

Striker caseload – PO067

Overview of offenders on caseload:

- HR offenders with a 2nd strike (excludes sex crimes and DV caseloads other specialized caseloads will be reviewed on a case by case basis)
- MR offenders with a 2nd strike and a history of noncompliance with terms
- Offenders with a 1st re-enter the system within 12 months of discharge (moderate or high risk)

Overview of tasks:

See supervision standards (can run monthly activity by PO number)

Data tracking and monitoring:

- Caseload size – no more than 50 offenders
- The STR (striker) alert was created to assist us in identifying those offenders under our supervision that are either 1st or 2nd strikers (there are extra codes to identify 1st or 2nd). This alert is placed on an offender even if the strike is stricken as the DA will still file dismissed strikes if additional crimes occur in the future.
- Will also have an assigned caseload number so we can compare this group with the other “strikers” that are not on this specialized caseload (like a control group).
- Increased enrollment and attendance in treatment (based upon baseline in FY 15/16) (review enrollment in treatment on a monthly basis with goal of increasing referrals and attendance each month – create a baseline for caseload in October, 2017)
- Increased completion assessments (review assessments (ONA alert) on a monthly basis with goal of increasing assessment/reassessment each month – create a baseline for caseload in October, 2017)
- Increased completion of initial case plans (review case plan status on a monthly basis with goal of increasing use of case plans each month – create a baseline for caseload in October, 2017)
- Track logic model criteria for comparison and rate of success:
 - Recidivism rate (RCD alert – review tickler each month and update SRA as needed)
 - Reconviction rate (RCD alert – review tickler each month and update SRA as needed – If d/ is convicted of a 3rd strike enter the STR/3RD Person Alert)
 - Violation rate (PET, PIC, FOC events and WAR person alert)
 - Sanction/flash (SAT event/FI program)
 - Incentives (I1,I2,I3,I4,I5,I6, PB programs)
 - Return to prison rate (see chart)

Unsuccessful	(CSP)	State Prison new felony	CP
Unsuccessful	(MSS)	State Prison new felony	MS
Unsuccessful	(ASP)	SP new felony	FP
Unsuccessful	(MSP)	SP new misd.	FP
Unsuccessful	(FTT)	SP Tech. VOP	FP
Unsuccessful	(OCV)	Out of County/State VOP SP	FP/Prop

- Re-entry into the system (AAR event)
- Successful completion of supervision (see chart)

Successful	(CFT)	Successful term	CP
Successful	(CET)	Early termination	CP
Successful	(MFT)	Successful term	MS
Successful	(MET)	Early termination	MS
Successful	(FTM)	Successful term	FP
Successful	(ETF)	Early termination (Felony)	FP/Prop
Successful	(ETM)	Early termination (Misd)	FP/Prop

High Risk Transition caseload overview

Overview of offenders to refer:

- High-risk offenders placed on probation, PRCS or MS.
- The transition PO would not take cases assigned to Sex crimes
- MS offenders will be referred at the beginning of their supervision period. If they are released and serving a sentence they will remain in the M01 caseload until case is set up (unless they have an acceleration clause and there is joint supervision).

Overview of tasks (this will occur in the jail or at the CCC)*:

- Read PSI
- If there is a condition for GPS ensure that the offender is placed on a monitor and GPS conditions are signed
- Review any special conditions with the offender (i.e. mandated treatment, no contact orders, registration, etc.) at the first contact with the offender.
- Ensure DNA is collected
- Determine if restitution is ordered and if so, set up restitution
- Ensure registration (drug, sex, arson) is completed.
- Create the case review (CRE event) and enter what was completed on the form prior to transfer
- Interview offender and complete ONA (if there is no up to date assessment)
- Create original case plan focusing on top criminogenic needs (after ONA is completed)
- Referral(s) to treatment/services as appropriate (all treatment, regardless if we are paying for the attendance, will be entered into programs)
- Confirm enrollment and initial attendance with treatment program (update programs as needed)
- Confirm attendance at STOPP (transition PO can call all offenders on the Friday before each STOPP event). Re-refer if d/ FTA and assign appropriate community service (FTA at STOPP will not be sole basis of not transferring the d/ to his/her supervision officer)
- Transition PO will file petitions as needed during the period of time they are assigned to assist the offender (the Investigations Unit will author report generated from these petitions if a report occurs prior to assignment to a supervision officer). If the d/ never completed orientation and transition then re-refer after arrest on BW or upon sentence on petition.
- Complete the field sheet on all new offenders (including picture) prior to transfer off transition caseload.

*Once these initial tasks have been completed (targeting no more than 30 days) the offender will be transferred to their assigned supervision PO

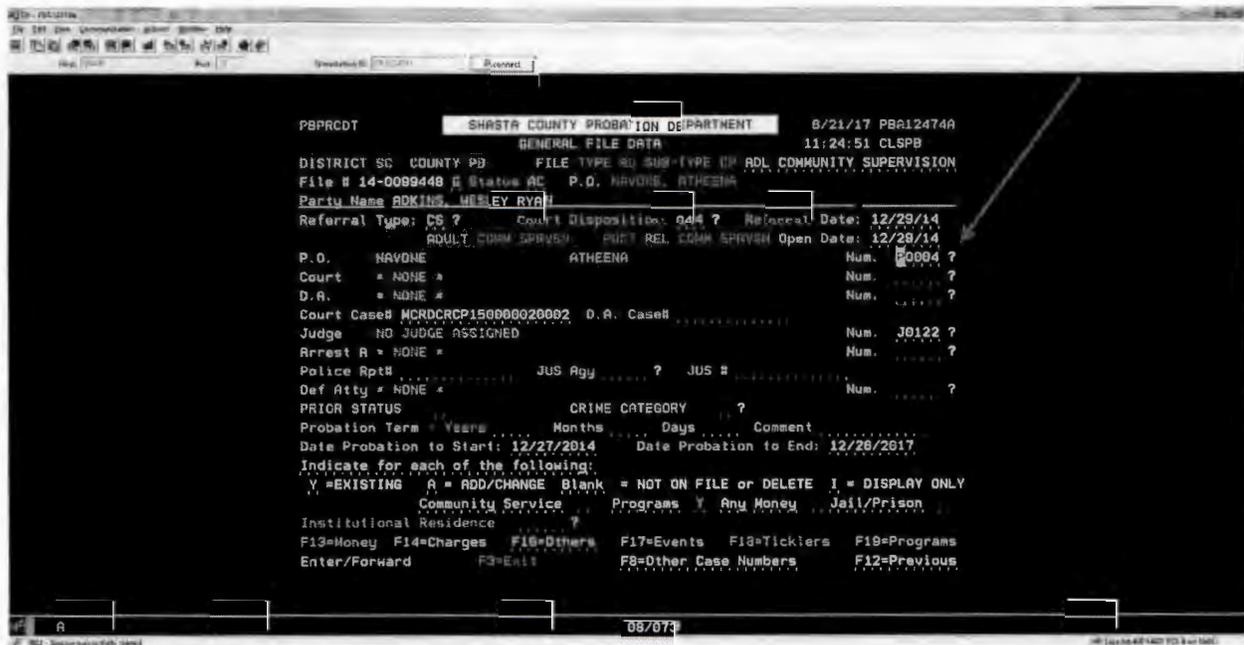
Caseload assignment:

SPO (making caseload assignments) will enter the **HRT (High risk Transition) alert** upon determination of caseload assignment and assign the offender to caseload **PO066**. The SPO would enter the supervision officer and caseload number in the JALAN case notes for future reference. The supervision officer would be written on the face sheet and that document would be forwarded to the HR transition officer.

The transition officer will close the alert with the appropriate code upon transfer to the supervision officer or BW caseload:

High Risk Transition (HRT) Alert	Successfully completed – SUC	Completed transition successfully
	Failed to completed – F2C	D/ Failed to report, failed to complete transition, was arrested on VOP/NLV, Warrant was issued
	Entered in error – ERR	D/ should not have been referred to transition

The Transition officer will change the PO number in the offender’s JALAN screen #1 to the pre-determined supervision officer prior to transfer and will send the face sheet to that officer as a form of notification.



- Caseload size – no more than 30 offenders at a time (goal to process 330 offenders per year)

Data tracking

- Increased enrollment and attendance in treatment (based upon baseline in FY 15/16) (review enrollment in treatment on a monthly basis with goal of increasing referrals and attendance each month)
- Increased completion initial assessments (review assessments on a monthly basis with goal of increasing assessment each month (SRNA))
- Increased completion of initial case plans (review case plan status on a monthly basis with goal of increasing use of case plans each month)
- Could track in logic model for those who have been processed using HR transition (compared to base rate and the offenders who are not processed with transition):
 - Recidivism rate (RCD alert/HRT alert)
 - Reconviction rate (RCD alert/HRT alert)

- Re-entry rate (AAR event)
- Successful completion of supervision (see chart)

Successful	(CFT)	Successful term	CP
Successful	(CET)	Early termination	CP
Successful	(MFT)	Successful term	MS
Successful	(MET)	Early termination	MS
Successful	(FTM)	Successful term	FP
Successful	(ETF)	Early termination (Felony)	FP/Prop
Successful	(ETM)	Early termination (Misd)	FP/Prop

PRE-RELEASE VIDEO CONFERENCING FOR POST-RELEASE COMMUNITY SUPERVISION OFFENDERS

When possible, the Probation Officer (PO) assigned to the investigation and release decisions on Post Release Community Supervision (PRCS) offenders shall make an effort to conduct a Pre-Release Video Conference (PRVC) with inmates housed in the California Department of Corrections and Rehabilitation (CDCR) prior to their release. This technology will allow us to bridge the gaps and to effect a more seamless transition from those in state prison back into Shasta County. Topics for discussion during the PRVC may include PRCS conditions, reporting requirements, assessment information, residence opportunities or restrictions, and answering general questions an offender may have regarding supervision or rehabilitative services.

Video Conferencing Procedures

Priority for scheduling

Shasta County believes that all offenders can benefit from early intervention and video conferencing to plan for release. The PO will make every effort to schedule PRVC for those offenders we receive paperwork for with 30 days or more prior to their release. Special requests can be made for offenders who are released in a short time-frame. These should only be done with consideration to priority.

The following offenders will take priority in scheduling video conferencing:

- Offenders reporting they will be homeless
- Offenders with a history of non-compliance with reporting
- Offenders with documented or reported mental health issues
- Offenders with a history of substance abuse issues/arrests
- Offenders who are Far Northern clients

If needed, the PO may schedule more than one conference. Others may be present at the conference if the PO feels they will be needed to assist with offender with a release plan (i.e. Far Northern staff, MH/AOD counselor).

Scheduling

- The PO will request a PRVC date upon receipt of the 611. This will give the officer time to process the necessary paperwork during the 7-day timeframe CDCR has to respond with a date/time for the PRVC.
 - The PO will schedule the conference within 2 business days once a response is received from CDCR.
- The PO will initiate the PRVC request by utilizing the CDCR PRVC website. Using a web browser, the PRVC website is located at: http://devcdcr/PRVC/Contact_PRVC_Form.asp
- The PO will click on the public inmate locator link located on the webpage. The PO must agree with the disclaimer to continue. Enter the inmate's CDCR number or name into the website. The list of offenders will be generated; please note the Name, CDCR# and current location of the offender with whom you wish to conduct a PRVC. **Note:** PRVC cannot be offered at the following locations: Fire Camps, Male Community Re-Entry Programs (MCRP's), Custody to Community Transitional Re-Entry Programs (CCTRP's) or for any inmate located in an out of state prison.

PRE-RELEASE VIDEO CONFERENCING FOR POST-RELEASE COMMUNITY SUPERVISION OFFENDERS

- On the Probation PRVC request page, enter the name, email address, and phone number of the PO who will be participating in the PRVC (or the officer representing the department during the PRVC). Please include the staff title and county department information.
- Next, from the drop-down menu, select the offender facility location identified by the CDCR inmate locator.
- Continue entering the offender's CDC number, offenders first and last name, and any message you would like CDCR staff to review (such as any days of the week you are not available for PRVC). When completed, click the "submit" button
- After your submission you will be notified your PRVC request was routed to be assigned to the institution you indicated the offender was located. The Parole Services Associate (PSA) will contact you to schedule the PRVC and to facilitate the meeting on the scheduled day.
 - Note, within 7 calendar days of receiving the request the PSA shall determine to PRVC scheduling options on separate days and send these options to the PO via email.
 - All PRVCs will be scheduled during normal business hours.

Equipment

- The Skype for Business application is installed with the camera on the PRCS Investigations Officer's computer. This computer will also need audio to communicate with the offenders and CDCR staff.
 - The PO shall also ensure the camera is positioned in a manner that will not result in areas, staff, or youth not involved in the PRVC being visible on the screen.

Preparation for PRVC

- Prior to PRVC, the PO shall complete the necessary release paperwork for the PRCS offender. This shall also include risk level, review of treatment while in custody, and determination of intended residence upon release.
 - The PO shall review to determine if reasonable accommodations for communication (foreign language or sign language interpreter) is needed. If needed, make appropriate arrangements for effective communication and interpreters to attend (may be via phone for foreign language) the PRVC.
 - Request for service, where the Probation Department will be paying for treatment/services, shall be staffed and approved by the SPO or Division Director (per policy) prior to the PRVC.

Conducting a Pre-Release Video Conference (PRVC)

- If the PO does not begin the PRVC within 15 minutes of the designated start time, the PSA may cancel the PRVC. If this occurs, the PO will need to initiate a new request for the same inmate if a new PRVC is desired.

PRE-RELEASE VIDEO CONFERENCING FOR POST-RELEASE COMMUNITY SUPERVISION OFFENDERS

- On the date the PRVC is scheduled, if the inmate is housed in a Secure Housing Unit, Administrative Segregation Unit, Psychiatric Services Unit, Mental Health Crisis Bed, or the inmate's house in location in which the inmate cannot report to the PRVC location, the PRVC will be canceled.
- The inmate has the right to decline to attend the PRVC.
- Conferences will not exceed 30 minutes.

CDCR exceptions to not facilitate a PRVC

CDCR staff will not facilitate a PRVC if any of the following apply:

- The inmate will be released to a United States Immigration and Customs Enforcement for detainer.
- The inmate declines to attend the PRVC.
- The inmate is housed at a California Out-Of-State Correctional Facility (COCF), Fire Camp, Male Community Re-Entry Programs (MCRP's), Custody to Community Transitional Re-Entry Programs (CCTRP's).
- On the date the PRVC is scheduled, if the inmate is housed in a Secure Housing Unit, Administrative Segregation Unit, Psychiatric Services Unit, Mental Health Crisis Bed, or the inmate's house in location in which the inmate cannot report to the PRVC location, the PRVC will be canceled.
- The PRVC is not possible due to local conditions in the institution where the inmate is housed.
- A PRVC is scheduled, but the inmates release date was adjusted, resulting in the inmate being released prior to the scheduled PRVC.

Post PRVC

- The PVC Event shall be entered in the offender's PRCS JALAN case upon completion of a PRVC.
 - The following action codes shall also be entered based on the circumstances/completion of the PRVC.
 - PV1 - If the PRVC was successfully completed.
 - PV2 - If the PRVC was rescheduled.
 - PV3 - If the PRVC was canceled due to early release.
 - PV4 - If the PRVC was canceled due to other circumstances.
 - PV5 - If the PRVC was attempted yet not completed.
 - PV6 - If the offender refuses to participate in the PRVC.

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

Overview

The Shasta County Probation Department is partnering with the California Department of Corrections, Adult Division of Parole, to bring a monthly resource/services event for the offenders who are supervised by our agencies. This event is intended to help offenders successfully transition from custody to living as a productive members within our community. Our goal is to connect services to offenders released to our community on supervision as quickly as possible upon their release from custody. Offenders will be referred within the first month of their release from custody to the STOPP event.

Time and Location:

STOPP events will occur at the Shasta County Veterans Hall (1605 Yuba Street, Redding) on the second Monday of each month. Adjustment is made to the schedule should the second Monday be a County Holiday. The Senior Staff Analyst will assist to verify if the Veteran's Hall is available on either the first or third Monday of the affected month. The doors open at 0915 for treatment providers to set up, 0930 for offenders to check in and the event presentation begins at 1000.

Location (role of the community service)

The event is held at the Veteran's Hall and the Community Service Coordinator is in charge of bringing a crew each month to assist with set-up and take down of the event. On occasion, there are not enough crew members for set up and other probation staff need to assist. It is important to pitch in whenever needed. In addition to set-up/take down, the Community Service Coordinator brings the following:

- Sign for the parking lot indicating no parking
- Screens (including shower curtains) for the searching area

Attendance:

All offenders placed on a new grant of supervision (FP, PRCS, MS) will be referred to STOPP within the first 30 days of their release from custody or their grant of supervision starting. STOPP referrals are given to each offender at their new offender orientation. No more than 80 offenders shall be referred to STOPP from Probation each month. Only the Division Director at the CCC can make an exception to this rule.

Parole also refers offenders on a monthly basis to the program. The parole population varies dramatically from month to month and consideration should be given to their population number for the event before determining to override the event cap.

SEE STOPP REFERRAL INSTRUCTIONS FOR FURTHER DETAIL

What occurs at the event (timeline):

1000 – Welcome from Probation (usually done by DD, or SPO in the DD's absence)

 Welcome from Parole (usually done by Parole Agent)

- OK to start a little early if all offenders are processed through the search line

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

1005 – Success story/speaker

1020 – Probation gives quick overview of expectations and there is a roundtable where each provider takes approx. a minute to introduce themselves and indicate what they provide

1030 – Excuse offenders to meet with providers (5 signatures/1 enrollment)

- **No offenders will be allowed to start the event if they have not been searched and processed prior to the release to speak with the vendors**

1130-1200 – Program ends – offenders turn in cards and complete survey

- DD usually begins “take down” process (door signs and vendor sign in sheet, table tents, unused attendance cards, roster and STOPP packets) while the event is winding down. Collection of all items brought to the event needs to occur prior to leaving the event.

What probation staff should be present

Each event should have the following staff:

- DD (or SPO in the DD’s absence) to welcome and ensure the event runs smoothly (to include set-up as needed, putting up/taking down of event signs, setting up of vendor sign in sheet and vendor table tents, set up of STOPP packet container and roster (for the SSA at the event).
- One FTO who is in charge of searching area set-up, all the offender searching, and safety for the event.
- Between 4-6 officers present for searching and to stay during the event (Typically the HR Transition officer is present for each event)
 - **At least one officer should be in charge of collecting all STOPP attendance forms and making sure the survey is filled out and the form is signed.**
- STEP-UP PAs are present as “vendors” at the event
- Senior Staff Analyst to greet probation offenders at the door, check them in on roster and provide them with their STOPP attendance card and STOPP packet. Blank copies of the STOPP attendance cards should be kept in the container to fill out for those offenders who show up and are not on the roster for the event.
 - The SSA calculates how many probation offenders attended vs. were referred and notes this for clerical on the roster. The SSA also gets this number from Parole (this is the only stat we keep from Parole).
 - The SSA can leave once the event starts and offenders have been checked in for the event.

The role of Parole

Parole will have a PA II at the event that will also oversee the event with the DD. Generally, they will also have agents there to assist with searches and to be present for questions at the event. If probation does not have enough officers for safety, the PA II should be contacted in advance to allow him/her time to bring additional agents.

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

They will have a parole representative to check in the parolees at the event and provide them their own attendance form (it is a different color than ours) and STOPP packet. Probation does not take any of the parole forms.

They also will bring a speaker on the opposite months of probation.

STOPP Attendance Forms

- Clerical staff is responsible to create and print the STOPP Attendance forms
- SSA will provide the form to the offender when they check in
- At the end of the event the survey needs to be completed and the form signed and collect by the PO at the door
- DD (or SPO in charge) brings all completed forms and gives the forms, roster, vendor check in sheet and the book with the unused forms to the LPC assigned to STOPP.
- The LPC scans attendance forms into JALAN to allow the PO/PA access to the document

Searches – safety issues

All offenders (both probation and parole) are searched prior to entering the seating area at STOPP. Any guests we allow to join an offender (which is rare) must also consent to a search. Any contraband located will be documented via report and sanction or arrest if appropriate.

Large bags or backpacks or other items that are too large to carry around are kept in the searching area (marked with the offender's name) and returned to the respective offender at the end of the event.

Speaker:

Every other month the Probation Department will provide a success story/speaker for the event. The offender will be given approximately 10-15 minutes to speak and should work to prepare prior to the event. All speakers shall be in good standing and should be able to highlight their individual progress and how they programs and/or staff have assisted in their success. Typically, speakers have been chosen from the DRC, Step-Up, AOP etc. The PA assigned to the STEP-UP program typically choose; and prepares the STOPP speaker. The probation speaker months are as follows:

- January
- March
- May
- July
- September
- Novennber

Signs

There are signs for the event that are put up/taken down each event (this is generally completed by the DD or SPO who is in charge of the event). The signs for the event are as follows:

- STOPP Event sign (3) on each front door at the Vet's Hall
- Parking information (3) on each front door at the Vet's Hall

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

- Do not enter (2) on the two foyer doors directly outside of the search area
- Arrow (2) one on tan box on foyer wall pointing to entrance, one on glass door (second from the left) in foyer
- Enter here (1) on the open foyer door (first from the left – this is the only door that is open into the main Vet’s Hall to control traffic coming in)
- Parole (1) placed on the right side of entry table
- Probation (1) placed on the left side of the entry table
- Have you completed your survey (3) inside of foyer door (opposite side of arrow), one on wall to read before they exit and one on the screen.

Treatment/services check in – signs – seating

Vendor usually begin arriving between 9-9:15. There will be a sign in sheet, name tags for those who don’t have their own, and table tents for each agency.

- Table tents should be returned at the end of each event. In case there is one missing there is stock paper to make one for the event. The table tents template is on the h:drive and the LPC at the JRF laminates the tents after the DD prints them on stock paper.

There is no assigned seating for the event (first come first serve on the tables for vendors)

Clerical process

- Refer to the before and after STOPP instructions on the h:drive

Calling offenders before each STOPP event

If possible, all offenders should be contacted on the Friday prior to the event. At this time, all calls must be made manually. In the future, this process will be automated through our CMS to make reminder calls on the Sunday before the event.

Packets (all documents are on the h:drive)

STOPP packets are given to each offender when they check in at the event. The packets contain the following information to assist offenders in being successful:

- STOPP event resource guide
- List of AA meetings in the community
- List of NA meetings in the community
- 211 Shasta flyer
- Budget worksheet/Temp agencies
- Food Assistance List
- Information regarding court restitution and fine/fees
- RABA map (these have to be requested from the City of Redding)

Each packet goes into a manila folder which is given to the offender so they can also collect hand-outs from the event. 200 packet are needed to be processed approximately a quarterly basis.

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

Preparation for STOPP event

- Clerical (see clerical procedures)
- SPO in charge of FTO/staff for searching needs to ensure staff are reminded via email before each event
- DD needs to ensure the following is completed:
 - Roster (in alphabetical order)/STOPP attendance forms
 - Vendor sign in sheet and table tents in alphabetical order
 - Speaker
 - Welcome printed
 - STOPP packets are in the document holder
 - Signs are ready (and in order)
 - Bag for the FTO's is present for the event (the FTO should make sure that it has what it needs)

New treatment programs/services

When a new treatment program/service is interested in attending STOPP, the DD should speak with the program to give an overview of what STOPP is. If the DD and the program feel they would be a good fit, there is a document titled Agency invitation and information together (it is located in the forms folder). Open the document and update the date for the next STOPP date and email it to the program. The following steps also need to occur:

- Update the Vendor RSVP list with the new program information
- Update and add the program email address/addresses to the Vendor email list
- Email Parole and let them know a new vendor has been added (or cc or bcc them in the agency letter to the new program).
- Create table tent for the program

What should PO do after STOPP

PO's/PA's should be checking to ensure their offender attended the event. The program will have a SA closure code and the STOPP attendance form will be scanned into the JALAN file. Staff should ensure that the offender attends the program they "signed up for" at the event. If a referral is necessary they should follow the normal referral process, otherwise, at minimum, the program should be entered into programs (JALAN #2) for tracking.

The STOPP attendance form also provides staff with a quick view of treatment/services the offender felt would be helpful to him/her at the event. This should be helpful in case planning conversations as well as to assist the offender with what he/she needs to help stabilize him/her in the community.

Treatment referrals from event

Supporting our offenders to get the necessary services and treatment to be successful in the community is the primary purpose of STOPP. In addition, it is an important part of the event to support the treatment providers who take their time to be present at the event by following up with our offenders

SUCCESSFUL TRANSITIONS ON PROBATION AND PAROLE (STOPP) OVERVIEW AND PROCEDURES

after the event. Appropriate referral paperwork, tracking, and follow up should be done by staff. This follow up should be done no more than one week after the event as it takes some time for the clerical staff to process the STOPP paperwork.

Failure to attend STOPP

It is a requirement that all offenders attend STOPP. Individual PA's/PO's should be running the SO tickler after each event and determine how to proceed with the offender (i.e. arrest, sanction with community service at the next event and re-refer, excuse from event (not preferred but there are circumstances this may be the best course of action). The LPC in charge of STOPP should be notified when an offender is re-referred to the next event.



SHASTA COUNTY PROBATION DEPARTMENT

Initial Visit Checklist

Name: _____

_____ T&C signed _____ Releases signed _____ Special T&C _____ PSI read

_____ SRA, High Risk _____ Drug _____ Property _____ Violence

_____ ONA complete & accurate

Stabilizing Factors: _____

_____ Registration _____ 11590/Drugs _____ 290/Sex _____ 457.1/Arson _____ 186.30/Gang

_____ DNA collected _____ DNA entered in #10 _____ DNA entered in Pubsafe

_____ Victims _____ VX2 sent

_____ Restitution ordered _____ Set up

_____ No contacts entered in #5

_____ STOPP attended Referrals needed _____ Re Refer date _____

_____ AWP ordered _____ days / hours

_____ Offender Link enrollment

_____ Field Sheet up to date: _____ Weapons _____ Pets _____ Medical Issues _____ Officer Safety _____ Photo _____ Contact

_____ Case Plan started

_____ Case Review created – CRE

_____ Ticklers checked _____ Programs checked _____ Person Alerts Entered

_____ DRC appropriate – Intake date: _____

_____ Referrals needed: DRC, MRT, MH/Jon, PPP, Clothes, Bike, PATH, Step Up, NFP, Anger Mgmt, DV, VA, VIP, Outpatient,

Food Handler, Parents In Control, Women's Empowerment Residential, Sober Living, Detox: TCU/Drug Screen Score: _____

Next Apt Date: _____

Daily Duties Checklist

	Monday	Tuesday	Wednesday	Thursday	Friday
Bookings					
Jail Arraignment List					
PC's					
VOP's					
OD Tickler					
Ct Calendar Email					
Court 20, 8					
MSC's					
PSA's					
DT Tickler					
Voicemail					
Email					
Offenderlink					
Field Sheet update					
Memo's					
Reports					
Sup Standards/Ref					

Daily Duties Checklist

	Monday	Tuesday	Wednesday	Thursday	Friday
Bookings					
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PC's					
VOP's					
OD Tickler					
Ct Calendar Email					
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Email					
Offenderlink					
Field Sheet update					
Memo's					
Reports					
Sup Standards/Ref					

COURT OFFICER DUTIES

Calendar Content:

SENTENCING (J&S): This usually will refer to a sentencing on a case that has been referred to probation. Sometimes the sentencing can be on a case in which defendant has entered a plea with a stipulated state prison sentence and the sentencing has been delayed. If there was no PSI, the Court may ask you for custody credits.

DISPO ON PETITION: This usually means the defendant has entered an admission of a probation violation and is to be sentenced following a supplemental report or has entered a plea earlier and is to be sentenced to prison without a report. You need to check these cases for custody credits.

ARRAIGNMENT: This is a defendant's initial appearance in a case for presentation of charges, entry of plea, appointment of counsel, and setting dates for plea/dispo and preliminary hearing. In custody arraignments are at 1:30 and out of custody arraignments are mainly on Mondays and Fridays. (Note: The initial hearing is an arraignment on a Complaint. A second arraignment, an arraignment on an Information, occurs after the Preliminary hearing stage. The charges in complaint and information can be the same, and in some instances the Complaint is deemed to be the Information, however, the Information can be different.)

PLEA/DISPO (P/D): This is a discussion between the judge, DA, defense attorney and the probation officer. It is usually held in the judge's chambers. The facts of the case are briefly discussed and an offer is presented by the D.A. Defense counsel then presents and discusses offer with defendant to see if offer is acceptable. The probation officer should be prepared to discuss any history we have with the defendant, or any other relevant information, including the defendant's eligibility for probation.

PRELIMINARY HEARING (Px): This is the hearing in which the District Attorney presents the basic facts of the case, usually with the law enforcement officer who took the initial report and sometimes with a "live" witness (the actual victim of the crime). The purpose of this hearing is for the Court to decide whether there is or is not enough evidence to proceed to trial.

PLEA/SET (PS): This refers to a brief appearance by the defendant and his/her attorney. Frequently it is used when the defendant has been presented with an offer and has asked for some time to consider the offer. The PS is where the defendant chooses to take the offer or proceed to trial.

SETTLEMENT CONFERENCE (SC): If plea dispo fails to resolve a case and the case is set for trial, the court will set a date for a settlement conference along with a trial readiness and the trial date. The SC is a final attempt in chambers conference to settle a case to avoid a trial.

TRIAL READINESS: These appearances occur on the Friday before the case is set for trial. The Court asks the DA and the defense attorney if they are ready to go to trial. There may be a last minute settlement, the case may be continued, or it may go to trial. If the case goes to trial, the court will assign a courtroom for the following week.

FURTHER PROCEEDINGS: Nebulous category for a variety of things like further discovery, medical records, DOJ results, legal research, etc.

SETTING: On calendar to set dates for Px or jury trial.

MOTION: On calendar for legal motions.

1204 HEARING: This is a hearing at which the defendant can present witnesses and/or testimony on his/her behalf to influence the judge's sentence or to contest the basis of the sentencing recommendation presented by probation.

Pink sheets/file notes:

Basic idea is to just present the basics. Don't need all the details of why cases are being continued, what discovery is missing, what witnesses are being sought, what time of day a hearing will be held, etc.

Arraignment: Record case #, type of crime, attorney (optional), and dates for Pd (8/1//8/2-do not need to write out words plea/dispo//preliminary hearing.)

Plea/dispo:

- Record case # on a separate line for each case and actual credits (I only expect credits when there are 2 or fewer felony cases pending. When there are 3 or more, I do not expect credits to be done prior to court. The felony home court judges are aware of this and are in agreement). Write attorney's name (you can do this once you are in court).

-Record brief description of case.

Examples: Case involves drug deal shooting at Win River. Case involves 15 mile high speed chase. Case involves traffic stop and .1 grams meth.

-Record offer: FP (formal probation), 180 stip/lid or 2 years SP (state prison) or ...

-Can record any unique aspects regarding defendant: > (defendant) may have MH issues, had bad attitude, appeared 11550, etc.

Continuances: Don't need details unless relevant, as in needs P.O. input. A simple - 8/2 will do.

VOP'S: When a vop is admitted always document which allegations the defendant admitted. Often there are several allegations but only certain ones are admitted.

Case dispositions: - Record case # on a separate line for each case and actual credits (I only expect credits when there are 2 or fewer felony cases pending. When there are 3 or more, I do not expect credits to be done prior to court. The felony home court judges are aware of this and are in agreement). Write attorney's name (you can do this once you are in court).
-If cases settle, make sure all case #s are correlated with the corresponding pled charges, make sure the negotiated dispo is recorded, and make sure all future dates are recorded. Example: PG (pled guilty) or PNC (pled no

contest) to 459 PC, felony local (FL), J&S 8/16/05. Write this information on the pink court notes and on the half sheet referral form.

At Sentencing: - Record case # on a separate line for each case Write attorney's name (you can do this once you are in court).

-Record outcome with any deviations from sentencing report or any conditions under the "With any other conditions the court may wish to impose"—J&S as rec., changed jail time from 60 to 120, reserved restitution, etc.

-Write down case dispositions, report referrals, and future dates on the white printed court calendar to the right of the defendant's name. There is a court calendar note key under the glass in D-1 and D-2, and a copy in each plastic court folder. The supervision units need to refer to the court calendar after court to see case dispositions in order to assign cases.

-When future assigned work is needed on a case, such as a court report, credits, or memo, fill out the half sheet referral form. Make sure the referral form matches the negotiated plea. You do not need to list the count number, however; the supervisor does need to know the actual charges in order to aid in assigning reports. If the defendant is out of custody, give them the yellow copy of the half sheet and direct them to report to the probation department if needed.

THE CHAMBERS CONFERENCE

At plea/dispo and settlement conference, cases are discussed in the judge's chambers with the attorney, the D.A. and the P.O.. The P.O.'s role is to:

1. Present any history our department has with the defendant.
2. Present any prior record information we may have (sometimes filing D.A.s have overlooked strikes or prior crimes that would enhance the current crime).
3. Represent our department's interests so we don't do sentencing reports on low level crimes where supervision time would be better spent on defendant's actually needing supervision (some D.A.s don't have CRR in their vocabulary).
4. Present offers on VOP cases when no new crimes are pending.
5. Present an opinion on what we believe is a just outcome on the case. "Our opinion" is the area where experience most comes into play-it develops with seeing the history of handling prior similar cases.

Regarding protocol, the majority of cases are fairly “standard” and the offer is usually reasonable. Unless we see some reason to deviate from the offer, there really is no need to add any info.

Cases that do require input may be cases where:

1. There is discussion between a felony local offer or state prison in which case a positive or negative history with probation/parole and/or a prior record with 1203(e)(4) PC (presumptive ineligibility) issue should be added to the discussion. I know it is shocking, but the D.A. will sometimes overlook past probation performance or ineligibility factors if they have a hard case to prove so they can get the felony conviction and get state prison later on a VOP in which case we should definitely bring up the ineligibility issue at least for discussion as to whether the ineligibility can be reasonably overcome.
2. Cases where a stipulated jail term or a lid is being discussed can use input as to prior record and possibly factors gleaned from a bail review such as age, employment, family, etc.
3. Cases where the offer is “felony local” with formal probation when the crime is low level, there is an insignificant record, the person has some stability, etc; in which case we can suggest CRR handling.
4. Case where the D.A. gets in a felony state prison frenzy and wants to run multiple cases concurrent, especially VOPs concurrent with new terms, are worthy of the suggestion that matters can be simplified with the same pound of flesh outcome by terminating existing VOP cases or dismissing some new cases with Harvey Waivers for restitution and/or consideration at sentencing.

A tactful suggestion on shedding light on cases where we think they could be handled informally or with misdemeanors is to ask questions regarding injuries in cases involving personal injury (slight bruising and redness is not usually a felony DV), the amount of the theft (a single check case where the value is minimal, roughly under \$400, can be argued to misd. or CRR), and drug cases (until recently, less than one gram of meth. was handled as a misd. absent prior record issues).

CALENDAR PREPARATION

1. Review Sentencings. Check that custody credits are up to date, review summary and analysis and conditions to see if anything was overlooked (1202.5 PC fine, no contact order, restitution, etc.), just generally acquaint yourself with the case so if the Judge has a question, you might have a clue.
2. If the sentencing is a delayed immediate sentencing (the person previously entered a plea and sentencing has been delayed to today's calendar), you need to have custody credits available.
3. Review Dispo on Petition cases. See if there is a Supplemental report and review it. Check that credits are up to date. If you have time, I suggest you look through credit history to verify correct, at least in the ball park, credits.
4. When possible, run "rap" sheets on those cases that have not had a bail review done. I have not taken time to run the FBI rap, just the CA rap seems to occupy my time. The rap sheet gives us some information to contribute to the chambers conference. The D.A. and attorney usually have one, however, as they gab about the facts of the case, we can review rap and be prepared to offer information when relevant.
5. Arrest dates/custody time. Out of all the plea/dispo cases on calendar, only a few will actually end up going to prison that day. I suggest you not stress about getting arrest dates until after the chambers conference and prison is introduced into the mix as a possibility. There usually is a window between finishing chambers conferences and the Judge returning to the bench during which time you can access the Jalan computer next to the court clerk. *(It is okay to request to put the case over to another date in the near future so credits can be computed in the office). If the computer is not available, the Probable cause statement will have an arrest date. Also, the D.A.s file has a complaint that alleges the date of the crime, and a police report.
 - a. **If you aren't ready to present credits, there is no shame in occasionally asking the court to come back to the matter later, or if you have some doubts about your figures, ask to present credits on the next calendar day. I think it is better to ask for time than to present the wrong credit award and have to recalendar the matter, or submit a memo after the post report has been done to correct the credits.**

b. Pitfalls. (1) Out of county or out of state arrests are a problem as local jail records will tell you where a person was arrested on a warrant and when they arrived in Shasta County, but not when they were picked up out of county. To get the date, either need to call a fellow officer who can run the Wanted Persons Clerts program or Nila at the SO's office at 6130 to get the date. Does require a break or a stealthy use of the phone while in session. (2) Parole violations in combo with a current crime such that they go back to prison as a result of the current crime, serve all or part of a parole VOP, and then come back to Shasta County for prosecution on the new case. Easiest course of action is to just award credits from original arrest date, otherwise we can end up trying to contact a parole agent, which seems to be a difficult thing to do, especially if we want to send a parolee back home (to CDC) that day.

VIVITROL REFERRAL PROCESS

1. Probation employee will staff the case with the Treatment Team if considering a referral to the Vivitrol Program.
2. If the Treatment Team finds the offender acceptable the employee will make a referral:
 - a. Enter Program VT (Vivitrol) into Programs with Agency Code HLT01 (SCHC) and Print the RQS.
 - b. Enter Program Code: DY (AOD) with Agency Code: ALT06 (Empire Recovery Center ERC), Agency Code ALT05 (Right Roads Recovery RRR), or Agency Code AW118 (Visions of the Cross VOTC) and Print the RQS.
 - c. Both must be submitted at the same time to Division Director for approval prior to making the appointment with the Mental Health Clinician. (Employee must indicate at top of RQS whether or not the offender is MS/PRCS or probation by writing such at the top of the form)
3. If approved by the Division Director, the employee is to refer the offender to the MH Clinician by:
 - a. Placing the defendant's name; along with a statement that offender was approved by Treatment Team and the division director for Vivitrol on the clinician's calendar at least three days prior to the actual appointment.
4. The MH clinician will assess the offender for acceptance into the program. He will forward the acceptance to probation, Shasta Community Health Center (SCHC) and HHSA.
 - a. SCHC will obtain Vivitrol and bill appropriate entity (HHSA or Medi-cal)
 - b. HHSA will track cost and injection statistics
 - c. Probation will coordinate with AOD treatment program to obtain regular reports about offender participation.
5. MH clinician obtains appropriate signed release of information.

Shasta County Probation Department Response Matrix

GOAL

To reduce the likelihood that an offender will reoffend by identifying their specific risk and criminogenic needs and swiftly responding to non-compliance as well as creating opportunities to promote each offender's success.

PRINCIPLES

Research on behavior management has shown that incentives are just as important as punishment when working to change offender behavior. Both the "carrot" (incentives) and the "stick" (sanctions) serve as motivators for offenders. The goal of staff is to engage offenders in the process of change so that the positive (non-criminal) behavior is sustained after the period of supervision ends. Sanctions generally change an offender's behavior long enough to avoid further punishments. However, that change may go away if there is no threat of further sanction or punishment. Research also suggests a ratio of four (4) incentives to one (1) punishment as an effective means to promote long-term change. The use of incentives and sanctions do not, however, have to be used simultaneously.

Extensive sanctions for those under probation/parole supervision have been a large contributor to the growing prison population. Offenders have been sentenced at a greater rate for violations of their conditions of supervision rather than the result of a new criminal conviction. The use of sanctions/incentives as a behavior management approach should allow for the ability to hold offenders accountable for technical violations, thus reducing the number of offenders sentenced to state or local prison for non-compliance with their conditions of supervision as well as reducing recidivism.

Shasta County Probation is committed to the use of evidence-based responses to violations of an offender's conditions of supervision to improve community safety and promote positive behavior change. It is also important to recognize and acknowledge the signs of progress and to encourage offenders toward greater compliance and positive changes. The Response Matrix is useful for bringing more uniformity and objectivity to Probation Officers' responses to offender behavior. The matrix can be viewed as a *guide* for consideration of relevant factors and for determination of appropriate responses.

An officer's experience and judgment are still necessary to interpret the facts of the case and identify the situations which may call for a deviation from the matrix recommendation. If deemed appropriate, such deviations, or *overrides*, will be staffed with immediate supervisors for approval.

DEFINITIONS

Risk Level

Risk to reoffend based upon the Static Risk Assessment instrument.

Criminogenic Risk Factors

Those static and dynamic factors that research has identified and are measured to assess an offender's risk for future criminal behavior.

Static Risk Factors

Those actuarial risk factors that are unchangeable through correctional interventions that impact predictive risk for misconduct or recidivism.

Dynamic Risk Factors

Those actuarial risk factors that are changeable through correctional interventions that impact predictive risk for misconduct or recidivism.

Stabilization factors (stabilizing or destabilizing)

Those factors present in an offender's life that have the potential to interfere with the ability to be successful while being supervised or not, while in the community.

Criminogenic Needs

Dynamic risk factors that when addressed have been clinically proven to affect the offender's risk for recidivism.

Violation

Non-compliance with conditions of supervision, the directives of an officer, or the law.

Revocation

Formal filing with the court as a result of a violation of PRCS, MS, Formal Probation or supervision per Penal Code Section 1210.1.

Sanction

Informal response/consequence to a violation of PRCS, MS, Formal Probation or supervision per Penal Code Section 1210.1.

Incentive

Positive reinforcement of behaviors and/or the delivery of affirmative rewards for progress with individual case plan goals for those under PRCS, MS, Formal Probation or per Penal Code Section 1210.1 supervision.

Response

Positive or negative action which is at discretion of the probation officer.

Override

The use of a more or less restrictive response to a violation. All overrides must be approved by the SPO/DD.

CONSIDERATIONS WHEN DETERMINING RESPONSE TO OFFENDER'S NON-COMPLIANCE/SUCCESS

- The offender's risk level, static and dynamic risk factors and criminogenic needs.
- All positive and negative behaviors should have a response.
- Responses shall be individualized and should consider prior success.
- Every response will be connected to the response grid.
- Responses will be proportional to the violation.
- The least restrictive option will be utilized.
- Objectivity is important. Responses will not be personal and shall allow for the offender to learn from his/her mistakes.
- Responses will be swift (will occur within 7 days of learning about the violation).
- Be pro-active, there is no need to wait for the offender to fail to address areas of concern.
- The offender will have involvement in their own plan to address non-compliance.
- Stabilizing & Destabilizing Factors (as listed below)
- Consider the override option for repeat violations. Overrides require SPO or DD approval.

DOCUMENTATION

All responses to an offender's behavior will be noted in the offender's JALAN case.

Violation response grid: The SAT event (Sanctions agreement) shall be entered into the JALAN case. This will create the sanctions agreement that the offender will sign. The SAT event will be used for most sanctions; however there are some consequences that will be documented using the SAN event (sanction case note). Those items are denoted on the matrix. Some sanctions will also be entered as programs (these programs are also listed on the matrix table). The use of the SAT/SAN events will allow for easy retrieval of the sanction information if the offender has to appear in court.

Positive response grid: The ITN event (Incentives case note) shall be entered for all non-tangible rewards/incentives that are given to an offender (as denoted on the matrix). The tangible incentives will be entered as programs; the applicable program is listed on the matrix table.

All rewards/sanctions shall be documented during an offender's case review.

RESPONSE GRID

		Presumptive Response Grid			
		Overall Risk Level			
		Low	Medium	High Drug/Property	High Violent
Severity of Violation	Low	Low Response <input type="checkbox"/>	Low Response <input type="checkbox"/>	Medium Response <input type="checkbox"/>	High Response <input type="checkbox"/>
	Medium	Low Response <input type="checkbox"/>	Medium Response <input type="checkbox"/>	Medium Response <input type="checkbox"/>	High Response <input type="checkbox"/>
	High	Medium Response <input type="checkbox"/>	Medium Response <input type="checkbox"/>	High Response <input type="checkbox"/>	High Response <input type="checkbox"/>

Violation Response Grid		
Behavior		Suggested response
Failure to comply with case plan	Low	Essay
Curfew Violation		Re-referral to program(s)
Failure to obtain/maintain employment/education		Increased testing
Failure to comply with PO directive		Verbal reprimand ✓
Failure to report new police contact		Written reprimand ✓
Travel Violation (County/State)		Letter of apology
Failure to report /contact information		Educational Class
Failure to enroll/complete community service		Increased reporting
Failure to enroll/complete program		12-step meetings (referral, increased number of meetings)
Late for appointment with PO		Counsel by PO ✓
Positive UA/Failure to abstain	Medium	Essay
Failure to enroll in DV/SO program		Re-referral to program(s)
Violation of stay away order(gang, victim, SO orders)		Increased testing
AWOL/termination from treatment/work release		Verbal reprimand ✓
Absconding		Written reprimand ✓
Willful failure to pay restitution		Letter of apology
Failure to register (451 PC, 186.30 PC or 11590 H&S)		Educational Class
Fail to comply with taking medication		Increased reporting
Employer Disclosure		12-step meetings (referral, increased number of meetings)
Failure to comply with electronic monitoring		Counsel by PO ✓
		Daily call-ins
		In person reporting
		Referral to Victim Impact Panel
	*House arrest	
	Curfew restriction	
	*GPS	

INCENTIVES

Incentives are used as an effective way of keeping offenders motivated to change their behavior. Using proper rewards in a consistent manner will motivate offenders to change their behavior, thus ultimately reducing recidivism and future victimization as well as increasing public safety.

- Incentives include: rewards, positive reinforcements, compliments, affirmations, and the taking away of an existing punishment or restriction
- Incentives encourage and reinforce pro-social behaviors
- Incentives need to be used in a swift, certain, and gradual manner; just like the use of sanctions.
- Incentives should be used to hold the offender accountable and to promote intrinsic responses to the situations they face
- The incentives need to be proportionate with the behavior of the offender.
- Ratio should be 4 incentives to 1 sanction – it is difficult to reward offenders while punishing them for unacceptable behavior.

The positive response grid is designed to match the positive behavior with the appropriate response regardless of the offender’s risk level.

