroyed in a timely manner?

Yes No

Corrective action need:

Directive #9403, "Transporting Parole Violators/Prisoners/Releasees"

Arrests

1. Are arrests being planned in advance and conferenced with a supervisor when possible?

Yes No

2. Are prisoners being handcuffed behind the back (rear cuffed) UNLESS the prisoner's physical condition prevents such, have a recent or pending pregnancy related event/outcome or a transport belt is being used?

Yes No

3. Are leg restraints (irons) used?
Yes No
4. In ALL arrests and prisoner transports, does at least one officer have a wireless communication device?
Yes No
5. Are seatbelts, child locks, and/or vehicles with dividers utilized when available?
Yes No
6. When available, is a same sex officer a part of the transport team?
Yes No

Corrective action need:

Directive #9050, "Community Supervision – Revocation Process"

Investigation of Possible Parole Violation:

1. Are investigations of ALL allegations of parole violations by a releasee being investigated in a timely manner?
Yes No
2. Is a case conference with the Senior Parole Officer taking place to determine if a violation of parole has occurred in an important respect?
Yes No
3. Are investigations of new alleged criminal behavior completed within 30 days of the arrest?
Yes No
4. Does the Senior Parole Officer ensure that evidence is secured, and evidence thresholds are met or exceeded?
Yes No
5. Does the Bureau Chief monitor PRESS for timely follow up on investigations?
Yes No
6. Is [Form #CS4003SVOR](#), "Supplemental Violation of Release Report," prepared and submitted for any new violative behaviors?
Yes No

7. Does the Senior Parole Officer review the [Form #CS4003VORR](#) charges and ensure correction when needed?
Yes No
8. Does the Bureau Chief review all [Form #CS4003VORR](#) reports?
Yes No
9. Does the Bureau Chief ensure corrections are made when needed?
Yes No

If a Warrant is Issued:

1. Is [Form #CS4003VORR](#), "Violation of Release Report," prepared and served in a timely manner along with [Form #CS9011](#), "Notice of Violation," providing the dates, times, and locations of preliminary and final hearings?
Yes No
2. In the case of an absconder, is the releasee provided a 48-hour notice with direction to report to the parole office at a designated date and time, including preliminary and final hearing information?
Yes No
3. Are all required documents entered into the Electronic Document Delivery System (EDDS) or otherwise provided to the court?
Yes No
4. Is the releasee afforded a recognizance hearing within 24 hours or the courts first availability?
Yes No
5. Does the Area Office ensure that preliminary and final hearings are held within the required time frames?
Yes No

If No Warrant is Issued, but the violation process is pursued:

1. Is [Form #CS4003VORR](#) prepared and served in a timely manner along with [Form #CS9011](#) providing the dates, times, and locations of preliminary and final hearings?
Yes No
2. Does the Area Office ensure that preliminary and final hearings are held within the required time frames?
Yes No

If no Warrant is issued and the violation process is not pursued:

1. Is [Form #CS4003VORR](#) and [Form #CS4003.2](#), "Area/Bureau Analysis," requesting "No Delinquency, no warrant issued" or "No Delinquency Pending Court Action" submitted to the Board of Parole within 30 days?
Yes No
2. Do the Parole Officer and Senior Parole Officer monitor cases and request that the Board close interest when appropriate?
Yes No
3. Do Senior Parole Officers and Bureau Chiefs monitor no warrant VORRs for timely closure?
Yes No

Lifting of Warrants Prior to Final Hearings:

1. Are warrants voided when necessary, providing that it has not been enforced and no declaration of delinquency has been declared with a written explanation why?
Yes No
2. Is a Parole Board member vacating a warrant upon request of the Area Supervisor/ Bureau Chief providing that [Form #CS4003SVOR](#) has been submitted with the additional or new information?
Yes No

Corrective action need:

Directive #9432, "Substance Abuse Testing by Community Supervision Staff"

1. Are substance tests done at: Office Reports
Home Visits
Program Visits
Satellite Report Stations
2. Are releasees being observed at ALL times during the administrating of the testing?
Yes No
3. Are urine tests being conducted by staff of the same gender?
Yes No
4. Are substance tests being administered when a releasee becomes eligible for Merit Termination or 3YD discharge consideration?
Yes No

5. Are all substance abuse tests recorded on [Form #CS4169A](#) , "On-Site Drug and Alcohol Test Record," and documented in CMS?

Yes

No

6. Are all substance tests being administered in accordance with the COMPAS Level and/or where reasonable suspicion applies?

Yes

No

Corrective action need:
