



**POLICY STATEMENT**  
**Commonwealth of Pennsylvania • Department of Corrections**

<b>Policy Subject:</b> <b>Supervisory Oversight – Parole Field Services</b>		<b>Policy Number:</b> <b>12.4.01.19</b>
<b>Date of Issue:</b> <b>May 20, 2024</b>	<b>Authority:</b> <b>Signature on File</b> <b>Dr. Laurel R. Harry</b>	<b>Effective Date:</b> <b>May 27, 2024</b>

## **I. AUTHORITY**

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206, 506, and 901-B of the Administrative Code of 1929, 71 P.S. §§61, 66, 186, and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

## **II. PURPOSE**

This policy explains methods used by parole supervisors, directors, and managers to ensure proper oversight of work performed by supervision staff.

## **III. APPLICABILITY**

This policy applies to all Parole Field Services (PFS) staff.

## **IV. DEFINITIONS**

Electronic Reentrant Record (ERR): The digital record of a reentrant's case and supervision across all Department systems. These systems include the Corrections and Parole Total Online Repository (CAPTOR), OnBase, Vant4gePoint, and all other electronic systems maintained by the Department and used for reentrant supervision.

## V. POLICY

It is the policy of the Department that supervision staff shall report to a designated supervisor who shall receive specialized training to develop the skills needed for supervisory functions<sup>1</sup>. The supervisor shall systematically review work from both an administrative and case-management perspective, to include case reviews, observation and have a mechanism for feedback from supervision staff.<sup>2</sup>

## VI. PROCEDURES

### A. Supervisory Oversight

The parole supervisor, when faced with the absence of an agent, must arrange for coverage of the agent's workload with particular attention to hearings and face-to-face reentrant contacts.

When it is determined that supervision contact requirements cannot be met due to staff shortages, the district director shall present a proposed plan to the regional director for dealing with these issues and the regional director must review this plan with the deputy secretary of field services.

#### 1. Supervisor and Agent Conferences

A conference shall occur as directed by policy and when a reentrant's situation demands immediate attention to assist in resolution of an issue(s). Discussions shall include, but are not limited to, the following:

- a. reentrant compliance with supervision;
- b. the agent's efforts to address reentrants' criminogenic needs and responsivity issues;
- c. minimum contact compliance;
- d. review the ERR for adequate record keeping and legibility. Reference Department policy **12.4.01.04**, "**Electronic Case Record Contents**";
- e. overdue reports or investigations;
- f. guidance regarding reentrant issues;
- g. instruction regarding reentrant issues;
- h. review work schedule;

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- i. cases in detention and scheduled hearing preparations;
- j. performance issues and training needs; and
- k. other urgent matters.

## 2. Supervisor Case Reviews

- a. Organizational units, as identified by the appropriate regional director, engaged primarily in the supervision of newly released reentrants who predominantly reside in Community Corrections Centers (CCCs) or other transitional housing are required to review at least ten percent of the cases identified in the monthly 90-day Initial Release/Acceptance Case Review. If the monthly report reflects 12 or less cases, all of the cases shall be reviewed by the organizational unit.
- b. On a monthly basis, the parole supervisor shall utilize the Report Manager Application to determine Initial Supervision Reports that need to be reviewed. In addition, the parole supervisor shall utilize the 90-day report to determine cases that need reviewed. Case deficiencies are recorded by the supervisor on the **DC-P 360, Case Review**.<sup>3</sup>
  - (1) For the Initial Supervision Review (ISR)/45 Day Review, agents shall correct identified discrepancies within ten business days. For the 90-day Initial Release/Acceptance Case Review, agents shall correct identified discrepancies within 30 calendar days.
  - (2) Agents are notified by the parole supervisor if corrections are needed on the ISR or 90-day review and are required to email their supervisor when all outstanding tasks are completed and data corrected.
  - (3) The supervisor shall maintain control to ensure that the noted discrepancies are appropriately addressed.<sup>4</sup> The **DC-P 360** is placed into OnBase for retention. If a **DC-P 360** is unable to be located in OnBase, a new **DC-P 360** with the current date shall be completed and placed in OnBase.
  - (4) The ISR/45 Day Review must be completed within the first 45 calendar days of supervision. If the initial field visit and/or ISR is beyond the time limits noted in Department policy **12.4.01.03, "Initial Supervision Requirements"**, the parole supervisor shall make note of this discrepancy on the **DC-P 360**, and discuss the discrepancy with the agent.
    - (a) The ISR/45 Day Review must be completed by the initially assigned unit/agent before the case is transferred to a subsequent unit.