Positive Response Grid		
Behavior		Suggested Responses
Keeping appointment	Low	Verbal affirmation ★
Completing registration requirement		Note card with message ★
Enrolling in program/school		Haircut (I1 Program)
Engaging with family		Travel Pass ★
Applying for benefits		Passport book stamp ★ (PB Program for book only)
Securing transportation		
Being present at Court Hearing		
Using pro-active communication		
Improved social skills		
Improved physical health/hygiene		
Wearing neutral colors		
Diminished use of profanity		
Positive collateral contacts/reports		
Sobriety	Medium	Positive feedback to Court ★
		Bus Pass (I6 Program)
Driver’s License		Offenderlink sponsorship (I2 Program)
Program Attendance/Participation		Storyboard - Wall of Success (I3 Program)
New Pro-Social Activity		Prize box (I4 Program)

Making Restitution /Fine payment		Certificate of achievement ★	
Paying Child Support		Letter of support ★	
Associating with pro-social peers		Curfew changes ★	
Violation free for period of time		More desirable work assignment (if on work release/ or performing community service) ★	
Self-referral to program		Probation Fast pass (I5 Program)	
Positive attitude		Decreased testing ★	
Demonstrates use of Coping skills			
Stable relationships			
Dealing well with difficult situations			
Phasing up in program			
Getting a job	High	Become a Mentor ★	
High School diploma/GED		Bike	
Completing a program		Decrease frequency of reporting ★	
Honesty		Lower supervision level ★	
Secure & maintain housing		Reduced compliance checks ★	
Case plan goal/objective completion		Graduation ceremony ★	
Tattoo removal by offender		Reduction to misdemeanor ★	
Taking prescription medication		Reduction to summary/informal ★	
Display appreciation for others		Reduction of community service ★	
Express genuine remorse			
Membership in pro-social organization			
Self-sufficiency			

Medium and High level positive responses require a supervisor's approval.

★ Use the ITN event to document these incentives

Defining Elements of Tiers

Tier I -PRECONTEMPLATION : Non-Compliance (Suppression)

1. Never Reported
2. Not reporting
3. Committing new crimes
4. Failing to appear in court
5. Warrant Status (transfer at 30 days)
6. In Custody
7. Non-compliant Person Alert has been entered for the offender

Supervision PO to move offenders between Tiers I, II and III at own discretion as appropriate.

Tier II- CONTEMPLATION: Inconsistent and Marginal Compliance and Engagement

1. Not fully engaged
2. Referred to and/or Enrolled in treatment/services
3. May be missing appointments or treatment
4. Not reporting monthly
5. Committing crimes
6. Testing positive

Supervision PO to move offenders between Tiers I, II and III at own discretion as appropriate.

Tier III- ACTION: Compliant and Engaged (being successful but still need on-going support) * Cannot move to Tier III without T and C signed

1. Stable
2. Housed
3. Have a job/going to school full-time
4. No violations
5. In treatment
6. Complying with T&C
7. Financial- Income or support/education
8. A minimum of 6 months of compliance to move to Tier 4.

Supervision PO to move offenders between Tiers I, II and III at own discretion as appropriate.

Tier IV- MAINTENANCE: Prove It/Maintenance Stage

1. Have a support system outside of the probation officer
2. Completed treatment or close to it
3. May still need some probation support

Supervision PO must gain SPO approval to move offender to Tier IV.



SHASTA COUNTY PROBATION DEPARTMENT

TRAINING BULLETIN: AB 2176 Firearms

Overview:

AB 2176 changes the procedure requirements for the confiscation of any firearms or other deadly weapon discovered at the scene of a domestic violence incident involving the threat to human life or physical assault, when serving a protective order, or when serving a gun violence restraining order. Previously, the law required the officer when a weapon was seized, to give a receipt to the owner that includes where the weapon can be recovered, the time limit for the recovery, and the date after which the owner can recover the firearm or deadly weapon. This bill requires the receipt to now include the name and residential mailing address of the owner of the weapon.

Process overview:

While this may be rare, when Shasta County Probation Officers confiscate a firearm or deadly weapon that can be determined to belong to someone other than the offender, the officer will fill out the Shasta County Property Control Sheet with the name, address and contact information of the owner on the bottom of the property control sheet.

CASE TERMINATIONS – CHEAT SHEET

These codes should be used to determine what happened with a case(s) when it terminates from our supervision.

* write new case number on the line

Termination defined

Successful:

1. No VOPs that have resulted in a return to custody within 12 months of termination
2. No new offense sustained as a result of a crime that occurred within 12 months of termination
3. Consistent or full payment of, restitution/fines/fees within 12 months of termination
4. Successful completion of case plan/treatment referrals
5. Early termination granted by the Court or reduction to CR&R

Terminated:

The cases that do not comply with successful/unsuccessful termination criteria will be noted here (this is the group of offenders that I want to try to work to improve our outcomes with – move more into the successful completion zone)

1. When the case is out of supervision time where no extension can be granted by law.
2. Case was terminated due to Prop 47 relief (P47 action code).

Unsuccessful:

1. New offense sustained within last 6 months of the grant of supervision or resulted in termination of supervision
2. Sentence to state/local prison
3. Termed after BW/AW with no supervision period given (unsuccessful term from court)
4. No consistent payment of restitution/fines/fees within the past 18 months of supervision
5. No attempt to successfully complete case plan/treatment referrals

Recidivism (RCD) dates entered dates should be noted for all new felony or misdemeanor (note most serious) convictions which occurred after the defendant was placed on his/her grant of supervision verify the person alert was entered

Don't forget to indicate if termination (especially CR&R is a result of Prop 47)

TERMINATION CODES

Formal Probation Cases:

Successful term (FTM)	d/ meets "successful" criteria above
Terminated (FP3)	d/ meets "terminated" criteria above
Unsuccessful term (FTJ)	d/ not terminated as a result of VOP/new offense but meets the "unsuccessful" criteria above
* SP new felony (ASP)	d/ sentenced to SP after being convicted of a new felony
* SP new misd. (MSP)	d/ sentenced to SP after being convicted of a new misdemeanor
SP Tech. VOP (FTT)	d/ sentenced to SP after a VOP only is sustained

* MS new felony (FMF)	d/ sentenced to MS after being convicted of a new felony
* MS new misd (FMM)	d/ sentenced to MS after being convicted of a new misdemeanor
MS technical (FMT)	d/ sentenced to MS after a VOP only is sustained
* Local Prison new felony (PMS)	d/ sentenced to LP after being convicted of a new felony
* Local prison new misd (LPN)	d/ sentenced to LP after being convicted of a new misdemeanor
Local prison tech (LPT)	d/ sentenced to LP after a VOP only is sustained
Convert felony case to CRR (CRR)	d/'s felony case converted to informal/court probation (CRR)
* Convert misd. case to CRR (CRM)	d/'s misdemeanor case converted to informal/court probation (CRR)
Early termination (F) (ETF)	d/'s felony case is terminated as a result of good behavior prior to original termination date
Early termination (M) (ETM)	d/'s misdemeanor case is terminated prior to original termination date
Deceased (DSD)	d/ dies prior to the termination of grant of probation
* New cases prob denied (PBD)	d/ not granted probation as a result of new case (this will likely be in addition to another termination code)
1203.9 Transferred (TRP)	d/ transferred to another California county per 1203.9
Deported (DEP)	d/ is deported to country of origin by ICE
Out of County/State VOP SP (OCV)	d/ goes to prison on a VOP after a new offense in another jurisdiction (this should be checked as well as the appropriate code above)

Post Release Community Supervision Cases:

Successful term (CFT)	d/ meets "successful" criteria above
Unsuccessful term (CUT)	d/ terminated "unsuccessful" by court after a VOP/ * new offense (probation)
* State Prison new felony (CSP)	d/ sentenced to SP after being convicted of a new felony
* County Prison new felony (CCP)	d/ sentenced to LP/MS after being convicted of a new felony
Terminated to jail (CTJ)	d/ was sentenced to jail on a VOP and PRCS case was terminated
Terminated (CP3)	d/ meets "terminated" criteria above
Early termination (CET)	d/ meets "successful" criteria above and is terminated as a result of good behavior before the end of the first 12 months on PRCS

Deceased (CDD)	d/ dies prior to the termination of PRCS
Deported (DEP)	d/ is deported to country of origin by ICE
Transferred out to other county (COC)	d/ transferred to another California county
Sent to Department of Adult Parole Operations (CPO)	d/ transferred to Parole and are no longer PRCS status
Out of County/State VOP SP (CCV)	d/ goes to prison after a new offense in another jurisdiction (this should be checked as well as the appropriate code above)

Action Codes

These codes must be entered when the case is terminated to note how long we have the d/ under our supervision. The “timeframe” should be noted for the time at termination.

- 0 – 6 Months (06M)**
- 6 – 12 Months (12M)**
- 12 – 18 Months (18M)**
- 18 – 24 Months (24M)**
- 24 – 30 Months (30M)**
- 30 – 36 Months (3YR)**

Don't need to indicate timeframe if we never supervised the d/ (i.e. CPO or possibly the COC events)

Mandatory Supervision Cases

Successful term (MFT)	d/ meets “successful” criteria above
Unsuccessful term (MUT)	d/ terminated “unsuccessful” by court after a violation
* State Prison new felony (MSS)	d/ sentenced to SP after being convicted of a new felony
* County Prison new felony (MLP)	d/ sentenced to LP/MS after being convicted of a new felony
Terminated to jail (MTJ)	d/ was sentenced to jail on a VOP and MS case was terminated
Terminated (MS3)	d/ meets “terminated” criteria above
Early termination (MET)	d/'s case is terminated as a result of good behavior prior to original term date
Deceased (MDC)	d/ dies prior to the termination of grant of MS
Deported (DEP)	d/ is deported to country of origin by ICE
Transferred out to other county (MOC)	d/ transferred to another California county
Out of County/State VOP SP (MCV)	d/ goes to prison after a new offense in another jurisdiction (this should be checked as well as the appropriate code above)

Prop 36 (1210.1 PC) cases:

Successful term (36Z)	d/ meets “successful” criteria above
Terminated (PR3)	d/ meets “terminated” criteria above
Unsuccessful term (36J)	d/ not terminated as a result of VOP/new offense but meets the “unsuccessful” criteria above
* SP new felony (36I)	d/ sentenced to SP after being convicted of a new felony
* SP new misd. (36M)	d/ sentenced to SP after being convicted of a new misdemeanor
SP Tech. VOP (36L)	d/ sentenced to SP after a VOP only is sustained
* MS new felony (PMA)	d/ sentenced to MS after being convicted of a new felony
* MS new misd (PMN)	d/ sentenced to MS after being convicted of a new misdemeanor
MS technical (PMT)	d/ sentenced to MS after a VOP only is sustained
* Local Prison new felony (LPF)	d/ sentenced to LP after being convicted of a new felony
* Local prison new misd (LPM)	d/ sentenced to LP after being convicted of a new misdemeanor
Local prison tech (LPV)	d/ sentenced to LP after a VOP only is sustained
Convert felony case to CRR (CRR)	d/s felony case converted to informal/court probation (CRR)
Convert misd. case to CRR (CRM)	d/s misdemeanor case converted to informal/court probation (CRR)
Early termination (F) (ETF)	d/s felony case is terminated prior to original termination date
Early termination (M) (ETM)	d/s misdemeanor case is terminated prior to original termination date
Deceased (DSD)	d/ dies prior to the termination of grant of probation
1203.9 Transferred (TRP)	d/ transferred to another California county per 1203.9
Deported (DEP)	d/ is deported to country of origin by ICE
Out of County/State VOP SP (OCV)	d/ goes to prison on a VOP after a new offense in another jurisdiction (this should be checked as well as the appropriate code above)
Terminated (PR3)	d/ meets “terminated” criteria above

ICOTS Cases

Successful term (CYS)	d/ meets “successful” criteria above
Terminated (IC3)	d/ meets “terminated” criteria above
Unsuccessful term (CYU)	d/ meets “unsuccessful” criteria above

Key: Local Prison (LP) means a sentence per 1170(h)(5)(A)

Mandatory Supervision (MS) means a sentence per 1170 (h)(5)(B)

Adult Probation Termination definitions:

Successful:

1. No VOPs that have resulted in a return to custody within 12 months of termination
2. No new offense sustained as a result of a crime that **occurred** within 12 months of termination
3. Consistent or full payment of, restitution/fines/fees within 12 months of termination
4. Successful completion of case plan/treatment referrals
5. Early termination granted by the Court or reduction to CR&R

Terminated:

1. Cases that do not fall under the successful/unsuccessful termination criteria
2. When the case is out of supervision time where no extension can be granted by law or is granted by the Court.

Unsuccessful:

1. New offense sustained within last 6 months of the grant of supervision or resulted in termination of supervision
2. Sentence to state/local prison
3. Termed after BW/AW with no supervision period given (unsuccessful term from court)
4. No consistent payment of restitution/fines/fees within the past 18 months of supervision
5. No attempt to successfully complete case plan/treatment referrals

Reminder: When documenting termination reason on the various forms please make sure to continue to use the appropriate codes should your offender be sentenced to State or Local Prison and not just lump those offenders under the "unsuccessful" code. That code should only be used for those offenders who are terminated "unsuccessful" by the court due to a vop/new offense and not sentenced to prison on our offense; have not been paying their financial obligations; and/or not complying with case plan/treatment requirements. I have to track the specific reasons why people terminate and report those to various agencies so I need to continue to see the specifics. The gathering of the overall "unsuccessful" offenders will process several termination codes at the admin level.

COMMUNITY SUPERVISION- CASE TERMINATIONS

Name _____ DOB _____

Case Number(s) _____

Date _____

Caseload # _____

Risk Level _____

Is the defendant currently completing community service _____

Do not remove the WOC/WFC events on cases that still have community service to complete.

TERMINATION CODES (Write case number on the correct line – can use form for multiple cases)

Case reduced due to P47 (P47 action code to be entered)

Type of Termination

Action Codes

Successful term (CFT) _____

0 – 6 Months (06M) _____

Unsuccessful term (CUT) _____

6 – 12 Months (12M) _____

SP new felony (CSP) _____

12 – 18 Months (18M) _____

CP new felony (CCP) _____

18 – 24 Months (24M) _____

Terminated to jail (CTJ) _____

24 – 30 Months (30M) _____

Terminated (CP3) _____

30 – 36 Months (3YR) _____

Early termination (CET) _____

Out of Co/State Violations (CCV) _____

Deceased (CDD) _____

Deported (DEP) _____

Transferred out to other county (COC) _____

Sent to DAPO (CPO) _____

Reduced per Prop 64 (P64) _____

Comments _____

SUPERVISOR SIGNATURE

*Note the date(s) of RCD alerts(s) entered (felony/misd. crimes where the d/ was convicted). Please make sure you have audited the case for all new offenses where there was a conviction.

*Recidivism (RCD alert) dates entered: _____ Felony/Misdemeanor

(Note most serious offense the defendant was convicted of)

Person alerts closed (Clerk to initial when processed) _____

Ticklers removed (Clerk to initial when processed) _____

Programs closed (SPO to initial when signing off termination sheet) _____

MANDATORY SUPERVISION- CASE TERMINATIONS

Name _____ DOB _____

Case Number(s) _____

Date _____ Risk Level _____ Caseload # _____

Is the defendant currently completing community service? _____
Do not remove the WOC/WFC events on cases that still have community service to complete.

TERMINATION CODES (Write case number on the correct line – can use form for multiple cases)

Case reduced due to P47 (P47 action code to be entered)

Type of Termination

Successful term (MFT) _____

Unsuccessful term (MUT) _____

SP new felony (MSS) _____

CP new felony (MLP) _____

Terminated to jail (MTJ) _____

Terminated (MS3) _____

Early termination (MET) _____

Out of Co/State Violations (MCV) _____

Deceased (MDC) _____

Deported (DEP) _____

Transferred out to other county (MOC) _____

Reduced per Prop 64 (P64) _____

ICOTS Cases

Successful term (CYS) _____ Unsuccessful term (CYU) _____

Terminated (IC3) _____

Comments _____

SUPERVISOR SIGNATURE

*Note the date(s) of RCD alert(s) entered (felony/misd crimes where the d/ was convicted). Please make sure you have audited the case for all new offenses where there was a conviction.

*Recidivism (RCD alert) dates entered: _____ Felony/Misdemeanor
(Note most serious offense the defendant was convicted of)

Person alerts closed (Clerk to initial when processed) _____

Ticklers removed (Clerk to initial when processed) _____

Programs closed (SPO to initial when signing off termination sheet) _____

FORMAL PROBATION - CASE TERMINATIONS

Name _____
DOB _____ Risk Level _____
Date _____

Case Number(s) _____

Is the defendant currently completing community service? _____ Caseload # _____
If yes, when closing the case, transfer to caseload 100

TERMINATION CODES (Write case number on the correct line – can use form for multiple cases)

Case reduced due to P47 (P47 action code to be entered)

Formal probation cases:

Successful term (FTM) _____
SP new felony (ASP) _____
SP Tech. VOP (FTT) _____
MS new felony (FMF) _____
MS new misd (FMM) _____
Local prison new misd (LPN) _____
Convert felony case to CRR (CRR) _____
Early termination (F) (ETF) _____
Deceased (DSD) _____
1203.9 Transferred (TRP) _____
Terminated (FP3) _____

Unsuccessful term (FTJ) _____
SP new misd. (MSP) _____
Out of County/State VOP SP (OCV) _____
MS technical (FMT) _____
Local Prison new felony (PMS) _____
Local prison tech (LPT) _____
Convert misd. case to CRR (CRM) _____
Early termination (M) (ETM) _____
New cases prob denied (PBD) _____
Deported (DEP) _____
Reduced per Prop 64 (P64) _____

ICOTS Cases

Successful term (CYS) _____
Terminated (IC3) _____

Unsuccessful term (CYU) _____

Comments _____

SUPERVISOR SIGNATURE

*Note the date(s) of RCD alert(s) entered (fel/misd crimes where D was convicted). Case must be audited for all new offenses where there was a new conviction.

*Recidivism (RCD alert) dates entered: _____ Felony/Misdemeanor
(Note most serious offense the defendant was convicted of)

Person alerts closed (Clerk to initial when processed) _____

Ticklers removed (Clerk to initial when processed) _____

Programs closed (SPO to initial when signing off termination sheet) _____

PROP 36 CASE TERMINATIONS

Name _____ **Case Number(s)** _____
DOB _____
Date _____
Risk Level _____ **Caseload #** _____

Is the defendant currently completing community service? _____
If yes, when closing the case, transfer to caseload 100

TERMINATION CODES (Write case number on the correct line – can use form for multiple cases)

Case reduced due to P47 (P47 action code to be entered)

Prop 36 (1210.1 PC) cases:

Successful term (36Z) _____	Unsuccessful term (36J) _____
SP new felony (36I) _____	SP new misd. (36M) _____
SP Tech.VOP (36L) _____	Out of County/State VOP SP (OCV) _____
MS new felony (PMA) _____	MS technical (PMT) _____
MS new misd (PMN) _____	Local Prison new felony (LPF) _____
Local prison new misd (LPM) _____	Local prison tech (LPV) _____
Convert felony case to CRR (CRR) _____	Convert misd. case to CRR (CRM) _____
Early termination (F) (ETF) _____	Early termination (M) (ETM) _____
Deceased (DSD) _____	1203.9 Transferred (TRP) _____
Deported (DEP) _____	Terminated (PR3) _____
Reduced per Prop 64 (P64) _____	

SUPERVISOR SIGNATURE

*Note the date(s) of RCD alert (s) entered (fel/misd crimes where D was convicted). Case must be audited for all new offenses where there was a new conviction.

*Recidivism (RCD alert) dates entered: _____ Felony/Misdemeanor
(Note most serious offense the defendant was convicted of)

Person alerts closed (Clerk to initial when processed) _____

Ticklers removed (Clerk to initial when processed) _____

Programs closed (SPO to initial when signing off termination sheet) _____

SUPPLEMENTAL REPORTS

POLICY:

The presentence reports prepared by officers in this department shall include the required information as delineated in the California Rules of Court, and any additional information that may be required by the California Penal Code.

PROCEDURE:

The purpose of a Supplemental Report is to provide additional information to the court. For a report to be “supplemental”, there must be an original report to supplement.

The court asks for a supplemental report

- when an individual who is already on probation is appearing for sentencing on a violation of probation (SPR);
- when an individual who was recently sentenced in one case is going to be sentenced in a new case (SPS);
- when a defendant is returned from the Department of Corrections after undergoing a diagnostic evaluation pursuant to 1203.3 PC (SPT);
- when a presentence report has been prepared, but additional information is needed (SPT).

The supplemental report is a JALAN document. There are three supplemental report formats in the computer.

Event **SPS** creates a report to be used when the defendant has been convicted of a new offense and the probation officer is supplementing a presentence report in an earlier case. This document includes Circumstances in Aggravation and Mitigation and Criteria Affecting Probation. **This document should be created in the new case.**

Event **SPT** creates a document to be used when you are updating information from a previous report in the same case. Instances in which it would be appropriate would include when a defendant returns from a Diagnostic Evaluation pursuant to 1203.03 PC, when a defendant who has been sentenced to prison is recalled by the court for resentencing pursuant to 1170(d) PC, or the court asks for additional information.

Event **SPR** creates a document to be used when the court asks for a supplemental report regarding a violation of probation in an active probation case.

To create the supplemental report in the computer:

- Select item #4 Event Information from the File Master Update menu in the defendant’s JALAN file for the case in which the report is being prepared.
- Enter the Event Code; press enter three times.
- Press F12 to return to the File Master Update menu.

To work in the document:

- Select #9 Work with File Documents from the File Master Update menu. This will bring up all of the documents in the defendant’s file. The description of the

document for event SPS is ADL SUP RPT NEW OFF; for event SPT is ADL SUP REPORT; and for event SPR is ADL SUP RPT VOP.

- Using the arrow key or the mouse, place the cursor on the description and hit enter. (Note: The first time a document is opened after it has been created, you will have to reposition the cursor on the description and hit enter again.)

FORMAT FOR SUPPLEMENTAL REPORTS

In all reports, the computer should generate the defendant's name and the court number. The probation officer needs to add the Court Date and the time.

The report is titled "Supplemental to Report of the Probation Officer" and should include the case number of the report the officer is supplementing.

The officer needs to type in the name of the judge to whom the report is being sent.

The rest of the format to be used in each of the three reports is described below.

Supplemental Report New Offense (SPS)

This document should be prepared in the new case. You are supplementing a report that was previously written in another case, and the report number will be different than the number of the report that is being supplemented.

Type in the new offense the defendant has been convicted of, including the code number.

DATES IN CASE:

The dates to use here are those of the new offense. If you are also including a recommendation on a probation violation, you must use this section for those dates as well. You will have to add/delete a column depending on the number of cases.

IDENTIFYING INFORMATION

This category includes any aliases the defendant is known by; the defendant's age; date of birth; address; city; state; Zip Code; place of birth; race; height; weight; color of eyes; hair color; CI&I number (California identification number); Social Security number; FBI number; and driver license number (if the defendant has an out of state driver license, be sure to note which state). Most of this information will be included automatically by when the computer creates the document, if it has been entered into the defendant's Person Record in JALAN.

This section also includes a section to note whether or not DNA has been collected from the defendant pursuant to 296 PC. The officer should determine if this has been done or not, and make the appropriate notation in the designated box.

NEGOTIATED PLEA:

In most cases there is some sort of negotiated plea. The defendant agrees to plead guilty to certain charges, the DA may dismiss other charges, and there may be some agreement about the punishment. Before the defendant changes his/her plea from not guilty to guilty or no contest, the defendant signs a change of plea form. This form contains all of the defendant's rights, which the defendant is waiving to enter the plea. The form will also contain the details of the negotiated plea. Probation clerical staff obtain a copy of the plea form from the Court. There is usually not a copy of the change of plea form in the DA file. It is important to have this form before writing the presentence report.

