

COMPLIANCE IN PAROLEE MONITORING

PROCESS CHALLENGES

A governmental justice department is responsible for overseeing the monitoring of parolees. Offender managers produce reports involving both face-to-face interactions with parolees by referring to different source data (e.g. records of past convictions). This is recorded in a digital system. In the event of non-compliance with parole terms, the parolees are recalled to prison or reported to court, making this monitoring particularly important in the prevention of the risk of reoffending and of serious harm. The department's Quality Assurance (QA) team audits these reports; however, due to capacity, it is only able to audit a limited amount. Of those reports checked, the quality was found to be generally unsatisfactory.

OUR SOLUTION

With automation using **Machine Learning**, we can offer:

- ▶ A model that can achieve 90%+ accuracy to minimise risk of non-compliance
- ▶ Increase compliance checkers' capacity to handle more reports with the reduction of time for checking
- ▶ Provide checkers with greater visibility of data to help better inform future decisions

CASE STUDY

QUALITY ASSURANCE IN PAROLEE MONITORING REPORTS AUDITING PROCESS

AS-IS PROCESS



SITUATION

- ▶ 260,000 adults reported on/year country-wide
- ▶ QA checks performed on only a limited sample of reports

REQUIREMENTS

- ▶ Governmental justice department conducts QA of parole reports, auditing performance to strict guidelines
- ▶ All checks require cross-reference with different data sources and systems

KEY ISSUES

- ▶ Variety of different data storage and case management systems
- ▶ Huge societal consequences of non-compliance
- ▶ Only a small % of reports checked

COSTLY • LABORIOUS • TIME CONSUMING • ERROR PRONE

TO-BE PROCESS



ISSUES

- ▶ Manual and expensive work done by QA checkers
- ▶ Unthorough checks, prone to human error
- ▶ Risk of non-compliance leading to severe consequences
- ▶ Unhappy and overworked staff

SOLUTIONS

- Automation using **Machine Learning**:
- ▶ Extraction of key information from different data sources
- ▶ Execution system implemented to automate repetitive task of checkers
- ▶ Analytics performed on data collected to better inform future decisions

RESULTS

- ▶ 100% of cases checked
- ▶ Higher accuracy
- ▶ Standardisation of checking process
- ▶ Time & cost savings
- ▶ Increased visibility of parolee data and third-party sources

REDUCED COSTS • EFFICIENT • INCREASED SPEED • COMPLIANT

ABOUT NEXUS FRONTIERTECH

Nexus FrontierTech is an AI solutions firm specialising in modernising data-intensive processes within the regulatory and compliance realm (Regtech). Whilst industry agnostic, many clients are in the financial services space and are seeking to streamline their operations.