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- (b) Items reviewed and verified during the ISR/45 Day Review include the following:
- i. documents are uploaded and indexed correctly in OnBase;
  - ii. **PB-11, Conditions Governing Parole/Reparole;**
  - iii. appropriate special conditions are executed to include **DC-P 336DV, Standard Special Conditions for Domestic Violence Protocol** and **DC-P 336SO, Standard Special Conditions for Sex Offenders;**
  - iv. **DC-P 234, Acceptance for State Supervision;**
  - v. **DC-P 235, Conditions Governing Special Probation and Parole;**
  - vi. mental health, alcohol or other drug (AOD), and/or sex offender evaluation, if applicable. If so, confirm the issuance of a **DC-P 348I, Parole Violation Instructions** or **DC-P 336, Special Conditions of Parole;**
  - vii. mental health, AOD, sex offender, domestic violence, and/or cognitive behavior treatment, if applicable. If so, confirm the issuance of a **DC-P 348I** or **DC-P 336;**
  - viii. financial obligations;
  - ix. treatment tracking entries;
  - x. PA Static Risk Offender Needs Guide-Revised (STRONG-R) reentrant case plan including signatures;
  - xi. completion date of the latest STRONG-R Assessment;
  - xii. supervision grade in accordance with the STRONG-R or Department policy **12.4.01.05, "Assessment and Supervision Plan";**
  - xiii. verify fingerprints have been taken on cases opened without a valid Pennsylvania State Identification Number (PA SID) and the SID has been entered in the ERR;
  - xiv. completed **DC-P 283A, Authorization for Use or Disclosure of Personal Information;** and

xv. PREA letter.

- (5) For the 90-day Initial Release/Acceptance Case Review, the parole supervisor shall reference the previously completed ISR review from ERR to complete this review. The parole supervisor and agent shall use all aspects of the ERR in their review. The parole supervisor shall ensure that any previously noted ISR corrections have been completed.

Items reviewed and verified during the 90-day initial release/acceptance case review include the following:

- (a) CAPTOR notes are maintained, thorough, and appropriate;
- (b) number of home visits, office visits, collateral contacts, and urines;
- (c) reentrant compliance with board-imposed special conditions;
- (d) mental health, domestic violence, AOD, and/or sex offender evaluation, if applicable. If so, confirm status;
- (e) mental health, AOD, sex offender, domestic violence, and/or cognitive behavior treatment, if applicable. If so, confirm completion or active participation;
- (f) status of financial obligations (**Act 35 & 97**);
  - i. supervision fees (**Act 35**);
  - ii. urinalysis fees (**Act 97**);
  - iii. court-ordered fines, costs, and restitution; and
  - iv. other financial obligations.
- (g) sanction compliance;
- (h) if in detention status, ensure completion of the **DC-P 81E, Criminal Arrest Tracking Spreadsheet** and hearing status;
- (i) grade of supervision; and
- (j) if the reentrant is unemployed and able to work (EMP 3), refer the him/her to the community reentry parole agent (CRPA) for employment service referral.

### 3. Required: Reentrant Case Plan

The parole supervisor is responsible to review every reentrant case plan and corresponding ERR for completion and accuracy. The parole supervisor shall acknowledge the completion and accuracy of each case plan through electronic signature. Any identified reports not submitted are to be addressed by the parole supervisor to determine appropriate action.

#### 4. Running Record Chronology

- a. The ERR contains the case history as entered by supervision staff during the course of supervision. When records are reviewed by a district director/designee, regional director, or the deputy secretary of field services, the director shall record the review date and insert comments regarding any case direction provided or instructions issued.
- b. The reviewer issuing case direction or instructions must also email the same directions/instructions to the assigned supervision staff and provide a time frame for completion.

#### 5. **DC-P 23, Case Summary**

Upon the request of the deputy secretary of field services, the appropriate regional director shall request the district director/designee to prepare and submit a **DC-P 23**. The report is reviewed by the regional director and forwarded to the deputy secretary.

#### 6. Field Visits by Parole Supervisor (excluding reentrant transports and arrests)

- a. Parole supervisors must accompany the agents they supervise into the field according to the following schedule:
  - (1) on a monthly basis during an agent's probationary period;
  - (2) semi-annually, for the first three years for an agent II; and
  - (3) annually thereafter.
- b. During the field visit with the agent, the parole supervisor should:
  - (1) accompany the agent while making reentrant home visits;
  - (2) assess the agent's familiarity with the community in which they are assigned;
  - (3) make collateral contacts with local law enforcement agencies, related county officials, county probation offices, treatment providers, CCC/Community Contract Facility (CCF) staff and others that the agent routinely has contact with during performance of their duties; and

(4) assess the agent's investigative techniques.<sup>5</sup>

## 7. Review of **DC-P 145, Daily Supervision Report**

The parole supervisor shall review the reports to ensure:

- a. that the **DC-P 145** submitted by the agent is properly completed;
- b. that the agent has accounted for 40 cumulative hours of work, leave, or training each week and within the agent's movements section, that the agent has accounted for all of their work activities and the time frames required to complete such activities if not attributable to a parole number;
- c. prior supervisory approval is required to exceed 40 hours per work week. If approval is given, overtime worked shall be documented in the same manner as the initial 40-hour work week; and
- d. that the submitted **DC-P 145** is reconciled with ERR to ensure that the contacts listed are entered in the running record chronology.