*Examples: The defendant agreed to enter a plea of guilty to the charge of Possession of Methamphetamine in Case #(new case), and admitted to a violation of probation in Case# (probation case) in exchange for a dismissal of all other charges and a grant of felony probation.
The defendant entered a guilty plea to Receiving Stolen Property for no more than 2 years in state prison if probation is denied.*

PRESENT OFFENSE

This section contains a summary of the police report or, occasionally, a summary of the Preliminary Hearing Transcript. The probation officer must quote the source of the information.

*Example: The following is summarized from Anderson Police Department report number 05-1234.
The following is summarized from the transcript of the Preliminary Hearing held in Department 1 on 4/1/05.*

This section should report on the facts and circumstances of the crime and the defendant's arrest. The elements that constitute the crime should be included in this summary. To determine the elements of the crime, refer to the law that was violated.

PRESENT PROBATION VIOLATION:

This section contains a brief summary of the technical violations of probation if there are other violations than the new offense.

Example: The defendant was placed on probation on 01/01/01 and was ordered to not possess or use controlled substances. On 02/02/02 and 02/20/02 he submitted urine tests that were positive for methamphetamine. On 02/22/02 Redding Police officers conducted a search of the defendant's residence (RPD report 02XXX) and located 1 gram of methamphetamine in the defendant's bedroom.

CO-DEFENDANT(S)

This heading is not included on the formatted document. It should be added if there are co-defendants in the case. Rule of Court 4.411.5(2) requires that the report contain "information concerning any co-defendants and the status or disposition of their cases."

DEFENDANT'S STATEMENT

Pursuant to Rule of Court 4.411.5(4), the presentence report is required to contain "Any statement made by the defendant to the probation officer, or a summary thereof, including the defendant's account of the circumstances of the crime." The probation officer should include any pertinent statements made by the defendant, written and/or oral.

Include a verbatim written statement in the body of the report only if it is reasonably brief or gives some special insight into the offense(s) or the defendant. If the defendant does not submit a written statement or if the written statement is lengthy, the probation officer should summarize the defendant's statement. The summation should be relevant, and include mitigating or clarifying information.

Only in an exceptional circumstance should the officer attach lengthy written material that has been submitted by the defendant, and then only after consulting with the Supervising Probation Officer.

VICTIM'S STATEMENT

Victims are entitled by law to make a statement about the offense, about the impact it has had upon them, and about what they feel would be an appropriate disposition.

The probation officer should have sent a letter to the victim, advising the victim of the date and time of sentencing and of the victim's right to make a statement. If the victim responds prior to the preparation of the report, the victim's statement should be included.

Victim Witness (a division of the District Attorney's Office) may have an open case if the crime meets their criteria and a Victim Advocate may have helped the victim prepare an Impact Statement. Victim Witness assistance is available to victims of violent crimes.

RESTITUTION

California Penal Code Section 1202.4(f) states, "In every case in which a victim suffered economic loss as a result of the defendant's conduct, the court shall require that the defendant make restitution to the victim or victims in an amount established by court order, based on the amount of loss claimed by the victim or victims or any other showing to the court." The presentence report is required, pursuant to Rule of Court 4.411.5(5), to report on the amount of the victim's loss, and whether or not it is covered by insurance.

The probation officer should have a letter to the victim inquiring into any losses that may have been sustained.

This section of the report should include the amount of restitution requested by the victim and any discussion necessary about restitution. If the amount of restitution is known, the officer should include that amount and to whom it should be paid. It should be noted, that even if the victim's loss was covered by the victim's insurance, the defendant is still required to pay the victim for the total loss. It is up to the victim to reimburse their insurance company.

COLLATERAL INFORMATION

This section can be used for a variety of topics not specifically covered under the other headings, such as summarizing a psychological evaluation. If there is no need for this section, it can be deleted.

EVALUATIVE SUMMARY

This section can be used to update Social History and Prior Record information. It should also include an analysis and discussion of the pertinent factors the officer is considering in offering the recommendation to the Court. The officer should discuss eligibility for probation, amenability to probation, factors that contributed to the offense, and, if probation is being recommended, the conditions that should be imposed and why they should be imposed.

In certain cases the law says a defendant is not eligible for probation unless the interests of justice would best be served by granting probation. Rule of Court 4.413 delineates the criteria to be considered by the court in determining whether or not the statutory limitation is overcome. In cases in which the defendant is presumptively ineligible, the probation officer should discuss why, and whether or not that limitation can be overcome.

The probation officer should also discuss consecutive versus concurrent sentencing, and any other issues the court should consider in sentencing.

Circumstances in Aggravation-Circumstances in Mitigation

The various circumstances, which are delineated in Rules of Court 4.412 and 4.423, are listed on a document, which is attached to the presentence report when the presentence report is created in the computer. The probation officer should review this list and check those boxes that apply to the case being reported on.

Criteria Affecting Probation

Rule of Court 4.414 delineates the facts relating to the crime and the defendant, which should be considered prior deciding to grant or deny probation. They are listed on a document that is attached to the presentence report when the document is created in the computer. The officer should read this list and check those that apply. When a factor is checked, the officer should explain why in "Comments".

Suggested Prison Term

The probation officer should determine what prison term would be appropriate if the defendant were to be committed to state prison at the time of sentencing, whether or not the recommendation is for state prison.

RECOMMENDATION

The Recommendation document is created separately from the report and, after it is corrected, this document should be copied into the PSI after the Suggested Prison Term.

To create the Recommendation:

Select #11 Enter/Update Probation Orders from the File Master Update menu. This brings up a list of conditions.

Select the conditions by placing an X in front of the condition and pressing the right “Ctrl” key or the “Tab” key.

When all conditions have been selected, hit “Enter”. This lists the conditions in the order they will appear on the document.

The order can be changed by changing the number in front of each condition.

When the conditions are in the correct order press F6 or “Enter”.

Once the document has been created, the officer can select #9 Work with File Documents from the File Master Update menu. The document is “PBORD” followed by some numbers. Open this document and make any corrections that are necessary.

SIGNATURES

The report should be read by the probation officer who wrote it and any corrections made before it is given to the Supervising Probation Officer for correction and approval. After the report has been corrected and signed by both the officer who authored it and the supervisor, the report and any documents to be considered with it should be placed in the appropriate basket for filing with the Court.

Supplemental Report for Probation Officer (SPT)

EVALUATIVE SUMMARY:

This section should begin with an explanation of why the report was written.

Example: The defendant is appearing for sentencing following a diagnostic evaluation pursuant to 1203.03 PC.

The officer should discuss any new or updated information. The officer should offer an analysis of the case, including any legal issues the court should consider before sentencing, such as aggravations, mitigations, and rules limiting or prohibiting the granting of probation.

RECOMMENDATION:

Some recommendations will require the officer to create a separate document like those created in a full presentence report or in a supplemental report for a new offense. See instructions above for creating this document.

Other reports may simply require the officer to reiterate a previous recommendation.

Example: It is, therefore, respectfully recommended that the defendant be sentenced to state prison(or granted probation) as previously recommended.

**** NOTE: This document is also used for CRC returns and reporting custody credits to the court. See those procedures for instructions on how to prepare those reports. ****

Supplemental Report VOP (SPR)

PRESENT VIOLATION

This should be a brief summation of the violation for which the defendant is being sentenced.

Example: The defendant was placed on probation on 01/01/01 and was ordered to not possess or use controlled substances. On 02/02/02 and 02/20/02 he submitted urine tests that were positive for methamphetamine. On 02/22/02 Redding Police officers conducted a search of the defendant's residence (RPD report 02XXX) and located 1 gram of methamphetamine in the defendant's bedroom.

PREVIOUSLY SUSTAINED PETITIONS

Briefly discuss any previous violations that have been sustained, either by the defendant's admission or after a hearing by the court.

Example: Two previous petitions have been sustained in this case. The defendant tested positive for methamphetamine on 03/03/01. He admitted to the violation on 03/10/01; probation was revoked and reinstated, and the defendant was ordered to serve 30 days in jail. On 10/01/01 the defendant stole a package of gum from Safeway. On 10/30/01 probation was again revoked and reinstated. He was given 3 days in jail for the violation. (He was also ordered to serve 45 days on the misdemeanor charge.)

PERFORMANCE ON PROBATION

Discuss the defendant's overall conduct and performance while on probation. Does he/she report as directed, keep probation advised of where he/she lives and/or works? Have there been issues that the officer has counseled the defendant on instead of filing a petition. Has the defendant been directed to seek outside counseling?

EVALUATIVE SUMMARY

This should be your concluding statement. It should include what you are recommending and why.

Example: This is the defendant's third violation of probation. Efforts to redirect his behavior through counseling have been unsuccessful. The defendant continues to use drugs. The undersigned believes that a state prison sentence is in order. Although the original presentence report in this case suggested the mid term, the defendant's poor performance on probation warrants the aggravated term.

CUSTODY CONDUCT CREDITS

See procedures for calculating and reporting custody credits

SUGGESTED PRISON TERM

The probation officer should determine what prison term would be appropriate if the defendant were to be committed to state prison at the time of sentencing. This may be the same as the suggested prison term in the original presentence report. If there are new charges, however, they must be included in this section.

RECOMMENDATION

In cases in which the defendant is already on probation, the probation officer should not change conditions in Item #11 of the File Master Update menu in the probationer's JALAN file in order to prepare a recommendation. Locate the document SUPPLEMENTAL RECOMMENDATIONS on the H-Drive. Select the conditions you want and use "cut and paste" techniques to transfer them to your report.

PSI Checklist ___ RCD entered ___ DRC Referral/casenote Done ___ Caseplan Done

Front page	
	Negotiated Plea matches the face page
	Judge is correct / date of J&S is correct
	Case numbers match the Neg. Plea (Top and footer) Bold Case #'s
	No contest plea /guilty plea / trial by jury
	Collateral: Dismissed cases/ HW – rest. / misdemeanor cases
	Custody Credits
Negotiated Plea	
	Recommendation matches negotiated plea
Evaluation	
	Recommendation in S&A matches T&C's
	Probation ineligibility (ROC 4.413 addressed)
	Criteria Affecting Probation: (List each case number in header and footer)
Prison Box	
	Prison box is correct and matches neg. plea & t&c
	654 issues addressed
	correct case numbers and counts
	consecutive vs. concurrent
Terms and Conditions	
	All case numbers are listed
	Top paragraph matches recommendation and has correct years
	Custody time
	DV Crimes: 16 Comm Svs, Fine, Batterers Program
	Child Abuse 273.5: Prob. Term: 4 years
	Drug Offenses: Criminal lab fine, Register
	DUI: 1st, 2nd, 3rd+: Fine (no Base Fine – DUI fine only), IID – BAC greater than .15% at first offense (discretionary) - 2nd offense mandatory; Probation term: 5 years
	Vehicle Theft crime
	Property Theft crime
	Registerable Offenses: Arson, Drug, Sex
	594: license restriction and Crime prevention fine
	Restitution is addressed (including HW cases)
	Fines are correct, Fines match year of offense
	Stay Away Order
	Search Clause
	Multiple cases – make sure As to Case XXFXXX is bold at the beginning of the condition
Miscellaneous	
	Def. Statement is attached
	Additional t&c attached if recommendation is against negotiated plea

PRESENTENCE INVESTIGATIONS

Pursuant to section 1191 of the California Penal Code, in a felony case, after a plea, finding, or verdict of guilty, the court shall appoint a time for pronouncing judgment, which shall be within 20 judicial days after the plea, unless the defendant agrees to a time waiver. The court shall refer the case to the probation officer for a report if eligible for probation. This is called a presentence report (PSI).

(Note: Courts may also occasionally refer defendants for a pre-plea report. In those cases the defendant will not have entered a plea of guilty. The referral is made to determine what probation might recommend if the defendant were to enter a guilty plea. This are rarely done in Shasta County.)

Generally, in Shasta County cases, sentencing for defendants who are in custody will be set within 20 judicial days. When the defendant is out of custody, the sentencing will usually be set at 30 judicial days.

The report must be filed with the court Clerk at least five days prior to sentencing, unless the defense attorney, at entry of plea, requests that it be filed nine days prior to sentencing. The presentence report may be inspected or copied by any person for 60 days after judgment is pronounced. (See Penal Code Section 1203.5)

Referrals

When a defendant enters a plea or is found guilty after a trial, the court officer (or the court clerk) will fill out a referral form that includes the referral date, the case number, defendant's name, defense attorney's name, the charges pled to, the date of sentencing, whether or not the defendant is in custody and the type of referral.

If the defendant is out of custody, he will be given a copy of the referral form and will be directed to report to the Probation Department immediately after leaving the courtroom. If the defendant is in custody, the court officer will prepare the referral form and keep both copies in the file.

When the defendant comes to the Probation Department, the receptionist will have him complete the new referral information form, obtain any other necessary information, and provide the defendant with a Personal History Form. The defendant will be advised that he will receive an appointment letter and that he must keep that appointment.

The court clerk will place the report on the JALAN PSI referral wheel. A probation legal process clerk will pull that referral off the wheel. A Probation Department file will be made up for the defendant and the case, with the half sheet referral form from court attached, will be given to the Supervising Probation Officer in the Intake Unit to assign to an officer. The offense report will be scanned into RVI in JALAN.

How to Open a Document in RVI

- Double click on the RVI icon to open the program
- From the defendant's File Master Update menu, select F14=DA Inquiry (this is the same as shift F2)
- Select 13, Images for Case, hit enter
- Select the image description number for the document you wish to view, hit enter
- Enter V=View Image
- Wait a few moments, and an Adobe Acrobat document indicator will appear to the right of the RVI indicator on the bottom toolbar of your screen. Double click the Adobe Acrobat document indicator to open the document. You can highlight this document using the highlight tool in the toolbar at the top of your screen, and save the crime report to your desktop. You should not print the crime report. Have the crime report open on one monitor while you type or dictate the offense summary using your other screen for the court report display.

If the police report you wish to view is not in the DA Inquiry selection, it may have been scanned into the probation side. With RVI open, choose F11=Images. Follow the same procedure to open the Adobe Acrobat document in RVI.

Setting Appointment

If the defendant is out of custody, the probation officer should immediately schedule an appointment, either by telephone or letter.

1. To create an appointment letter:
 - a. From the Probation System Master Menu, select #5, Proceedings/File Update. Press enter
 - b. At "Party Name", type in the last name of the defendant; tab one time; type in several letters of the first name. Press enter.
 - c. This will bring up the "Master File Select" screen with a list of name, showing case numbers, referral and opening dates, file numbers, Probation Officer numbers, and the status of the case.
 - d. At "Select Record", type in the number corresponding to the name and case number. Press enter.
 - e. From the case menu, select #4, Event Information. Press enter.
 - i. Press F10, "Add Record"
 - ii. At Event Type, type in "IAL"
 - iii. Tab five (5) times to comment line.
 - iv. Type in date and time of appointment. (Mon, June 30th @ 2:00 pm)
 - v. Press enter three (3) times.
2. The completed appointment letter will print out on the default printer. Sign the letter and place it in an envelope to be mailed or place letter in the "to be mailed" basket in the reception area.

If the defendant is in custody, the probation officer will need to see him at the County Jail.

- Send a Personal History Form to the jail several days before going to the jail to see the defendant, so that the defendant has time to complete the form before the interview.

The probation officer should review the offense report as soon as possible. Upon review of the police report the probation officer should determine if there is a victim and send the Victim/Restitution letter to the victim and notify the Victim Assistance Program at the DA's office if it is a violent crime. This letter includes requests for both a statement from the victim and restitution information. To create the letter (a Word document) the probation officer should:

1. From the Probation System Master Menu select #5, Proceedings/File Update. Press enter.
2. At Party Name, type in the defendant's last name and one or more letters of the defendant's first name. Press enter.
3. From the Master File Select screen, type in the number corresponding to name and case number. Press enter.
4. From the File Master Update screen for the defendant, select #4, Event Information. Press enter.
5. Press F10. Type in VXA. Press enter 2 times.
 - a. The cursor should now be positioned in a blank space. Type in the victim's name.
 - b. Using the mouse or the arrow keys, move the cursor to the next line and type in the victim's street address or PO Box number.
 - c. Using the mouse or the arrow keys, move the cursor to the next line and type in the city, state and zip code. Press enter.
6. Return to the File Master Update screen by pressing F3.
7. Select #9, Work with File Documents.
8. Select the Victim letter to add the offense and date and time of the court hearing. Save and print the letter.

Prior Record

The probation officer is responsible for obtaining the defendant's prior record for the presentence report. There are several places to check for this record.

1. Automated rap sheets from CII, FBI and the Department of Motor Vehicles can be obtained through the California Law Enforcement Teletype System (CLETS). The CII record is a California rap sheet that contains arrest and conviction information that has been verified by fingerprints. To access CLETS for this information:
 - a. Select #20 from the Probation Master System Menu on the A session.
 - b. Select #14, Law Enforcement Inquiry
 - c. Type in your user ID, tab to the next line and type in your CLETS password. Press enter.
 - d. Select #40 (*Note that on this screen you should not press enter. If you enter a valid number, the program automatically goes to the next screen.*)
 - e. Select 35, CJIS Criminal History from the C.L.E.T.S. Main Menu.
 - f. For ROUTE INFO, type in your last name and a reason why you need the record, for instance PSI

Conduct Credits

Date of Offense	Jail	Prison
Between 1/25/10 and 9/28/10	Formula "B" - If no exceptions. Regular 4019 PC - If def. has exceptions. <i>So if the Def. is a 290 PC registrant, has prior convictions for serious or violent felonies, or the current offense is serious.</i>	Same as Jail unless the offense is limited to 15%.
Before 10/1/2011	Regular 4019 PC credits *Actual time divided by 4, drop the remainder, and then multiply by 2 = conduct credits. *Actual time + Conduct Credits = Total Credits	Formula "C" *Day for day even if the actual days are an odd number. *" Exceptions " apply. <i>So if the Def. is a 290 PC registrant, has prior convictions for serious or violent felonies, or the current offense is serious, then Def. only gets <u>Regular 4019 PC Credits</u>.</i>
On or After 10/1/2011	Formula "B" *Actual time divided by 2, drop the remainder, and then multiply by 2 = conduct credits. *Actual time + Conduct Credits = Total Credits *Conduct Credits are always an <i>even</i> number.	Formula "B" *Actual time divided by 2, drop the remainder, and then multiply by 2 = conduct credits. *Actual time + Conduct Credits = Total Credits *Conduct Credits are always an <i>even</i> number. *" Exceptions " do NOT apply.

*As to **Formula B**, if the defendant is sentenced to 4 or more days, there will be conduct credits awarded. Ex: Def. sentenced to 10 Days. He has 2 actual days. He will get 2 conduct credits for a total of 4 days. However, if he is only sentenced to 3 days, he only gets his 2 actual days of credit time with NO additional conduct credits.

*As to **Regular 4019 credits**, the same calculations apply as discussed above, except the cut off is 5 days. If defendant is sentenced to 5 or less days he gets NO additional conduct credits.

***15% crimes** are not affected by any of this. 15% crimes *always* get 15% conduct credit *when sentenced to prison* per 2933.1 PC. If the def. initially gets probation, he gets credits calculated by the formula that pertains to the offense date for his jail time. Further, if either the old case or the new case for which you are calculating credits qualifies for 15%, then **all** cases get a 15% award.

*When a defendant has 2 or more cases that span different formulas, in a **consecutive sentencing scheme**, the formula for which the defendant qualifies that benefits him/her the most will be used to calculate the conduct credits.

***Flash incarceration** time never gets added to the actual days served. It is dead time!

***1381 PC demand** is a request a sentenced prisoner makes to resolve any outstanding cases pending against him/her. If the prisoner is sentenced to a prison term on the new case consecutive to the old case, then he is a sentenced prisoner and gets zero credits on the new case. If he is sentenced to prison concurrent to the old case, then the custody credits are awarded from the day the DA's office received the 1381 PC demand. The DA file has a copy of the demand.

*When a defendant is sent to a **state hospital** they do not earn *conduct* credits during the time they are in the hospital. They only earn *actual* credits. So, hospital time is calculated from the day after they leave the jail until the day before the hospital's report deems them competent (so the day before the date on the report). *Conduct* credits are calculated *only* from the jail days. Therefore, the equation is:

$$\text{Actual days (jail and hospital days) + Conduct Credits (only from jail days) = Total Days}$$

Things to remember when looking up credits:

*Time starts on the day of ARREST, which may differ from the booking date. You must look up the ARREST DATE.

*You must look up the PLACE of arrest. If the defendant was arrested outside of Shasta County, you must then go to Pubsafe, wanted persons, and see when the hold was placed. If the defendant has no fresh charges in that county for which he/she is also booked, time on our case starts from the date of the hold, not the date the defendant was booked into our jail. If he has fresh charges or is in custody on another case from that county, the defendant does not get credits until he is done dealing with that other case and is released to be transferred to Shasta County.

*If there is a parole hold noted in the booking along with the case you are looking up, you must call parole to verify what the parole violation allegations pertain to. If the allegations pertain to acts other than the current crime you are addressing then the def. does not get custody credit for the current crime. Parole's #: 529-7700

*Look up possible work release and HEC days completed. These are included in the actual days.

*When addressing probation violations related to behavior involving a new crime, but a hold was not placed at the time of arrest on the new crime, the defendant begins earning credit from the **date the petition was filed** for that violation.

**Health and Human Services Agency
Mental Health and Public Health**

**AUTHORIZATION TO USE OR DISCLOSE PROTECTED HEALTH
INFORMATION**

Form Instructions

PLEASE NOTE: For the purposes of this form and instruction memo, "Mental Health" does **NOT** include Shasta County Alcohol and Drug Programs.

The Health and Human Services Agency, Authorization to Use or Disclose Protected Health Information form allows clients to grant permission for Mental Health (MH) or Public Health (PH) to share information about the client with other individuals. This form replaces the standard Release of Information forms for both MH and PH. **NOTE: This form is NOT to be used for Alcohol and Drug Programs.**

The form contains drop-down menus to select from, as well as boxes that you can click on to check. Should your selection not be listed on the drop-down menu, you may click in the empty box and type in your selection. You will see that some boxes come pre-filled based on earlier boxes completed on the form, such as the chart number and client name. When completing this form, please make sure all information requested is provided. Failure to provide all information requested may invalidate the form.

To be more efficient, this form is intended to be completed electronically, printed, then appropriately initialed and signed by the client. However, the form can be printed and completed by hand.

"FILE/MAIL (CIRCLE ONE)"

This is for Medical Records staff to know what is required of them: File means no action is required other than to scan/file the form; Mail means Medical Records staff should complete the request by copying the documents, mailing to the appropriate party, and scan/file the form upon completion.

CLIENT INFORMATION:

This section names the individual whose health information we are being authorized to release, as well as the information to be disclosed.

Each item being requested for disclosure needs to be hand-initialed by the client or their authorized representative once the form is printed. If the "entire record" is to be disclosed, it is not necessary to initial any other items. Be aware that information contained in the MH/PH chart that came from an outside agency can be re-disclosed **with the exception of any substance abuse treatment records received from a substance abuse treatment facility**, including Shasta County Alcohol and Drug Programs. (42 C.F.R. Part 2 strictly prohibits the re-release or

re-disclosure of substance abuse treatment records.) Substance abuse information disclosed by the client to MH/PH is part of the MH/PH chart and can be disclosed.

