

Caseload Audits and Reviews

Effective Date:	01/01/2026
Revised Date:	12/12/25
Issuing Authority: Chief Probation Officer	

806.1 PURPOSE:

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

806.2 DEFINITIONS:

Caseload Audit: A monthly random review of Caseload Explorer (CE) file notes and corresponding physical case files conducted by the Supervising Probation Officer or their designee.

Caseload Review: A monthly 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.

Electronic Recording Audit: A monthly random review of officer electronic recordings completed by the Supervising Probation Officer or their designee.

Probation Video and Media Tracking System (PVMTS): A secure digital platform used to catalog, store, and track video and audio recordings generated by staff or facility surveillance.

806.3 RESPONSIBILITIES:

- I. Supervising Probation Officer (SPO) or designee:
 - A. Monthly Caseload Audits:
 1. At the beginning of each month, run the appropriate Caseload Audit Report (Juvenile or Adult) from CE Reports for the previous month.
 - (a) Verify information from the Caseload Audit Report and CE Overview page by reviewing CE notes and Reports (e.g., Cases Expiring, Court Reports Due, Last Contacts, Officer-To-Do List, Odyssey, JIMS, or any other relevant source of information, etc.).
 - (b) Ensure documentation is complete regarding safety, contacts, assessments, case plans, GPS, drug screening, counseling classes, referrals, start and end dates, tolling time, etc.
 - (c) Review the physical case file for pertinent documents and organization of each section as needed.

San Bernardino County Probation Department

MANUAL

Caseload Audits and Reviews

2. At the beginning of each month, run the Electronic Recordings Audit Report from CE Reports for the previous month for each assigned officer.
 - (a) Review electronic recordings associated with the Electronic Recordings Audit Report via the PVMTS to ensure compliance with the Electronic Recordings procedure.
3. Review the completed audit form(s) with the assigned officer.
4. Have the officer sign the completed audit form(s).
5. Provide the officer with a copy of the audit form(s).
6. Submit a copy of the completed audit form(s) to the Division Director by the 10th of the month.
7. If corrections are required of an audited officer, advise the officer to make corrections within a specific timeframe.
8. Conduct a follow-up review of the audit corrections with the officer.
9. Submit a copy of the audit corrections to the Division Director on or before the 30th of the month.
10. Document all audits in CE–Events–Supervision–CCB Supervisor Comment by entering "Monthly Caseload Audit completed" and/or "Electronic Recordings Audit completed" as applicable. Do not include specific details of the audit.
11. 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.

C. Vacant Caseloads:

1. If a caseload is or will be vacant for more than three (3) weeks, assign the caseload to another officer(s) 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(s).
4. When feasible, ensure that the county cellular phone and desk phone previously assigned to a vacant caseload are forwarded to the officer(s) covering that caseload.

II. Probation Officers:

- A. Make necessary corrections generated from a supervisor's Caseload/Electronic Recordings Audit and submit audit corrections to the supervisor as directed.
- B. On a monthly basis, conduct a caseload review of all assigned cases.

San Bernardino County Probation Department

MANUAL

Caseload Audits and Reviews

- C. Meet with your SPO monthly to provide an overview of caseload(s).
- D. Provide appropriate coverage for vacant caseload(s) as directed.