When there are discrepancies discovered in comparison, the parole supervisor shall issue written instructions via email to the assigned agent describing discrepancies found and time frame for completion. If not completed in the designated time frame, the parole supervisor shall notify the district director/designee.

- e. all DC-P 145s are due via email to one's assigned Parole Supervisor by close of business the following week's next working business day.

## 8. District Meeting Requirements

### a. **District Director and Deputy District Director Meetings**

Regional directors shall conduct a monthly meeting with their assigned district directors and deputy district directors. Discussion items shall include relevant information released by senior staff and is not limited to procedures, bulletins, directives, memos and forms released since the last meeting with the regional director.

### b. **Parole Supervisor Meetings**

District directors and deputy district directors shall conduct a monthly meeting with their assigned parole supervisors. Pertinent information discussed at the

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district director/deputy district director meeting shall be shared with the parole supervisors within the district.

**c. Parole Agent Unit Meetings**

Parole supervisors shall conduct a monthly unit meeting with their assigned staff. Pertinent information discussed at the parole supervisor meeting shall be shared with the parole agents within their respective unit.

**d. District Wide Meetings**

District directors/designee shall conduct a district wide meeting following any statewide Department of Corrections meeting that impacts Parole Field Services. The district wide meeting shall serve as the required monthly parole supervisor and parole agent unit meeting for that particular month. District wide meetings shall also be held in conjunction with the Probation and Parole Week celebration. Discussion items shall include a review of the statewide Department of Corrections agenda that impacts Parole Field Services and any other topics discussed during the statewide meeting. The district director/designee shall distribute pertinent information to parole supervision staff as needed.

**e. Protocol for all meetings shall include:**

- (1) Discussion items shall include but are not limited to procedures, bulletins, directives, memos and forms released since the last unit meeting.
- (2) Document those in attendance at each unit meeting through the completion of a Training Input and Documentation (DC-P 362) form. The subject line shall include a list of the procedures, forms, directive, memos, etc. reviewed/discussed. When applicable, the director/supervisor conducting the meeting shall summarize any issues, concerns and suggestions made by parole supervision staff and attach this information to the completed DC-P 362. This practice is necessary to relay necessary information and noted concerns up through the chain of command.
- (3) The director/supervisor conducting the meeting is required to follow-up with staff who failed to attend the meeting and document this meeting by updating the original Training Input and Documentation (DC-P 362).
- (4) The completed form is scanned and emailed to the district director/designee who shall maintain an electronic file.
- (5) The district director/designee shall confirm that all supervision staff and when applicable, clerical support staff attended the unit meeting. The district director/designee shall document why certain staff were excluded.



- (6) The district director/designee shall provide completed Training Input and Documentation (DC-P 362) to the regional director.
- (7) The Regional Director shall audit the meeting records quarterly and provide written documentation to the appropriate director outlining findings within five days of audit.

## **VII. SUSPENSION DURING AN EMERGENCY**

This policy may be suspended during an emergency at the sole discretion of the Secretary of the Department of Corrections.

## **VIII. RIGHTS UNDER THIS POLICY**

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose(s) of the policies of the Department.

## **IX. RELEASE OF INFORMATION AND DISTRIBUTION OF POLICY**

### **A. Release of Information**

This policy is public information and may be released in its entirety or in part, without the prior approval of the secretary/designee. This policy may be released to any Department employee on an as needed basis.

### **B. Distribution of Policy**

#### **1. General Distribution**

The Department of Corrections policy and procedures manual (when applicable) shall be distributed to the members of the Central Office executive staff, all facility managers, Community Corrections regional directors, and all PFS on a routine basis. Distribution of confidential procedures to other individuals and/or agencies is subject to the approval of the secretary/designee.

#### **2. Distribution to Staff**

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures either in hard copy or via email, whichever is most appropriate.

## **X. SUPERSEDED POLICY AND CROSS REFERENCES**

### **A. Superseded**

4.18 (08/01/04, 02/01/06)  
4.01.19 (01/14/08, 06/14/12, 12/28/12, 09/01/15)  
Bulletin 01 (10/03/12)  
4.01.19 (12/21/16)

### **B. Cross References – Statutes**

### **C. Department Policies**

12.4.01.03  
12.4.01.04  
12.4.01.05

### **D. Legal – None**

### **E. American Correctional Association Standards**

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