THE FOLLOWING IS AUTHORIZED TO MAKE THE DISCLOSURE:

This section names the agency that is releasing the information.

PURPOSE OF REQUESTED USE OR DISCLOSURE:

This section needs to be specific in its information. If the reason for the disclosure is not one of the four listed, check the "other" box and specify the reason by typing it in the space provided. Only one purpose may be selected.

THIS INFORMATION MAY BE DISCLOSED TO AND USED BY THE FOLLOWING:

This section names the individual or entity authorized to receive the information to be released. Attachment A should be completed if the information is to be released to more than one individual or entity. When making a selection from the drop-down menu, read the selection carefully and make sure you are choosing the correct individual/agency with the correct address. Should the individual/entity you desire not be an available selection, you can type the correct information in the space provided.

Client or Legal Representative's Initials: The individual authorizing the release of information must initial at the bottom of page 1.

RIGHTS, EXPIRATION AND NOTICE OF POTENTIAL RE-DISCLOSURE:

Right to Revoke: This information **MUST** be provided.

Expiration: If the date of expiration is not entered here, the form will expire 1 year from the date of signature.

SIGNATURE OF CLIENT OR LEGAL REPRESENTATIVE:

The date field is auto-populated with the current date; however, a different date can be typed in, or this field can be left blank if necessary. Once the date and legal representative information (if necessary) is entered, the form is ready to be printed and initialed and signed by the individual authorized to request the information.

Notice: The individual authorizing the release of information must initial this section as they are responsible for the costs associated with copying the requested documents.

"THIS SPACE FOR USE BY SHASTA COUNTY STAFF ONLY"

Staff Member Initiating Request: The staff member initiating the authorization form **MUST** sign as the staff member initiating the request and as a witness to the client's signature.

Staff Member Completing Request: The staff member providing the information requested **MUST** sign as the staff member completing the request. This signature could belong to clinical staff or Medical Records staff.

IMPORTANT: Do not alter this form in any way. To protect client confidentiality, do not electronically save this form.

ATTACHMENT A

If the information is to be released to more than one individual or entity, Attachment A should be completed. Up to 14 different individuals or entities may be entered per Attachment A. If more than 14 are needed, complete an additional Attachment A and change the page number in the lower right hand corner from "Page 3" to "Page 4". If more than two Attachment A forms are needed, be sure and indicate the correct page number in the lower right hand corner.

The client information entered on Attachment A should match the client information entered on the authorization form.

Select the additional individual or entity authorized to receive the information to be released. When making a selection(s) from the drop-down menu, read the selection carefully and make sure you are choosing the correct individual/agency with the correct address. Should the individual/entity you desire not be an available selection, you can type the correct information in the space provided.

SIGNATURE OF CLIENT OR LEGAL REPRESENTATIVE:

The date field is auto-populated with the current date; however, a different date can be typed in, or this field can be left blank if necessary. Once Attachment A is completed it is ready to be printed and signed by the client or their legal representative. Attachment A should be attached to the initial authorization form.

Chief Probation Officers of California

(916) 447-2762 | cpoc@cpoc.org

Chief Probation Officers of California (CPOC) Protocol for Transfers of Postrelease Community Supervision Offenders (Revised 12.10.2015)

Penal Code 3460 provides a statutory framework regarding the transfer of “jurisdiction” between counties, related to postrelease community supervision offenders. County probation departments agree that maintaining clear lines of accountability, consistency and fairness in this process will be vital to providing for effective supervision. Unlike in 1203.9 PC, the Court does not have jurisdiction in this process and the transfer of postrelease community supervision cases will be administrative and directly from one county to another.

3460. (a) Whenever a supervising agency determines that a person subject to postrelease supervision pursuant to this chapter no longer permanently resides within its jurisdiction, and a change in residence was either approved by the supervising agency or did not violate the terms and conditions of postrelease supervision, the supervising agency shall transmit, within two weeks, any information the agency received from the Department of Corrections and Rehabilitation prior to the release of the person in that jurisdiction to the designated supervising agency in the county in which the person permanently resides.

(b) Upon verification of permanent residency, the receiving supervising agency shall accept jurisdiction and supervision of the person on postrelease supervision.

(c) For purposes of this section, residence means the place where the person customarily lives exclusive of employment, school, or other special or temporary purpose. A person may have only one residence.

(d) No supervising agency shall be required to transfer jurisdiction to another county unless the person demonstrates an ability to establish permanent residency within another county without violating the terms and conditions of postrelease supervision.

The supervising county agency shall consider, among others the following factors, giving the greatest weight to the protection of the victim and the safety of the community:

1. The existence of family or friends with whom the offender has ties and whose support would increase the chance that the offender’s supervision would be successfully completed.
2. The availability of appropriate programs for the supervised offender that would increase the chance that the offender’s supervision would be successfully completed.
3. The availability of appropriate alternative housing for the supervised offender to increase the chance that the offender’s supervision would be successfully completed.

AB 231 Compliance

AB 231 amended section 3003 PC to authorize probation to grant relocation of PRCS offenders in circumstances where a victim of a stalking related offense makes the request, and where the probation department determines that relocation is feasible and appropriate.

3003.(h) Notwithstanding any other law, an inmate who is released on parole or postrelease community supervision for a stalking offense shall not be returned to a location within 35 miles of the victim's actual residence or place of employment if the victim or witness has requested additional distance in the placement of the inmate on parole, postrelease community supervision, and if the Board of Parole Hearings or the Department of Corrections and Rehabilitation, or the supervising county agency, as applicable, finds that there is a need to protect the life, safety, or well-being of the victim. If an inmate who is released on postrelease community supervision cannot be placed in his or her county of last legal residence in compliance with this subdivision, the supervising county agency may transfer the inmate to another county upon approval of the receiving county.

While statute does not require either the transferring county or the receiving county to assist or provide housing, it is in the best interest of public safety that the participating counties agree to a housing plan for offenders rendered homeless due to AB 231.

All counties party to this protocol shall provide a singular point of contact and backup contact to be listed on the CPOC website for all incoming transfers in addition to any individual officer contact information that includes: an address, telephone number, secure fax number and email address that will be responded to in a timely manner. The purpose of a singular point of contact for transferred cases is to expedite the administrative process and maintain centralized communication/record keeping in situations where sending counties have a question/ concern and need a singular point of contact to resolve a question or gain needed information. The sending county can choose to send transfers from various officers/ locations but it is recommended that centralized record keeping regarding transfers is maintained.

Process for Outgoing Transfer Requests

1. a. A postrelease community supervision offender in the community makes a written statement of intention and requests to her/his probation officer to permanently reside in another county; or
- b. A postrelease community supervision eligible offender, who is in the custody of CDCR, indicates to CDCR that he intends to reside in a county other than his county of residence as determined by CDCR. CDCR will typically indicate this residence request in their pre-release packet; or
- c. A victim of stalking offense has exercised his/her rights pursuant to Section 3003(h) PC requesting that the postrelease community supervision eligible offender who is in custody at CDCR or the postrelease community supervision offender under supervision by a county agency be relocated in excess of 35 miles of his/her residence or place of employment. If CDCR or the supervising county agency determines that

there is a need to protect the life, safety, or well-being of the victim the sending county will initiate the transfer process.

2. Upon a request for out-of-county transfer by the postrelease community supervision offender, the probation officer of the sending county must notify the victim, if any. The protection of the victim can be a valid reason to deny the transfer request.
3. The sending probation officer will need to verify that the postrelease community supervision offender meets the permanency of residence criteria for a transfer and is deemed appropriate for such transfer. Upon receipt of the transfer packet, the receiving county will verify the offender's permanent residency.

Examples of proof of residency include, but are not limited to, the following:

- a. A driver's license or identification card issued by the state of California that includes the in-county address;
 - b. Voter registration documents showing address where registered to vote;
 - c. Filing a homeowner's property tax exemption;
 - d. Copy of rental agreement or proof of home ownership;
 - e. Verification of residency from the person whose home the probationer will reside (third party verification form);
 - f. Proof/verification of employment;
 - g. Credit card bill;
 - h. Utility bills;
 - i. Insurance policies/documents;
 - j. Vehicle registration;
 - k. Any official document verifying name and address;
 - l. A residence check by Probation or law enforcement.
4. The sending probation officer will complete the postrelease community supervision transfer form Cover Sheet (attached), attach a copy of the CDCR prison prerelease packet along with the postrelease packet if available and forward it to the receiving county as soon as possible, but no later than two weeks subsequent to notification of the intent to transfer [3460 (a) PC]. At this time, a travel pass/ permit may be issued consistent with compliance and supervision objectives.
 5. The sending county will verify the residence is consistent with PC 3460(d).
 6. The receiving county will document on the bottom of the postrelease community supervision transfer form verification of residence.
 7. The receiving county will fax or email the postrelease community supervision transfer form to the sending county at the singular point of contact fax number or email address and also notify the identified sending officer, if not the singular point of contact, indicating either acceptance or refusal of the transfer based upon residency verification within 30 days of the date of the request.
 8. If residency is verified, the date of the fax or email indicating acceptance will mark the official date for transfer of "jurisdiction" and responsibility for the case will rest with the

receiving county as of that date. NOTE: This date is extremely important for this reason and documentation (fax or email receipt verifying successful "fax sent", email communications, etc.) should be maintained in case clarification of this date is subsequently required.

9. The sending county will close out their case effective the date of the acceptance fax/email from the receiving county. If the postrelease community supervision offender is still in the custody of CDCR, the sending county will notify CDCR that the county of residence (and need for new reporting instructions) has changed and request CDCR identify the new receiving county as the county of residence for the inmate. In addition, the sending county will fax/scan and email a copy of the CDCR 611 form, or other documentation, indicating the change in county of residence to the receiving county as well as returning the form to CDCR.

PROCESS FOR NON REPORTING PRCS OFFENDERS

1. Same day:
 - a. Verify defendant has signed 1515-CS form prior to release and review for pertinent information.
 - b. Verify defendant has signed specific reporting instructions to supervising county agency.
 - c. Confirm defendant was in fact released from state institution/which institution and the date.
 - d. Immediately advise supervisor and obtain approval for address verification.
 - e. If possible begin confirmation process to determine if defendant is residing at address listed on 611 form or previous known address. May entail physical verification via home visit with law enforcement.
 - f. Contact local law enforcement and notify of failure to report, provide Field Sheet BOLO via email with one of the photos provided by CDCR with the information to arrest pursuant to 3455 PC and direct them to contact appropriate probation officer immediately upon arrest.

2. Within 24 hours:
 - a. Draft special services investigative report.
 - b. Draft revocation petition for Post Release Community Supervision.
 - c. Draft arrest warrant and print on pastel green paper.
 - d. Obtain supervisor approval and signature.
 - e. Make appropriate copies.
 - f. File with Court and ensure Court issues new "CP" case number on all documents.
 - g. File received copy of revocation and copy of arrest warrant in file.

If unable to complete item #2 within 24 hours due to weekend or holiday status ensure that local law enforcement (and law enforcement in any other pertinent jurisdiction) receives an updated field sheet BOLO with authority to arrest. Step #2 shall be completed within 48 hours.

As always, case note all action in JLAN.

PRCS INITIAL SET UPS

- Check the SFT site everyday about 2-3 times a day. **Everything sent over via SFT is saved in a personal folder on your desktop so that it can be deleted off SFT.**
 - CDCR sends pre-release packets, post-release paperwork, and “Change in Status” forms. All paperwork is uploaded into the probationer’s Jalan case since we are going paperless. Upload the documents to the case and send a copy to the PO (if they have been assigned already) AND Bernard.
 - The **pre-release packets** are saved and kept in a folder until it is time to set them up.
- Keep a personal list of the defendant’s names **with the date you received their packet on SFT and the date of their release.** That way you can see which defendant needs to be set up next and can pull up their packet when it is time to set them up into Jalan.

SETTING UP THE DEFENDANT IN JALAN

1. First we want to check a few things before setting them up into Jalan. **Make sure that the packet has a CDCR 611 and CDCR 1515.** These are important and necessary documents to have prior to the inmate getting released. If these were left out of the packet you can send an email to the prison’s liason and request them.
 - a. On the CDCR 611 you want to make sure that the defendant should be getting released to our county. **Either the county of commitment or the county of last legal residence should be “Shasta”** unless they are transferring to Shasta county.
 - b. If you see that the **inmate requests out of county or out of state release/parole** then let Bernard know after you set them up in Jalan. Regardless of where they will be released or transferred later on they still need to be set up in our system. Certain paperwork needs to be completed prior to the inmate’s release date and it is best to let Bernard know soon so that he can get the process started.
 - c. Look at the Static 99R Score box and check to make sure that **if** there is a number listed in this box it is **below 4**. A number of **4 or higher means they should be released to parole.** You also want to make sure that the “Release to County Supervision” box is checked off and **not the “Release to State Parole.”**
 - d. On the next page you want to check to see if there is an **“ICE hold.”** If so make sure to highlight it so that Bernard sees it.
2. Set the defendant up for Community Supervision in Jalan
 - a. From probation main menu, select #3 “Initiate a File”
 - b. Enter: File Type: **AD** Sub Type: **CP**
 - c. Enter in the defendant’s name.
 - i. If the name is listed (same spelling, SS #, & birthdate), select that record.
 - ii. If the name is not listed you must add them into the system (hit F10).
 1. Find all of the information necessary to add in (SS#, DOB, FBI #, Height, Weight, DL, address and phone #, CDC #, CII#). All of this information can be found in the pre-release packet.

2. The CDCR 611 will have the CDC #, CII #, address, and phone #. The "Social Factors" should have the remaining information. Hit enter after finishing inputting all of that information.
3. You will now be at the General File Data screen (#1 screen from main menu). You do not need to fill in all of the blanks. Just input the following:
 - a. Referral Type: CS
 - b. Court Disposition: 044
 - c. PO: PO098. (This is Bernard's PN CS caseload number)
 - d. Case #: (Hit space button 6 times then enter "NONE C/S")
 - e. Judge: J0122
 - f. Hit enter. Then F12 to the defendant's case menu.
4. Enter in charge information
 - a. Find the "Abstract of Judgement" form that is included in the pre-release packet. Sometimes there are more than one AOJ forms included. The AOJ lists which cases sent the defendant to prison. The case number(s) can be found around the top of the AOJ.
 - b. In Jalan go into #3 "Charge/Issue Information" and hit F8 to pull over the defendant's associated case(s). X each case that is listed on the AOJ(s) and hit enter. You will then see all of the charges pop up. They should match the charges that are listed on the AOJ(s).
 - c. In some cases you will have to manually enter in charges (when the associated cases were in a different county or when a defendant is transferring in from another county).
5. To manually enter in charges (skip this step if not necessary):
 - a. Using the information on the AOJ(s) you must enter in each of the charges listed in boxes 1, 2, and 3.
 - b. F10 to add charges manually. Tab to "**Code Identifier**" and type a question mark followed by the code of the charge (i.e. "?PC" or "?HS" or "?VC"). The letters must be capitalized in order to find the correct charge.
 - c. Tab to "**Code Number**" and enter in the section number. Hit enter.
 - d. A list of charges should then pop up. Select the charge that you were looking for and hit enter.
 - i. If you are unable to locate a charge, give the offense and charge to Mary-Anne so that it can be added to the list.
 - e. Tab down to "**Offense Date**" and enter in the date which usually can be found in the "Sentence Data Sheet" or in police reports.
 - f. Tab to "**Disp Code**" and enter in GPE. Tab below to "**Disp Date**" and enter in the date of hearing (found on AOJ near top). Hit enter.
 - g. Repeat these steps for each charge. Once finished F12 out.
6. Go into #6 "Tickler Information" in the defendant's case menu.

- a. F10 to add the date that we received the paperwork from SFT. Again, the date must be entered in with no slashes. Tab to “**Tickle Time**” and enter in 0800. Tab to “**Activity Code**” and enter in IP.
- b. F10 to add the date the case is due to Bernard’s supervisor (45 days prior to release date). Tab to “**Tickle Time**” and enter in 0800. Tab to “**Activity Code**” and enter in ID.
 - i. If the packet was sent over via SFT late you can type “Late send in” on the description spot of the tickler so that Bernard’s supervisor knows that he did not miss the **ID** date.
- c. F10 to add the date the inmate is getting released. “**Tickle Time**” again is always 0800. Activity code is PX.

7. Person Alerts

- a. If the defendant is going to be a transient upon his or her release then you will also enter in the homeless alert. F10. Alert Type: HML. Hit enter.
- b. If you see that the defendant has an alert for “**Formal Probation Supervision Type**” then let Mary-Anne know so that she can properly close it out if necessary.

8. Update personal information

- a. Type in and/or update all information as found in the pre-release packet
 - i. SS #, address and phone #, DL #, CII # and FBI #, height, weight, CDC #, and all other information you can find.
 - ii. For the address always use the address listed on the CDCR 611. This is the address they plan to reside at when they are released from prison. Always use the most recent address listed. If they put down “self-parole” or leave the address blank then write in “transient” on the address line.
- b. If you see that there is a DOJ number listed in the defendant’s Jalan case in the 10 screen and the defendant has ALL CLOSED CASES then you can delete it. Do not delete it if you see they have active cases.
- c. Once you have entered in and/or updated all of the defendant’s information you can enter out, and back to the defendant’s menu screen.

9. Generate Intake Sheet

- a. Go into 4 “**Event Information**” and hit F10. Type in PRI for “**Event Type**” and hit enter twice.
- b. F12 back to the menu and select #9 to pull up the “**PRCS INTAKE SHEET**” you created. Open it and make sure that the information that automatically generated onto the sheet is correct. Then add the “**due to SPO**” date (45 days prior to release date), release date, living with/relationship, and phone # (put the phone # after address).

10. Bernard keeps a list in the H Drive of the releases by month. Add the defendant’s name to the list.

SHASTA COUNTY PROBATION DEPARTMENT

RANGE PROTOCOL

The following protocol is to be followed during all range activities. It is the responsibility of each officer to comply with this protocol.

1. Always practice the four basic principles of firearm safety.
 1. TREAT ALL FIREARMS AS IF THEY ARE LOADED AT ALL TIMES.
 2. NEVER LET YOUR MUZZLE COVER ANYTHING YOU ARE NOT WILLING TO DESTROY.
 3. KEEP YOUR FINGER OFF THE TRIGGER AND OUTSIDE THE TRIGGER GUARD UNTIL YOUR SIGHTS ARE ON TARGET AND YOU HAVE MADE TO DECISION TO FIRE.
 4. BE SURE OF YOUR TARGET AND BE SURE THE SURROUNDING AREA IS SAFE BEFORE FIRING.
2. Upon arrival at the range, each officer shall report to the Rangemaster at the clearing barrel. Each officer shall clear his/her pistol at the clearing barrel, verify the serial number with the Rangemaster, and then holster the cleared weapon. Only one officer may use the clearing barrel at one time. Do not remove the weapon from its holster again until given permission to do so. Each officer will then sign the range attendance form.
3. No officer shall carry any duty ammunition on his /her person after the pistol has been cleared. All duty ammunition shall be stored away from the firing line and away from the area where weapons are cleaned. (On dates when duty ammunition is being shot and replaced, clear the pistol at the clearing barrel and store all magazines and ammunition in a pocket/pouch pending the course of fire.)
4. No one shall take any practice ammunition until directed to do so by a Rangemaster. No one shall load any magazines until directed to do so by a Rangemaster.
5. Before going to the firing line, be sure to have all necessary gear and eye/ear protection. Once on the firing line, do not leave the line without permission from the Rangemaster.
6. The "Make Ready" command means to check eye/ear protection, draw pistol, insert a magazine, chamber a round, holster, and wait for the next command.
7. During the course of fire, follow all range commands as given by the Rangemaster.
8. Always keep the pistol pointed down range (towards the targets). Never let your pistol "dangle" at your side. Do not turn around with a pistol in your hand. Holster first, and then turn. If you cannot holster your pistol due to a malfunction you are unable to clear, raise your non-firing hand. When on the line, your weapon should either be on target, at the ready position, or in its holster.

9. Never draw your pistol unless directed to do so. If you need to reload during a break in the course of fire (Not applicable during qualification) insert a loaded magazine with the pistol still holstered. All other loading or unloading of your weapon while off the firing line must be done at the clearing barrel.
10. When told to "Clear Your Weapon" or "Make Your Weapon Safe" drop your magazine and rack the slide several times. Lock the slide back and visually inspect the chamber to ensure there is not a round in it. Present the weapon to the Rangemaster for inspection as he/she walks past you. Remain on the line until dismissed.
11. Prior to cleaning your pistol, clear it at the clearing barrel. Do not remove your weapon from its holster until it is your turn at the clearing barrel. After your pistol is clear, **remove the slide from the receiver while at the clearing barrel.** You may now proceed to the cleaning area. Be sure you have no ammunition on your person.
12. After cleaning your pistol, perform a function check of the pistol at the clearing barrel. If you are going to reload your pistol with duty ammunition, do it at the clearing barrel as well.
13. Do not leave the range until you have policed up the brass/garbage and filled out the STC evaluation.

SHASTA COUNTY PROBATION DEPARTMENT

Rangemaster General Guidelines for Range, Training and Documentation:

- 1) Send out email reminder of Range or other training dates/times to get maximum attendance, ask for RSVP from those in the Arming Program who are required to attend, and specify what equipment they need to bring or must NOT bring.
- 2) Plan the training ahead of time, using training plans that are available and approved, or plan to suit the specific need (low light, shoot-don't-shoot, combat course, practice/qualification, etc.).
- 3) Make sure the resources are available (Training or Qualification Outline, sign-in sheets, ammo, range, targets, snap-caps, cleaning kit, etc.).
- 4) Prior to training/qualification, go to Admin. and pick up any firearms, Nice Shot keys and fob, ammunition, blue guns, leather gear, etc., and sign ammo and equipment out.
- 5) Enter Nice Shot without setting off alarm, being aware of surroundings and anything out of place inside, and lock the door once all department employees and trainers are inside (having cleared their weapons outside, or inside during inclement weather).
- 6) Have tables set up in the range area to hold equipment bags, ammo, guns, etc., for access and security.
- 7) Open the locker for access to ammo, targets, first-aid kit, ear plugs, snap caps, cleaning kit, etc.
- 8) During training, use training or qualification outline and sign-in rosters, review and enforce safety rules (see "Range Protocol"), have first-aid kit available, turn on lights and fans in the range as needed, sweep up empty casings if possible or if they create a hazard, etc.
- 9) Ask for any input, explain anything that may not be clear to participants, correct any potential safety issues during training.
- 10) At the end of training, if weapons are to be cleaned, ensure that weapons are cleared (and Glock firing pins are lowered forward while pointing in a safe direction down-range, to facilitate disassembly and cleaning). Left-over ammunition should all be re-packaged in boxes for easy counting and handling.
- 11) Make sure sign-in rosters and cleaning kits are available in the classroom and signed by all who need to sign, and have staff clean their weapons as needed. Note any needs in terms of cleaning equipment, rags, patches, etc., and visually track cleaning, lubrication and reassembly of weapons.
- 12) Following cleaning and reassembly: Individuals should take their sidearm into the range to safely perform a function check, load and make ready, and re-holster.
- 13) Any firearms to be returned to the safe should be inspected to make sure they are empty, and the serial number matched to the pistol box before closing the box with all equipment inside.

- 14) Tables should be returned to the classroom, all cleaning debris and equipment cleaned up. Police up the range, table area, and classroom areas to make sure no equipment or personal property is left. (ALL can participate in this)
- 15) Return all equipment or unused ammo and targets to the locker, and lock it securely.
- 16) Return weapons and equipment to the safe at Admin. as needed, and ammo, Nice Shot keys and fob.
- 17) Account for all weapons and ammo taken and returned, re-total ammo if possible on ammo sheets.
- 18) Check and make any notations/signatures on sign-in sheets, make copies of sign-in sheets for the large binder, and make scans of the sign-in sheets.
- 19) Place the copies of sign-in rosters in the back section in the large binder in the safe
- 20) Make use of the computer facing the lobby to update individual and quarterly training records, and to post scans of the annotated sign-in rosters in the current year's training folder (H:\Range Master\Training Session Record\2017 Training sessions) after re-naming the file (CCYYMMDD and a description).

Firearms Remediation

I. Remediation

- a. Remedial training will be conducted by the Range Master if an officer fails to qualify during a qualification shoot. The officer will be given two additional opportunities to qualify during the same training day after completing a refresher of shooting fundamentals:

i. Shooting Platform

1) Stance

- a. Stable platform, Weaver stance, Isosceles, Mod- Isosceles
- b. Balanced, feet shoulder width apart, hips square to target

2) Grip

- a. Firm two handed grip, push-pull or 70/30
- b. Clamshell grip or 360 degree Isometric tension
- c. Proper placement of arms

3) Sight Alignment

- a. Front sight is vertically and horizontally centered between the rear sights
- b. Focus on the front sight

4) Sight Picture

- a. Placement of the Sight Alignment on the target where you want the round to impact

5) Breath Control

- a. Shoot at the natural pause between breaths
- b. Take shallow breaths in through the nose and out through the mouth – keep your mouth open when doing this

6) Trigger Control

- a. steady squeeze of the trigger rearward
- b. After Sear break and weapon fires,
- c. Only bring the trigger forward until the Sear resets

7) Fire and Follow Through

- a. Keeping the weapon on the threat after firing
- b. Follow the threats movement down until it is determined the threat no longer presents an immediate danger

8) Scan and Assess

- a. After the threat has been neutralized
- b. Scan and assess the surrounding area for any other danger
- c. Before holstering- holster reluctantly

- c. if an officer fails to qualify after two attempts following the fundamental's of marksmanship remediation training with the Range Master, he/she will surrender their duty pistol to the Range Master and they will be given a date to complete the Range Remediation Course (8 hours):

- 800-930 Classroom
-Common Shooting Errors
- Anticipation
 - Trigger Control/Reset
 - Sight Alignment/Sight Picture
 - Grip
 - Stance
 - Breath Control
 - Follow-through
- 930-1030 Draw stroke (Un-holstering)
-Index Weapon/Safeties
- Disengage Both Safeties and Begin Draw
 - Pull Weapon Straight Up To Armpit
 - Punch Weapon Out to Target
 - Balance of Speed and Accuracy – 5 Yards
 - Draw and Fire 1 round in 3 seconds (Dry Fire)
 - Draw and Fire 1 round in 2 seconds (Dry Fire)
 - Draw and Fire 1 round in 3 seconds (Live)
 - Draw and Fire 2 rounds in 3 seconds (Live)
- 1030-1100 Trigger Control
- Proper trigger pull practice (Dry Fire)
 - Sear reset practice (Dry Fire)
- 1100-1200 Shoot Qualification Course #1 and debrief

- 1200-1300 Lunch**
- 1300-1400 Trigger Control (10-25 yards)
-Proper trigger pull practice (Live)

-Sear reset practice (Live)
- 1400-1430 Alternative Shooting Positions
-Kneeling

-Prone
- 1430-1500 Transitioning Targets
-Body to Head (Dry Fire)

-Body to Head (Live Fire)
- 1500-1600 Coached Shooting w/Partner (if applicable)
-Load 2 magazines, 6 rounds each, after 4 rounds holster and assess targets

-After 12 rounds, shooter and coach switch roles.
- 1600-1630 Shoot Qualification Course #1
- 1630-1700 Clean Range and Debrief

EQUIPMENT TRACKING PROCEDURES;
FIREARMS

The Range Master will be notified by the Chief Probation Officer or his/her designee when an officer has been armed. Upon notification the Range Master will:

1. Contact the Training Manager to obtain copies of all training certificates required for armed officers (see policy for training requirements)
2. Create a Personnel file in the H drive, Range Master, which will retain a copy of all firearms related records to include:
 - i. firearm equipment tracking;
 - ii. training certificates;
 - iii. qualification sheets;
 - iv. remedial training;
 - v. other paperwork deemed necessary by the Chief Probation Officer or their designees.
3. Set up an appointment with the officer for orientation and advise them they have until the appointment to familiarize themselves with the following policies:
 - a. Firearms and Qualifications;
 - b. Use of Force;
 - c. Control Devices and Techniques;
 - d. Handcuffing and Restraints;
 - e. Search and Seizure;
 - f. Body Armor;
 - g. Forced Entry;
 - h. Officer Involved Shooting;
 - i. Major Incident Notification
4. Orientation will include:
 - a. Sign necessary forms:

- i. Firearms Equipment Tracking form;
 - ii. Policy acknowledgement forms for associated policy
 - b. Provide officer with copies of associated procedures:
 - i. Qualification
 - c. Distribution of equipment (all officers will sign for the issued equipment). The Range Master will ensure the officer has a duty belt, belt keepers, radio with shoulder microphone, radio holder, OC, OC holder, Flashlight, Flashlight holder, ballistic vest, handcuffs, handcuff case, handcuff key, and glove case. If they do not have all the appropriate equipment, the Range Master will coordinate with the officer's supervisor to obtain remainder of equipment. No armed officer will go into the field without being issued ALL of the required equipment.
 - i. Firearm
 - ii. Level III holster
 - iii. Double magazine pouch
 - iv. 3 magazines
 - v. Firearms safe, desk mount
 - vi. Ear and eye protection
5. When an officer separates from the department, the Range Master will meet with the officer prior to their exit interview to obtain the arming equipment previously issued to them. The officer will sign the form and the Range Master will sign to certify they have received all equipment. The Range Master will note the condition of the returned equipment on the form.
 - a. If the separation is contentious the Chief Probation Officer or his/her designee will seize the officer's weapon and all equipment prior to releasing the officer from duty.

A physical copy of all forms and documentation will be kept in the Range Master Records Book and a copy provided to the officer.

Firearms Qualifications

- I. Every officer will qualify with their department issued duty pistol
 - a. Up to four times a year, but no less than twice a year
 - i. Quarterly during scheduled firearms training events
 - b. When an officers qualifies
 - i. Armed officers will shoot the duty ammo they are carrying
 - ii. he/she will sign the qualification roster
 - iii. fill out a course evaluation sheet
 - iv. sign for 46 rounds of new duty ammunition
 - v. return to duty as assigned
 - c. When an officer does not qualify
 - i. He/she will be required to remediate. See Firearms Remediation Procedures

BANKED CASELOAD GUIDELINES:

- **ALWAYS CHECK SYSTEM TO SEE IF DEFENDANT HAS ACTIVE WARRANTS**
- **DETAILED CASE NOTES ARE IMPORTANT AND MAKES IT EASIER TO REFER BACK TO**

GENERATE LETTER CODES: (MAKE LETTER WHEN YOU RECEIVE YELLOW TRANSFER)

- BOC – BANK OUT/COUNTY LETTER (WRITTEN MONTHLY)
- BML – BANK BY MAIL LETTER (OFFENDERLINK)
- BNL – BANK NO WMR RECEIVED LETTER (INCLUDES BLANK WMR)

USEFUL TICKLERS:

- WM – WRITTEN MONTHLY
- OL – OFFENDERLINK
- ME – MASTER CASE
- ST – TERMINATION
- SO – STOPP FTA
- OD – OFFICER OF THE DAY NOTE
- FT – FAILED ORIENTATION

PERSON ALERTS:

- DUI – DUI OFFENDER: WILL HELP IDENTIFY IF THEY NEED TO DO VIP
- WAR – WARRANT: IF WARRANT IS ACTIVE AFTER 30 DAYS, TRANSFER TO BENCH WARRANT CASE LOAD
- NCL – NON COMPLIANCE: GENERATES LIST FOR PO'S TO GO OUT AND FIND DEFENDANTS

MSC'S AND CCW'S: (20 & 8)

- RUN COURT CALENDER FOR THE WEEK
- NO MSC NEEDED FOR – J&S, PRE LIM, 1204/HEARING ON PETITION, MOTIONS, RESTITUTION HEARINGS
- IMPORTANT TO ADDRESS WHAT THE DEFENDANT NEEDS TO DO AND WHAT THE DEFENDANT HAS NOT DONE TO ILLUSTRATE AN ACCURANT RECOMMENDATION

MORNING ROUTINE:

1. IN/OUT BOARD
2. OPEN JALAN AND PUBSAFE
3. BOOKING AND RELEASES (CHECK BENCH WARRANT CASELOAD INITIALS)
4. ARRAIGNMENT LIST (**NEW LAW**: VOP & PSA/**WARRANT**: PSA)
5. VOP DUE @10AM, PSA DUE @ 11AM



CRITERIA FOR ENTRY INTO THE ADDICTED OFFENDER PROGRAM

The defendant MUST:

- Have entered a plea to a felony and is on, or about to be placed on, felony probation
- Have a history of substance abuse
- Be willing and acknowledge their addiction and want to make a change
- Agree to live in Shasta County throughout their probation
- Be free of any serious mental health conditions
- Be in relatively good health and able to manage pain without the need for prescription narcotics

The defendant must NOT:

- Be on active Parole
- Have previously participated in AOP
- Have a history of violence
- Have a history of a sex offense
- Have a history of drug sales (exception for small amounts for personal use)
- Have a history of a weapon offense
- Have or obtain a medical cannabis card
- Have any pending legal matters in other jurisdictions
- Present offense does not involve large quantities
- Present offense does not involve sales (exception for small amounts for personal use)
- Present offense does not involve being armed with or using any weapons
- Present offense does not involve manufacture or production of controlled substances (exception for cultivation of small amounts of marijuana)



THE ADDICTED OFFENDER PROGRAM

The A.O.P. is an intensive supervision caseload. It involves the cooperation of the Probation Department, the Courts, Shasta County Drug and Alcohol Programs, Law Enforcement, the District Attorney's Office, and the Public Defenders Office. Defendant's placed on the A.O.P. can be in the program up to 32 months (the average time to complete is around 22 months). Defendants on the program have very strict conditions to follow, such as frequent drug testing, frequent court appearances, and curfew. Failure to abide by the conditions of probation will result in arrest, with a jail sentence, or even a commitment to State Prison. Defendants who participate in and complete the program will have learned the skills necessary to stay clean, sober, and remain in the community.

Referrals to AOP

Defendants can be referred for an A.O.P. evaluation either by the Court or by a Probation Officer. If the Court makes the referral, it is usually because the defendant is on probation and in violation of their probation, or they have committed a new law violation and could be placed on probation. If a Probation Officer makes the referral, it is usually because the defendant asks to be referred; they may or may not have violated probation or the law. If a PO wants to refer a defendant for an evaluation, they are to calendar a court date in the defendant's Home Court and request the referral. A referral to the program does not guarantee an admission. The defendant has to be eligible (these criteria are more "objective") and suitable (these criteria are more "subjective") for the program.

Eligibility is as follows (It should be noted that every one of these conditions must be met for the defendant to be placed on the A.O.P., unless the committee decides to make an exception):

1. Defendant has entered a plea to a felony and is on, or about to be placed on, felony probation (although some defendants are ineligible for probation, they can still request a referral. At this time, excessive criminality is not an excluding factor; a defendant with a "strike" prior cannot be admitted unless they have succeeded in a "Romero" hearing). Also, the crime MUST be a drug-related offense, meaning they either possessed drugs or they committed a crime motivated primarily by their addiction.
2. Defendant has a history of substance abuse (drugs and alcohol). At this time, only defendants with a current history of drug use can be admitted. If the defendant's only current issue is with alcohol, they are not eligible.
3. Defendant does not have a history of violent offenses. The District Attorney assigned to the program will ultimately make the decision on whether or not an exception can be made. Crimes of violence may include: Battery, ADW, Corporal Injury, Child Endangerment Causing Injury, Murder, DUI Causing Injury, Assault, False Imprisonment, Kidnapping, Car Jacking, Gang-Related Crimes, and other related crimes.

4. Defendant does not have a history of sexual offenses and is not a registered sex offender.
5. The instant offense does not involve drug sales, and the defendant does not have a history of drug sales, with the exception of sales to offset personal use/pay for one's own habit. Also, defendant cannot have a history of manufacturing controlled substances, or cultivating marijuana (except small amounts for personal use).
6. Defendant does not have a history of weapons offenses (use of a weapon during the commission of a crime).
7. The instant offense does not involve weapons use or arming.
8. The instant offense does not involve the manufacture or production of controlled substances, or cultivation of marijuana (unless it small amounts of marijuana for personal use).
9. The defendant has never participated in the A.O.P. or any similar drug court program.
10. The defendant is not on parole or pending a state prison commitment in another jurisdiction.

Suitability is as follows (these criteria are more subjective; the more that apply, the better):

1. Defendant acknowledges their addiction and wants to change. Further, they are willing to participate in treatment and will abide by the 12-step philosophy.
2. Defendant agrees to live in Shasta County throughout their participation in the program. Further, the defendant will have a verifiable physical address (being transient is not conducive to recovery). Hopefully, their home will be a clean and sober living environment.
3. Defendant will have reliable transportation and will be able to make and keep all appointments. Many prospects have been denied acceptance due to not having a solid plan on how they are going to get to and from their appointments.
4. Defendant has the support of their family, friends, and/or peers to help them in their recovery.
5. Defendant is employable or has a steady income (SSI or other government entitlements are acceptable).
6. Defendant is unable to abstain from drug use, and prior treatments have been ineffective. If the defendant is able to abstain from drug use without the program, why are they asking for it? Defendant's that have not attempted treatment in the past are generally not good candidates for the program.
7. Defendant is not using the AOP as a way to get out of going to prison; if so, they will most likely end up there anyways.
8. The defendant is free of any serious mental health conditions. At this time, the AOP is not set up to serve defendants with severe MH issues in addition to substance abuse issues.
9. The defendant is in relatively good health. The defendant is able to manage any pain issues without the need for prescription narcotics, or is able to take them as

prescribed, and they have a clear goal to wean themselves from the medication. Medical Cannabis is not an option while on the AOP.

10. The defendant does not have any pending legal matters in other states/counties/countries that would require him/her to be away for a significant period of time to resolve the issues.
11. The defendant presents as an addict, not a criminal.

Further, the defendant will basically have to agree to the following:

1. A five-year grant of probation.
2. Participation in drug and alcohol counseling two times per week and four outside support meetings (NA or AA) per week for a MINIMUM of six months.
3. Court appearance every Friday morning for the first six months.
4. Chemical testing every Monday, Wednesday and Friday, plus random mandatory weekend testing via the call-in AOP test line.
5. Home visits and searches by Probation and other Law Enforcement agencies.
6. A 10:00 p.m. curfew while in Phase II (generally six months).
7. The addition of alcohol conditions, which prohibits the use or possession of alcohol or entering places where it is the primary item for sale.

Once a referral is made, the A.O.P. supervision officer will notify the treatment providers and arrange a time to meet with the defendant for the evaluation (the probation officer, along with the drug/alcohol counselors, will be referred to as the “team”). The probation officer will be advised of the Drug Court date. If the defendant is in custody, the team will meet with the defendant at the jail. If the defendant is out-of-custody, the team will schedule an appointment with the defendant to appear at the Probation Department. It is generally held that if the defendant fails to keep this appointment, they will not be accepted into the program (absent a verifiable emergency that keeps them from attending; not having transportation, or “I forgot,” will not be excused). The counselors can be reached at (530) 229-8310.

During the evaluation, the team will utilize the AOP Applicant Information2.doc form, located in the AOP file on the Probation Department’s “H Drive” (a copy of this form is attached). The form provides an outline for the team to ask questions and assess the defendant’s suitability for the program. Once the interview is complete, the probation officer will prepare a summary and evaluation for the Court to review. The report has an associated “event code” in Jalan, known simply as the AOP event code (sample reports are attached). Once the report is prepared and signed, it is filed with the Court. On the appointed Court date, the PO should bring the defendant’s physical file, along with extra copies of the AOP Eval for the committee to look at. The committee, which is comprised of the Judge, the Assistant DA, the Assistant Public Defender, the SCAD counselors, the PO, a law enforcement officer (usually from RPD), and the defendant’s attorney, will ultimately make the decision on whether or not the defendant is accepted into the program.

If the defendant is accepted into the AOP, they are usually remanded into custody (unless they are already in custody), and the matter will be continued one week to allow the PO to prepare the appropriate terms and conditions of probation. It is advisable to prepare a memorandum to the Court, and attach the conditions to the memo. If the defendant is already on probation, the PO can just include the AOP terms that are needed. Here are some of the usual terms:

1. That his probation be extended for TWO (2) YEARS, to expire on XX;
2. That he serve 60 days in the Shasta County jail, with credit for no actual days served on the present violation of probation, and discretion be given to the probation officer to release the defendant early for treatment purposes, and that he report in person to the Probation Officer immediately upon release from physical custody;
3. That he participate in and complete the Addicted Offender Program including all directives of the Court or Probation Officer, and treatment provider;
4. That he totally refrain from the use and possession of alcoholic beverages, and that he not enter places where alcohol is the primary item of sale;
5. That he submit his person to chemical testing any time at the request of any peace officer or Probation Officer, and that he do nothing that would interfere with the accuracy of the test. Further, that he not use or possess any device capable of falsifying a chemical test;

Note that probation is extended two years. This is done regardless of how much time they have spent on their current grant of probation (however, statutory time limits still apply). Also, the committee will usually decide how much custody time the defendant will serve to commence their participation in the AOP. Custody time is assessed as a punishment for either breaking the law or violating probation. It is also considered to be a period of "forced sobriety," although being in custody does not ensure sobriety in and of itself. Usually the jail sentence will not exceed 120 days, unless the committee decides to impose such a sentence. This sentence will be served in the main jail. AOP defendants are not eligible for work release, early "kick outs," home confinement, Court Caps, or own recognizance releases. If the jail releases a defendant early, the PO is to return them to the jail and advise the watch commander that the defendant is not to be released until the sentence is served, or if the PO uses the discretion to release early for treatment purposes.

If the defendant is not on probation when they are accepted into the AOP, a full set of probation conditions will need to be prepared, including the above AOP conditions. They shall be placed on probation for a minimum of 5 years. Later, upon successful completion of the AOP, the defendant's probation can be modified and shortened.

Benefits to participating in the AOP

Defendants placed on the AOP give up many of their rights, and agree to stricter conditions than their peers. Surely there must be a benefit to doing so...there are many:

1. The necessary skills and knowledge are acquired to lead a productive life without drugs or alcohol.
2. Possible early release from jail for treatment purposes, with remaining jail sentence suspended or stayed.
3. Possible reduction in probation term.
4. Possible reduction of original conviction (Their felonies can be reduced to misdemeanors. Also, the defendant can further request that their case be dismissed upon showing of cause).
5. Assistance in obtaining drivers license and/or addressing past fines and holds on license.
6. State prison is no longer an option.
7. While in the program, the defendant is excused from paying on fines, fees and civil assessments. Once they complete the program and successfully terminate from probation, all fines, fees, and assessments will be permanently stayed. Victim restitution must be paid, however.

Intake

Once the defendant is released from custody, either after all the time is served, or after the defendant is released by the PO to begin the treatment program, they are to report immediately to the Probation Department. The PO will review the terms and conditions of probation, the general conditions of probation, and read and explain the report line contract. The contract is currently stored on the H drive, in the AOP folder. The file is named "AOP-WTL agreementCurfew.doc" (a copy of this form is attached).

The Test Line agreement states the defendant will call the AOP Test line (245-6780) every Monday, Wednesday, Friday, Saturday, Sunday, and Holidays falling on those days. If the defendant hears their name on the recording, they are to report for chemical testing by 1600 hours on that date. Failure to report for testing will result in their arrest. Defendants are also advised of the MANDATORY 2200-hour curfew. Defendants are allowed to ask for extensions to the curfew (i.e. to work late, go to AA/NA functions, visit family), but they are to be given a set time to be home and are to call and leave a voice message with the PO once they are home. Law Enforcement, and the PO, randomly check curfew. The curfew remains in effect until the defendant is promoted to Phase 3 in treatment, and they must ask to have their curfew lifted. They are also advised that they will be provided a copy of their jail-booking photo upon their commencement (it gives the defendant a before AOP/after AOP look at themselves). Once the intake is complete, the defendant is to submit to chemical testing. The reason for this is to make sure they abstained from use while in custody and to obtain a "baseline" to compare with future tests. If an intake assessment appointment at SCAD has not already been set, the PO will call SCAD and set one up. The PO will then direct the defendant over to SCAD to verify their appointment.

Test Line

Every Monday, Wednesday, and Friday, the PO is to set up the test line. Generally speaking, defendants in Phase 2 will be tested three times per week; Phase 3 defendants are tested 2 times per week; Phase 4 and Aftercare defendants are tested 1 time per week. The actual number of tests per defendant is really up to the discretion of the PO, and the testing budget. If a defendant is directed to test via the test line, they are to do so by 1600 hours.

To set up the test line, the PO shall call the voice message service at 225-2299. The password is 6780#, and the phone number is 530-245-6780#. At the prompt, enter "0, 4, 2, 1, and 5," then begin the message. Clearly state the date, day of the week, and list every defendant by first and last name. Once the message is complete, enter "#, #" and the message will be saved.

On weekends, the PO can elect to set-up a weekend test line. He/she will need to arrange to have an additional officer/probation assistant of the opposite sex assist in the testing. Testing on weekends only goes until 1200 hours. If a defendant arrives after that time, they are to be arrested. The PO can do PAS testing, urine testing, or both.

To streamline the set-up of the test line, the PO may elect to use the "AOP Court List.doc" file located on the H Drive in the AOP Folder (a copy of this form is attached). This document lists each defendant by name, clean time, phase in treatment, birth date, and next court date.

Appearance Reviews and Drug Court

The PO and the treatment team are to prepare "Appearance Review Forms (aka "ARF")" for Friday drug court for each defendant appearing in Court that week. The ARF's are located on Probation Intranet, in the "Information" section, under the ARF heading. The PO can request a user name and password from the IT representative. The ARF's shall be completed by 1200 hours on the Wednesday of each week. The ARF's are printed by the Court Clerk and presented to the Judge for his reading enjoyment.

Treatment will fill out the information in their section. The PO will advise the Court of the following information: the date the information was entered into the form, the PO's name, the status of any chemical tests (the PO can elect to list all tests by date, or just put the dates of any positive results; if all tests were negative, it is acceptable to say so without enumerating all of the dates), the amount of contact the PO has with the defendant, any new petitions or arrests, and comments. The comments section allows the PO to briefly discuss any pertinent facts regarding the defendant (such as changes in housing, employment, etc.). If there is nothing to add in this section, it is acceptable to simply say the defendant is in compliance with probation.

Like drug testing, the defendants' court appearances are based on their Phase in treatment. Phase 2 defendants go to court every Friday, Phase 3 defendants go every other Friday, and Phase 4 defendants go to court every four weeks.

The AOP committee begins Court every Friday at 0730 hours in Department 6. From 0730 until 0830 hours (or so), the committee discusses each case on calendar and reviews the ARF's. Each committee member gets an opportunity to discuss any pertinent details regarding each case. The committee also discusses new referrals to the program and any violations of probation in existing cases. Around 0830 hours, the Deputy Marshal will unlock the doors to the Courtroom and allow the defendants to enter.

The PO should bring physical files to court for any case involving a VOP, an evaluation, a modification of probation, dismissals, or for any reason that would require notes to be entered into the file. Further, the PO should bring a printout of the Court Calendar for that date, and print a copy of the AOP Court List document (located in the AOP folder on the H Drive).

During Court, the Judge will first call the cases requiring a court reporter (evaluations, VOP's, modifications, etc.). Next, he/she will call the appearance reviews in chronological order (defendants who have been in the program longer will be called first). The defendants will approach the podium in the courtroom and will engage in a dialog with the Judge. Normally, the rest of the committee remains silent during this time, unless the Judge asks a specific question of one of the committee members. Once the conversation is over, the Judge will ask the defendant for their clean and sober time. The PO will record this time and enter it into the AOP Court List document for future reference. The PO will then advise the Court and each defendant of the next court date.

Once Court is adjourned, the PO will update the AOP Court List document with the current clean date and next court date for each defendant.

Supervision Issues

Defendants on the AOP are oftentimes a needy group of people. They will ask lots of questions about what they can or cannot do, what over-the-counter medications they are allowed to use, and will often call the PO or appear at Probation without an appointment. The PO should be aware of these issues. As needed, the committee can set up an AOP community meeting and address the issues that are coming up within the program that are brought up by the defendants.

The PO should attempt to visit the defendants in the field as much as possible. It is also advisable for the PO to utilize other local law enforcement agencies to assist in monitoring the defendants in the community. The Redding Police Department has assigned an officer to the AOP to assist the PO in coordinating any special events, such as curfew monitoring or weekend PAS testing.

Violations of probation are to be handled swiftly and decisively. Any clear VOP will result in arrest. The PO is certainly encouraged to staff the violation with their SPO, the DA, and/or treatment, especially if the violation is minor. However, the PO ultimately has the discretion to arrest for a violation of probation.

Commencement

Once a defendant has entered Phase 4, they will be considered for the next commencement (basically their “graduation” from the AOP). The committee will discuss each defendant’s case and decide who will commence and when. Once the decision has been made, the treatment team will notify the defendants of the date, time, and location of commencement. The treatment team is also in charge of securing the location for commencement (usually the Veteran’s Hall on Yuba Street in Redding). The PO is in charge of preparing and sending invitations to the various agencies, officials, and people involved in the AOP, drug courts, probation, and government.

The AOP Judge officiates over the commencement. He will greet the audience and acknowledge any special visitors (i.e. government officials, department heads, etc.). He will talk about each individual’s progress in the program and introduce each defendant. The defendants will be called to the podium, one at a time, to speak to the audience and are pretty much given free reign to say what they need to (within reason). Once all the defendants have had their opportunity to speak, the Judge will present each with a certificate of completion, and tell the defendants about the benefits they will receive once they have completed their grant of probation.

Post-Commencement

After a defendant has commenced, they are placed in the Aftercare group through treatment. The PO continues to test them approximately once per week, but they do not continue to appear in court for review. Aftercare lasts approximately three months. Upon completing aftercare, the PO will calendar a court date and file a modification of probation with the court, and outline all of the benefits the defendant shall receive upon the completion of probation. The only benefit that will be applied immediately is that they will have their grant of probation shortened. Once a defendant has completed aftercare and has appeared in Court, the PO can transfer their case to the PO12P caseload. PO12P is a bank caseload managed by the AOP officer to continue the supervision of the offender. Upon successful completion of probation, the AOP officer will place the defendant on the Court calendar and request that all benefits be applied (the DA will normally walk the court through the modifications, on the record).

ATTACHMENTS

AOP Applicant Information2.doc

BHC PARTICIPANTS AND SHASTA COUNTY JAIL PROCEDURES

- **IDENTIFYING BHC PARTICIPANTS:**
 - Following the BHC court calendar each Monday, the BHC probation officer (currently, Megan Hart) will E-mail an updated list of current BHC participants to a designated jail staff member and the CFMG mental health provider (currently, Mary Barnes).
 - If possible, each participant should be “flagged” in the jail’s computer system, or a manual tracking system, so that all jail staff will be aware of the individual’s status as a BHC participant.
- **IF A BHC PARTICIPANT IS ARRESTED:**
 - Jail staff should immediately notify Probation Officer Meghan Hart of the client’s arrest.
 - For accountability purposes, whenever possible, the participant should be held in-custody until the next BHC court date (Mondays at 3:00 p.m., except holidays, in Department 7).
 - If it is necessary to release a participant prior to the next scheduled BHC court date, all efforts should be made to release the inmate during or as close to regular business hours as possible. Absent exigent circumstances, a BHC participant should not be released late at night or on the weekend.
- **WHILE A BHC PARTICIPANT IS IN CUSTODY:**
 - If a participant is arrested, jail staff should refer the participant for an evaluation with jail medical staff so that the participant may resume treatment/medications as appropriate.
 - Jail medical staff should communicate with the BHC team and/or HHSA-Adult Services Mental Health concerning the client’s current mental health status and medications if a fax is sent requesting information.
- **WHEN A BHC PARTICIPANT IS TO BE RELEASED FROM CUSTODY:**
 - *Since it is imperative that BHC participants have access to their medications immediately upon release from custody, jail medical staff will call in the participant’s prescription prior to his/her release.*
 - Once jail staff is notified that a BHC participant is scheduled to be released, the staff member must contact the jail medical staff and advise him/her of the date/time of the release and request that the medical staff phone in any prescriptions to the appropriate pharmacy. Medical staff must phone-in the prescription prior to the participant’s release and advise the participant where to pick up the medications.
 - The jail staff member responsible for processing the participant’s release from custody should check to ensure the prescription has, in fact, been phoned-in prior to releasing the participant.

Behavioral Health Court (BHC) Referral Process

Pre-Screening (Pre-Plea)

- a. Defense Attorney refers defendant to the Public Defender Social Worker (PDSW) (currently, Robin Gosney) using approved referral form.
- b. PDSW meets with defendant to:
 - i. Obtain preliminary information about factors affecting defendant's ultimate acceptance into the BHC;
 - ii. Obtain from the defendant a signed HHSA authorization to use/disclose information; and
 - iii. Informally discuss BHC policies and procedures with the defendant.
- c. PDSW prepares memorandum to Applicant's defense attorney regarding potential for acceptance, participation, and success in the BHC.

Referral from Home Court: Applicant enters change of plea and is referred to the BHC

- a. Defendant must provide written authorization for disclosure of confidential information.
- b. **OUT-OF-CUSTODY** defendant is given a date and time to appear (Wednesday at 9:00 a.m. at least two weeks hence) at the Probation Department to meet with the BHC Interview Team (BHCIT): Meghan Hart (Probation) and Ronna Crowfoot (Case Worker, HHSA-ASMH). The defendant will complete their probation paperwork upon arrival at the Probation Department.

IN-CUSTODY defendant will be interviewed by the BHCIT on a Wednesday afternoon in the jail, approximately 2 weeks hence.

The purpose of this interview is to conduct an initial assessment of the defendant's amenability and eligibility for the BHC.

- c. Defendant is also ordered to appear in the BHC in Department 7 on a Monday at 3:00 p.m. at least four weeks hence, or about 2 weeks after the BHCIT interview. If the defendant is not a Public Defender client, their attorney is to appear at 1:30 p.m. that same day to discuss the referral with the BHC Team.

BHC Team Meeting/Court Appearance(s): the BHC Team will meet each Monday (except holidays) at 1:30 p.m. to discuss new BHC referrals and on-going BHC participant reviews. The BHC calendar will commence at 3:00 p.m.

- a. If a defendant appears suitable for BHC after the BHCIT interview, he or she will be directed by the BHC probation officer to meet with HHSA for a clinical assessment (currently, either Bonnie Beffa or Mey Caho-Lee), and will appear at the BHC on the date as previously ordered (see above) for consideration of admission into the program and development of a Case/Treatment Plan.
- b. If a defendant is determined to **NOT** be eligible for BHC, he or she will be referred back to the home court for judgment and sentencing (the PSI will already be completed and on file with the Court).
- b. If a defendant is accepted into the BHC, he or she will be sentenced by the BHC Judge and relevant terms and conditions of probation will be imposed.

**SHASTA COUNTY BEHAVIORAL HEALTH COURT (BHC)
Policies and Procedures
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Purpose of the Behavioral Health Court Program

Shasta County Behavioral Health Court (BHC), one of the Shasta County Collaborative Court Programs, is part of the problem solving court movement. It is seen as a promising approach in bringing stability, sobriety, and safety to offenders with Behavioral illnesses while helping to ensure the security and well-being of the entire community.

BHC is an intensive program designed to evaluate, monitor and provide qualified applicants access to comprehensive and coordinated behavioral health services, integrated treatment for behavioral health and substance use disorders, and ancillary services. Its goals are to improve outcomes for individuals and the community, including increased public safety, a reduction in recidivism, a reduction in the abuse of alcohol and illegal drugs, and a reduction in the burden on law enforcement and other county resources.

The BHC program draws on the expertise and cooperation of the Shasta County Superior Court, the Shasta County Offices of the District Attorney and Public Defender, the Shasta County Probation Department, the Shasta County Health and Human Services Agency/Adult Services Mental Health (HHS/ASMH), the Shasta County Sheriff's Office and other local law enforcement agencies, local advocacy and support agencies, and private providers of behavioral health, substance abuse and ancillary services. The core BHC Team consists of representatives from the Shasta County Superior Court, District Attorney, Public Defender, Probation, and HHS/ASMH.

Participant Eligibility

BHC is a voluntary program, which lasts a minimum of one year and is designed for offenders who have a persistent serious mental health illness (SMI) and who may also have a co-occurring substance abuse disorder. Eligible participants are at least 18 years of age, are a resident of Shasta County or intend to remain in Shasta County for the length of the period they will be participating in the BHC.

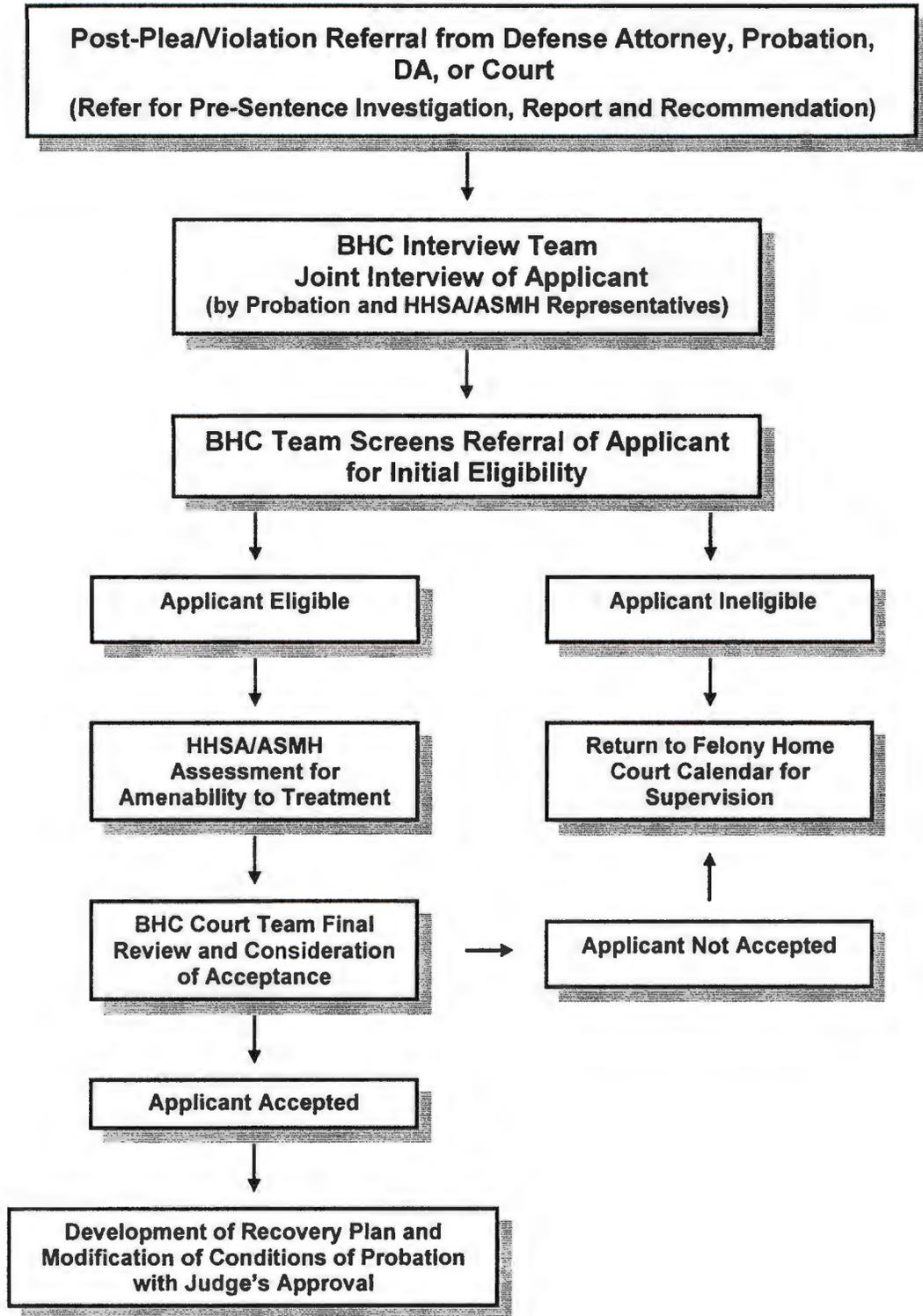
Persons may be eligible for participation in the program if they:

- Meet medical necessity ~~criteria to receive services at HHS/ASMH and other services~~ under the terms of the Shasta County BHC Protocol (See Appendix A)
- ~~Demonstrate that an SMI is a significant contributing factor that~~ brought the offender to the attention of the criminal justice system
- Are considered suitable candidates for, and are amenable to, receiving behavioral health and other services
- Are eligible for formal supervision (i.e., probation, PRCS¹, or MS²)
- Are able to appreciate the consequences of the legal proceedings and the agreement s/he is making with the court
- ~~Are diagnosed with a SMI~~ as described in the current version of the Diagnostic Statistical Manual
- ~~Do not display antisocial personality disorder / pathology characteristics~~

¹ Post-Release Community Supervision (Penal Code §3450, et seq.)

² Mandatory Supervision (Penal Code §1170(h)(5)(B))

Shasta County BHC Participant Eligibility Process



Participant Orientation

Prior to formal acceptance of a prospective participant in BHC, the referring court should encourage the prospective participant to attend and observe a BHC proceeding.

Defense counsel will prepare a BHC form and submit it to the Public Defender's office to assist with the orientation process.

Probation will conduct an orientation for the participant. The orientation will include a brief overview of the participant's specific individualized expectations and requirements, potential rewards and sanctions, the responsibilities of the BHC Team members, and the BHC procedures.

Participant Agreement

When an applicant applies for a referral to BHC, the Defense Attorney will review the terms and conditions of participation with the applicant. The applicant will be provided with the "*Guidelines for Participants*" information sheet. The applicant will sign all necessary forms, including: *Consent for the Release of Confidential Information, Agreement to Participate in BHC, and Acknowledgement of BHC Procedures.*

Completed, signed and witnessed documents must be on file with the Shasta County Superior Court to participate in the BHC program.

Progressing Through BHC

BHC consists of phases that include judicial oversight, probation supervision, individual Recovery Plan requirements, possible drug testing, rewards and sanctions. Each phase is designed to build upon the skills acquired in the previous phase, thus enabling participants to better manage their behavioral health illness and substance abuse (if applicable) and foster stable, independent living. As a participant moves through the phases of the program, s/he is evaluated and promoted based on successful completion of each phase.

Intake/Screening Expectations

Each participant will:

- Meet with the HHSA/ASMH Clinician, HHSA/ASMH Personal Service Coordinator (PSC) and Probation Officer
- Voluntarily participate in evaluation by HHSA/ASMH clinician
- Complete an initial BHC suitability evaluation facilitated by HHSA/ASMH and Probation
- Read the *Guidelines for Participants*
- Enter into the *Agreement to Participate in BHC*
- Agree to keep scheduled appointments
- Appear in Court as scheduled
- Adhere to all court-ordered conditions of release, which may include random drug testing

Individualized Recovery Plan

All persons participating in BHC will have an individualized BHC Recovery Plan, which will be recovery-oriented, strength-based and designed with input from the participant and his/her family and support network.

Members of the BHC Team will be provided with a copy of each participant's individualized Recovery Plan.

The BHC Recovery Plan is a flexible plan, subject to revision as goals are achieved or modified. Modifications to each person's plan may be made at the discretion of the Probation Officer and HHSA/ASMH clinician. The HHSA clinician will be consulted prior to implementing any changes in the BHC plan that are specifically related to HHSA/ASMH services. If BHC team members have concerns regarding a participant's goals or modifications to the plan they are to present these concerns at the BHC team meeting for further discussion.

Because all Recovery Plans are individualized, the requirements may vary. This is a general guideline and is subject to modification by the BHC Team and approval by the Judge.

The BHC Recovery Plan may include or address:

- Documents completed at intake (see above)
- Intake assessment, including behavioral health and substance use evaluations and risk/needs assessment. Note: specific HHSA/ASMH medical records documents will not routinely be incorporated into the BHC Plan
- Terms of supervision
- Random drug testing
- Individual goals
- Treatment strategies
- Prior criminal history, fines, fees and restitution orders
- Criminogenic needs
- Medication management

Phase I - Expectations

Participant will adhere to their individualized BHC Plan, which will be based on consultation between the participant and BHC Team and **may** include specific, measurable goals related to some of the following:

- Keeping scheduled appointments, including court appearances
- Meeting with and keeping appointments with the Probation Officer
- Meeting with HHSA/ASMH staff as directed, including clinician, PSC and/or psychiatrist
- Adhering to medication regimen agreed to with a psychiatrist/physician
- Attending individual counseling
- Attending group counseling
- Attending self-help/community support programs
- Meeting expectations regarding reductions in drug/alcohol use, if applicable
- Cooperating with chemical testing on a random basis, if applicable

- Having no new arrests
- Demonstrating a willingness to remain in the program
- Accepting and completing community service as ordered by the court
- Participating in education/vocational training and/or employment assistance
- Improving psycho-social functioning
- Participating in psycho-education classes
- Psycho-education for families and friends as feasible
- Meeting any other expectations identified by the BHC Team

Benchmarks for Moving to Phase II

Participant has adhered with his/her individualized BHC Recovery Plan for at least four consecutive months, including being willing to work with substance abuse issues to clarify the nature of the participant's difficulties, if any.

Participant will commit to his/her Recovery Plan. As appropriate/identified, this will include reduction and/or elimination of the use of drugs/alcohol.

Participant and BHC Team have developed measurable, stage-appropriate behavioral expectations including drug/alcohol issues in Phase II, if appropriate.

Participant has recently completed the Participant Interim Questionnaire.

Phase II - Expectations

During Phase II, the individualized BHC Recovery Plan will include the same kinds of elements outlined in Phase I, with the expectation that the participant will achieve a higher level of proficiency at meeting specifically identified, measurable goals. The participant will comply with prescribed medication requirements and remain clean and sober (i.e., free from the use of alcohol and illegal controlled substances, as specified in the Recovery Plan).

Benchmarks for Moving to Phase III

Participant has adhered to the specific goals of his/her individualized Phase II BHC Plan for at least four consecutive months. This will include compliance with prescribed medication requirements as well as the participant remaining clean and sober (i.e., free from the use of alcohol and illegal controlled substances, as specified in the Recovery Plan). During Phase II, the BHC Team and participant will have agreed on goals and specific measurable behaviors to target in Phase III.

Participant has made an effort to pay direct-victim restitution, if applicable.

Participant has recently completed the Participant Interim Questionnaire.

Phase III - Expectations

The individualized BHC Recovery Plan will include the same kinds of elements outlined in Phase II with the addition of possible employment and/or education goals. The participant is expected to demonstrate a higher level of proficiency at meeting specifically identified, measurable goals, including the skills learned in the earlier stages of the BHC Program. This will include compliance with prescribed medication requirements as well as the participant remaining clean and sober (i.e., free from the use of alcohol and illegal controlled substances, as specified in the Recovery Plan).

Graduation Requirements

Participant has adhered to the specific goals of his/her individualized Phase III BHC Recovery Plan for at least four consecutive months, including:

- Has attended all required court sessions
- Has complied with terms of probation
- Has shown appropriate progress in reaching mental health goals
- Has shown an ability to remain clean and sober
- Has demonstrated a significant effort to make payments towards direct-victim restitution
- Has performed all community service hours as required, if previously ordered
- Has independently chosen to participate in their medication regimen as ordered by a psychiatrist/physician
- Has resolved, or is actively working on resolving, outstanding matters involving the criminal justice system
- Has completed a Relapse Prevention Plan or Exit Plan, which recognizes triggers for old patterns of negative behavior and thinking, and improved ways of addressing them
- Has demonstrated an understanding of the necessity to maintain a stable plan for the provision of food, clothing, and shelter

Phase IV - Aftercare

Aftercare is recognized as a critical part of success once an individual has left the supervision of the BHC. Aftercare will last a period of 4 to 6 months and during this time the participant will meet with their PSC and Probation Officer a minimum of 1 time per month and participate in aftercare services. The BHC Team will facilitate links with public and community-based sources of assistance for aftercare.

Incentives for Successful Progress

Incentives will be tailored to each participant and reflect their changing needs as they progress through the program. Incentives may include:

- ❖ Restoration of lost privileges
- ❖ Vouchers, passes and/or gift certificates
- ❖ Assistance with housing, job training, employment and transportation.
- ❖ Graduation certificates and other tokens of success
- ❖ Possible reduction of fine
- ❖ Possible reduction of charges
- ❖ Possible dismissal of charges under the terms of Penal Code §1203.4, §1203.4a and §1203.41

Sanctions

Sanctions should only be imposed after careful consideration of the participant's capacity to understand consequences. They should be considered as part of the BHC Plan. They may include:

- ❖ Reprimands from the Judge
- ❖ Increased frequency of meetings with BHC Team members
- ❖ More frequent court appearances
- ❖ Community service
- ❖ GPS monitoring
- ❖ Writing an essay
- ❖ Imposition of curfew
- ❖ Flash Incarceration
- ❖ Incarceration
- ❖ Termination from program

BHC Operating Policies

Systems Cooperation and Conflict Resolution

Consensus through dialogue will be the primary means for achieving systems cooperation. The BHC Team will address disagreements regarding Recovery Plans. All significant policy issues will be brought before the BHC Steering Committee for resolution.

Violations of Supervision and New Law Violations

Violations of supervision will be handled by the BHC. Participant may be arraigned on new charges during the BHC calendar. A new offense may disqualify a participant from continuing in the BHC. A determination will be made and presented to the BHC Team. The individual will be re-evaluated for both eligibility and suitability to continue. A decision will be made regarding return of the matter to the originating home court for further proceedings.

Participant Termination

A BHC participant may be terminated from the program for:

- Refusing to meaningfully participate in his/her Recovery Plan
- Failing to make meaningful progress
- Repeated willful violations of the program
- Committing a new crime
- Absconding for an extended period of time

Ex-Parte Communication with the Court

If a BHC participant is charged with a new offense, it will not be discussed with the BHC Judge unless the Deputy District Attorney and the Defense Attorney assigned to the BHC are present. Pre-court conferencing may be requested for these discussions. All members of the BHC Team may communicate with each other and/or the court via E-mail, provided that all members are included in the communication. All confidentiality regulations concerning protected healthcare information must be followed.

Pre-Court Meeting

The BHC Judge, HHSA/ASMH staff, representatives of the District Attorney's Office, Probation Department, Public Defender's Office, and other appropriate staff, will meet prior to each BHC session and at other times as necessary to discuss each participant's progress report. Recommended sanctions and incentives will be considered.

Status Hearings

BHC will be held every week or as otherwise determined. The frequency of court appearances for each individual participant will be determined on a case-by-case basis. Return dates will be discussed during the team meeting.

Court-Ordered Fines, Fees, Assessments and Restitution

All BHC participant's fines, fees and assessments will be stayed during the pendency of participation. BHC participants must make reasonable efforts to pay direct-victim restitution. The BHC team will work with the participant to facilitate the payment of restitution.

Steering Committee

The BHC Steering Committee shall meet quarterly, or more often as required, for the purposes of:

- Developing and modifying policy so that a full continuum of services is integrated with justice system processing.
- Reviewing program costs and directing action on new sources of funding.
- Supporting the BHC Team by providing strategic guidance and resources.
- Coordinating responses to identified problems and needs.

BHC Medical Policies

General

It is the policy of the Shasta County BHC that use of prescription medications must occur under a psychiatrist/physician's supervision and according to their direction.

The PSC or another member of the BHC Team must verify absences from the program due to illness.

Appropriate referral to private psychiatrists/physicians providing care to BHC participants is to be identified when a participant is approaching the completion of their Recovery Plan. Necessary releases of information are to be on file with Shasta County HHSA/ASMH and Shasta County Probation. A copy of Authorization to Use or Disclose Protected Health Information is attached to these Policies and Procedures, or it may be accessed via the Internet at:

http://www.co.shasta.ca.us/index/hhsa_index/mental_wellness/Mental_health_forms.aspx

Use of Medication

The BHC understands that most participants will be taking psychiatric medication. Participants taking psychiatric medication must do so only under the direction and supervision of a psychiatrist/physician. Medications being taken by a BHC participant are to be on file with the probation officer and Shasta County Behavioral Health.

Participants must sign a *Consent to Release Information* form giving the BHC Team permission to consult with the participant's psychiatrist/physician regarding medication use.

Absence from Program due to Illness

The PSC or another member of the BHC Team must verify illness of a participant. If a participant is ill enough to miss counseling sessions, s/he may be required to make an appointment with a health care provider for an examination.

If a psychiatrist/physician instructs the participant to remain at home, the participant must provide a signed note indicating the amount of time the participant is being required to be absent from program activities.

Regular medical appointments not of an emergency nature are to be scheduled at a time other than those during which BHC activities are scheduled.

Welfare Checks

Welfare checks may be requested by any BHC Team member. The PSC will maintain a record of welfare checks. Outcomes of welfare checks will be reported to the BHC Team during a pre-court meeting or sooner, if necessary.

SHASTA COUNTY SUPERIOR COURT

BHC PROTOCOL

The BHC calendar of the Shasta County Superior Court will adjudicate the following cases.

I. Defendants Qualified for Participation in the BHC

- A. A defendant is suitable for referral to the BHC for disposition if he or she is charged with a qualifying offense and it appears that the ~~significant contributing factor in his/her involvement with the criminal justice system is a behavioral health illness.~~

The following offenses are *presumptively* ineligible for disposition in the program unless the defense, prosecution, probation and the court agree that the particular case is suitable for such disposition:

Any felony which demonstrates that the defendant presents a substantial risk to the health and safety of others.

Any "serious" felony under P.C. §1192.7(c) or "violent" felony under P.C. §667.5(c).

Any crime subject to the Three Strikes sentencing law in which defendant is charged with one or more prior "serious" or "violent" convictions.

- C. The following court appearances shall also be calendared:
1. J&S appearance in the BHC.
 2. J&S appearance in the Home Court. (If the BHC accepts the applicant, then this date will be vacated by the BHC.)
- D. The applicant's attorney shall complete the BHC form at the time of referral and provide copies to: the applicant, District Attorney, Public Defender and Probation.
- E. The final determination of acceptance shall be made by the BHC Judge.
- F. When the applicant is referred to the BHC, the application shall be reviewed for eligibility. If the applicant is excluded, s/he shall be referred back to the referring home court.

III. Competency to Stand Trial (P.C. §§ 1368, *Et Seq.*)

Will not be referred to BHC.

IV. NGI Proceedings (P.C. §§ 1026, *Et Seq.*)

Will not be referred to BHC.

BHC Team Member Responsibilities

BHC Judge

- Presides over court sessions and maintains a therapeutic relationship with the participant
- Orders terms and conditions of supervision, including the Participation Contract and Recovery Plan
- Participates in BHC Steering Committee and BHC Team meetings
- Acts as a spokesperson to community and peers
- Provides and participates in cross training for BHC Team members and their staffs to assure mutual understanding of court proceedings and requirements
- Assists with data collection

District Attorney

- Familiarizes staff within the District Attorney's Office regarding the goals, policies and procedures of the BHC
- Participates in BHC Steering Committee
- Identifies offenders with behavioral health illnesses who may benefit from BHC
- Reviews criminal case filings to determine need for formal prosecution or eligibility for the BHC; refers cases to the BHC on a case-by-case basis
- Participates in adjudication and dispositional hearings
- Attends pre-court meetings of the Team and other relevant meetings
- Provides and participates in cross training for BHC Team members and their staffs to assure mutual understanding of prosecution proceedings and requirements
- Participates in data collection

Public Defender

- Familiarizes staff within the Public Defender's Office regarding the goals, policies and procedures of the BHC
- Participates in BHC Steering Committee
- Identifies offenders with behavioral health illnesses who may benefit from BHC and advocates on their behalf to participate in this program
- Participates in adjudication and dispositional hearings
- Attend pre-court meetings of the Team and other relevant meetings
- Provides and participates in cross training for BHC Team members and their staffs to assure mutual understanding of defense proceedings and requirements
- Participates in data collection

Shasta County Sheriff

- Familiarizes staff within the Sheriff's Office, especially the Corrections Division, with the goals, policies and procedures of the BHC
- Screens jail bookings to determine if persons have a behavioral health illness for evaluation by the BHC Team
- Assures the involvement of the jail medical services provider (currently the California Forensic Medical Group) who will be notified by the jail booking officer when a person

- exhibits a behavioral health illness
- Assures that jail medical staff notify the BHC Personal Services Coordinator and the Defense Attorney when a BHC participant is exhibiting a behavioral health illness while incarcerated
- Facilitates HHSA/ASMH for incarcerated defendants who are under the supervision of BHC, including court-ordered sanctions
- Attends BHC Steering Committee meetings when necessary
- Provides and participates in cross training for BHC Team members and their staff to assure mutual understanding of arrest and detention proceedings and requirements
- Provides medication supervision for inmates referred to the BHC.
- Provides HHSA/ASMH services for incarcerated defendants who are under the supervision of BHC, including court-ordered sanctions
- Participates in data collection

Health and Human Services – Adult Services Mental Health

- Serves as the lead agency for providing services for the BHC
- Familiarizes staff within HHSA/ASMH and contract providers with the goals, policies and procedures of the BHC
- Provides staff/contractors providers to serve on the BHC Team, including a Patient's Rights Advocate to participate in relevant meetings
- Consults regularly with the jail medical provider regarding offenders with behavioral health illnesses
- Offers consultation with regard to BHC Recovery Plans
- Provides or arranges for HHSA/ASMH services, including medication.
- Works cooperatively with the jail medical provider to advise/coordinate mental health services (medications), for incarcerated participants who are under the supervision of BHC, including court-ordered sanctions
- Attends pre-court and other relevant meetings
- Identifies potential referrals to the BHC
- Provides and participates in cross training for BHC Team members and their staff to assure mutual understanding of behavioral health illnesses, agency services and procedures and requirements for intervening with persons with behavioral health illnesses
- Participates in BHC Steering Committee
- Participates in data collection

HHSA/ASMH (including contractors)

- Evaluates potential participants for program appropriateness
- Determines appropriate services to be provided to meet participant's needs
- Prepares and monitors individual BHC Recovery Plans for every participant under the supervision of the BHC, in conjunction with probation.
- Consults with other BHC Team members, participant's family and support network, as appropriate, regarding participant progress
- Maintains current records of participant progress
- Attends pre-court meetings and presents reports of participant's progress to the BHC
- Attends other relevant meetings as necessary
- HHSA/ASMH PSC provides linkages and referrals for ancillary community resources as needed

- Attends BHC Steering Committee meetings, as necessary
- Participates in data collection

Probation Department

- Familiarizes staff within the Probation Department regarding the goals, policies and procedures of the BHC
- Carries out orders of the court with regard to detention and other Probation Department functions; may perform drug tests
- Prepares pre-sentence reports and assessments to assist in evaluating potential participant suitability
- Assist in evaluation and preparation of suitability report with PSC.
- Prepares and monitors individual BHC Recovery Plans for every participant under the supervision of the BHC, in conjunction with the PSC.
- Attends pre-court and other relevant meetings
- Attends each session of the BHC court.
- Provides and participates in cross training for the BHC Team members and their staff to assure mutual understanding of department procedures and requirements
- Participates in Steering Committee Meeting
- Participates in data collection

**Shasta County
BHC**

Forms

1. Shasta County BHC Guidelines for Participants
2. Agreement to Participate in BHC
3. Authorization to Use and Disclose Confidential Information
4. Participant Status Report
5. Participant Exit Review
6. Participant Interim Questionnaire
7. Participant Exit Questionnaire
8. Authorization to Use or Disclose Protected Health Information

Shasta County Behavioral Health Court (BHC) Guidelines for Participants

Welcome to the Shasta County BHC. The purpose of this collaborative court is to provide the skills and resources to support you in managing your behavioral health illness and remaining out of the criminal justice system. This information is designed to answer your questions about the BHC program.

BHC is a choice that you make. It is a court-supervised, comprehensive treatment program for adult offenders who have a behavioral health illness, and who may also abuse drugs or alcohol. The BHC is a partnership with the Shasta County Health and Human Services Agency (HHS), the Shasta County Probation Department, Public Defender, District Attorney and local law enforcement agencies.

Eligibility

BHC is a voluntary program, which lasts a minimum of one year. Eligible participants are at least 18 years of age, are a resident of Shasta County or intend to remain in Shasta County for the length of the period they will be participating in the BHC, and must:

- Be qualified for treatment under the terms of the Shasta County BHC Protocol, which excludes individuals with a history of serious, violent, or "Three-Strikes" crimes
- Be suitable for and indicate both the a desire and willingness to participate in treatment
- Be eligible for probation
- Be able to understand the consequences of the legal proceedings and the agreement to participate in the BHC
- Have been diagnosed with a persistent serious mental illness (SMI) as described in the current version of the Diagnostic Statistical Manual

The BHC Program

If you choose to participate in BHC and are accepted, you will meet with both a clinician and PSC from HHS who will explain the program and prepare a Treatment Plan with you. The Plan becomes part of your probation orders. You will go before the judge for sentencing.

Your confidentiality will be protected while you are in the program. You will, however, be asked to sign a statement releasing information to the BHC Team. This is so the Team can know how you're doing in the program. Your records cannot otherwise be disclosed without your written consent.

Examples of what you will be expected to do in the program are as follows:

- Appear in Court
- Stay on your prescribed medications/Following your Treatment Plan
- Participate actively in all treatment activities
- Abstain from alcohol or illegal drugs (you may be drug tested)
- Not participate in criminal activity
- Not violate your terms of supervision
- Attend individual and/or group counseling
- Meet regularly with the Personal Services Coordinator and Probation Officer
- Develop an aftercare plan
- Participate in an aftercare program upon graduation.

The Team will also help you with transportation, housing, taking classes or getting a job.

There are rewards for following the rules of the program. There are sanctions if you do not, including termination from BHC.

Termination

The following behaviors will cause you to be terminated from BHC:

- Refusing to participate in your Treatment Plan
- Repeated and intentional program violations
- Committing a serious new crime
- Unexcused and long-term absences from any part of the program

Graduation

| After a year, if you show the BHC that you have followed your Treatment Plan by:

- Attending court
- Attending counseling and therapy
- Using medications properly
- Not using alcohol or illegal drugs
- Obeying the law
- Creating a Plan that you will follow every day, and
- Maintaining a stable living arrangement,

then you will graduate from the program. The criminal charges that brought you into BHC originally will be dismissed from your record. However, if the case is dismissed, and you commit another crime in the future, or attempt to possess a firearm, the prior conviction may be alleged against you in future prosecutions. The BHC Team will continue to be available to assist you, should you need it.

Good Luck from the BHC Team!!

Superior Court of California, County of Shasta

<p>The People of the State of California <i>Plaintiff</i></p> <p>vs.</p> <hr style="width: 80%; margin-left: auto; margin-right: 0;"/> <p style="text-align: right;"><i>Defendant</i></p>	<p>Case No. _____</p> <p style="text-align: center;">Agreement to Participate in BHC</p>
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I agree to the following as conditions for participating and remaining in BHC: I understand that all participants in the BHC are agreeing to help me help myself. I know that by participating in BHC, I must agree to certain conditions, including:

1. I agree to sign any and all releases necessary to further my progress in the BHC Program. I also agree to sign releases which will allow the BHC to review my diagnostic and treatment information.
2. My participation in BHC will take at least one year. I agree to:
 - ◆ participate actively in all aspects of my individual Recovery Plan, such as individual or group therapy/counseling sessions, education, rehabilitation, etc.
 - ◆ attend all court sessions
 - ◆ submit to random alcohol and/or drug tests, if part of my individual Recovery Plan
 - ◆ cooperate fully with the Shasta County Health and Human Services Agency personnel and other members of the BHC Team
 - ◆ comply with all rules of the agencies involved in BHC
3. I understand that if I do not comply with the requirements described in Numbers 2 of this Agreement, I will be subjected to sanctions imposed by the Court.
4. I understand the people and agencies in this program will discuss my progress, or lack of progress, throughout the program as part of my ongoing evaluation and participation.
5. I understand that commission of a serious new crime, repeated willful violations or repeated non-compliant events may result in my dismissal from the BHC.
6. I understand that the BHC Judge has discretion to dismiss me from the BHC program at any time upon finding that I have not been honest and truthful with the Court.

I have read this Agreement and received a copy of it. I understand there are penalties for violating this Agreement. After consultation with my attorney, I hereby sign the Agreement to participate in BHC and to work with the BHC Team while I am in the program.

When I successfully complete the term of BHC, I am advised that the charge(s) against me may be dismissed, under the terms of Penal Code §1203.4, §1203.4a, or §1203.41.

Date: _____

Participant (print)

Signature of Participant

Signature of Participant's Attorney

We, the undersigned members of the BHC Team, agree to work with the participant to develop and monitor a Recovery Plan and to support the participant in managing his/her illness and remaining out of further involvement with the criminal justice system.

Health and Human Services Agency – Adult Services Mental Health

District Attorney

Defense Attorney

Probation

SHASTA COUNTY BHC

AUTHORIZATION TO USE AND DISCLOSE CONFIDENTIAL INFORMATION

I, _____ Case No. _____

authorize the Shasta County BHC, which consists of the following departments and organizations:

- Shasta County Superior Court
- Health and Human Services Agency (HHSA)
- Probation Department
- District Attorney
- Defense Counsel
- Public Defender
- County Counsel
- Sheriff's Department, Redding P.D., Anderson P.D., and/or Shasta County Marshal
- Behavioral Interventions (BI)
- Other _____

to use and disclose to each other information relative to my psychiatric diagnosis and treatment, probation terms, response to provided services, recommendations concerning my individual Recovery Plan, and other information relevant to my progress in BHC.

The purpose of the disclosure authorized herein is to determine adherence to the Shasta County BHC program as well as to prepare for the most beneficial services to insure the success of each participant.

I also consent to have my court hearings heard in the presence of all other BHC participants and candidates.

I understand that my records are protected under the federal regulations governing Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, and cannot be disclosed without my written consent unless otherwise provided for in the regulations. I also understand that I may revoke this consent at any time except to the extent that action has been taken in the reliance on it, and that in any event this consent expires automatically six months following the discharge from the Shasta County BHC program.

Date: _____

Signature of Participant

Signature of Authorized
Representative, when required

ADULT EPICS BUSINESS RULES

EFFECTIVE PRACTICES IN COMMUNITY SUPERVISION-EPICS

Shasta County Adult Probation uses the structured supervision model Effective Practices in Community Supervision (EPICS). EPICS structures supervision interactions to focus on criminogenic need factors and criminal thinking by teaching new behaviors, reinforcing socially acceptable behavior, and responding appropriately to socially unacceptable behavior. These interactions of problem-solving approaches and cognitive behavioral interventions are utilized to improve supervision outcomes. Shasta County Adult Probation will use the EPICS model in instances where the offender is on supervision, determined to be High Risk to reoffend pursuant to the assessment tool and meets the expectations listed below.

EXPECTATIONS:

EPICS will be conducted by supervision staff working with High Risk offenders who have been determined to be in Tier 2 or Tier 3 status.

It is expected meetings with offenders will follow the EPICS model interview process. High Risk offenders, who are Tier 2 or Tier 3, will be expected to have one EPICS session a month. EPICS is not expected to be conducted during the investigations process, on any offender who is on a barked caseload, or any offender who is Tier 1 or Tier 4.

For those who have participated in the training, you are expected to finish the training requirements which includes submitting five taped sessions and attending the five booster training sessions. If after completion of these requirements, you are interested in practicing the skill, staff can voluntarily work with an offender to practice the skill. Practice of these skills is very important.

IMPLEMENTATION PLAN:

All trained staff are required to submit five taped sessions (one per month) throughout the first six months after the initial three-day training. Immediately after the three-day training, all trained staff should begin practicing the skills learned preparing for the first audio taped session. The first submission is due within two (2) months. Each of the first 5 tapes will be reviewed by UCCI staff for the use by probation staff of the EPICS model. Written feedback on these sessions will be given to the coaches. The coaches will review the information with each staff individually. Staff are expected to submit one recording per month. Within eight months, all trained staff will have submitted five tapes. Upon conclusion of the coaching sessions, staff will increase dosage and be expected to ensure one session per month is conducted on all high-risk offenders who are Tier 2 or Tier 3. Staff performance will be evaluated on a monthly basis; this will include a review of caseload tiers. The coding process will measure a staff's skill and adherence to the EPICS model, as well as provide the opportunity to receive feedback from a coach. Staff performance will also be evaluated by a review of sessions conducted by staff

utilizing entries into the case management system. When coaches code sessions after the first 5 tapes, they will provide feedback to staff within 5 business days of the submission.

Ideas of getting sessions completed:

1. Plan contacts early and often. Do not procrastinate. Don't put yourself in a bad situation by putting all your sessions off until the last week of the month. This strategy will not work.
2. Get support from your coach. Request constructive feedback and work with them to become more confident in your EPICS skills. Attend all the required Booster Trainings
3. Talk with your peers. Speak with an staff who you believe is organized and see how they are approaching getting the sessions completed.
4. Regularly performing EPICS will build your skill level, increase confidence in your ability, and increase your comfort level with using the EPICS model.
5. Have a positive attitude. This will assist you in making the most of the EPICS interactions with your offenders.

Proficient Use of EPICS:

The goal is for staff to adhere to the EPICS model, demonstrate proficiency in the use of the model, and consistently conduct EPICS sessions with eligible offenders. If a staff is able to meet all three standards, their need for submitting a recorded EPICS session will be reduced to quarterly basis. Staff are eligible for this reduction if the following have occurred:

1. Complete initial three-day training
2. Complete the five month follow up training along with submitting monthly recordings due no later than the last working day of each month.
3. Regularly attend the monthly internal booster sessions.
4. Complete six months of post-training coding and feedback with a department coach (this occurs after the initial 5 months of training period).
5. After completing 6 months of post-training coding, after the initial 5 months of training period, with a general score of satisfactory as determined by the internal coaches and there are no scores of "M" in the General Ratings section.
6. Recordings shall be deleted after scoring the coaching session has been completed.
7. Monthly EPICS data review indicates officer regularly conducts EPICS sessions with eligible offenders.
8. The respective Division Director, SPO, and coach will consult to make a final determination if the staff meets criteria for submitting recorded tapes on a quarterly basis. Once this determination is made, the DD will notify the analyst for accurate record keeping.
9. If an officer is submitting recordings on a quarterly basis and they have two consecutive coding feedbacks that have a rating of "Needs Improvement" or a "Needs

Improvement” in the General Ratings section, the officer will return to submitting monthly tapes. The SPO will inform the DD and the analyst. If an officer returns to monthly submissions, they will need to meet the criteria in steps 4, 5, and 7 before returning to quarterly submissions.

PROCEDURES:

Who, When, How Often, What Documentation:

- Supervision officers are to conduct one EPICS session a month with eligible offenders.
- Staff must enter the event code EPC (EPICS Session) in the case management system to track the EPICS sessions. This will also serve as the case note for the session. Remind yourself in the case note what intervention and homework you used.
- Investigations officers and probation assistants who are trained, are to conduct one EPICS session per month with an offender of their choice during the first five months after the initial training.

To Begin: Relationship Building and Role Clarification:

- Staff should build a collaborative relationship, showing you care, you are reliable, consistent and are there to help.
- Role clarification is important to understand the role of the probation staff as a dual role: helper role and accountability role.
- Discuss the flexible and inflexible areas, what is negotiable and what is not.
- What are the offender’s expectations? What he or she expects of staff, previous experiences, and what should they expect while on supervision.
- Role clarification should occur during initial meeting, but continue throughout sessions as necessary.

Goal Setting:

- Effective goals are linked to risk/need assessment results and are clearly outlined, realistic and achievable, but chosen by the offender.
- Set goals, both short and long term and discuss the difference between the two. Discuss potential barriers to achieving their goals. Discuss what steps they can take to achieve those goals. Provide feedback on goal progress.
- Check in with those goals at every EPICS session.

Staff should use the following throughout the EPICS Session:

- Effective Reinforcement: Reinforce Pro-Social Behavior-acknowledge when offender did something expected/well (tell them you liked what they did/said specifically, emphasize behavior being reinforced), positive comment about progress/behavior reinforcement

- Effective Disapproval: Disapprove of antisocial behavior unacceptable, give reasons why, discuss and identify pro-social alternative, and how the anti-social behavior is inhibiting them from reaching their goals
- Effective Use of Authority: Focus on behavior-if offender reports breaking law/probation. Keep calm voice throughout. Specify choices/consequences-identify options for future behavior and specify consequences for specific behaviors.

EPICS Session Overview-Each session should be structured in the following way:

1. Check in
2. Review
3. Intervention
4. Homework

1. *Check in:* Enhances relationship and builds rapport-respectful. Assess for crisis/acute needs-significant changes? Anything on their mind? Compliance with conditions-probation/change of address etc.

2. *Review:* Short/long Term Goals- illicit personal goals, progress towards completion, barriers.

Repetition and Feedback-review and practice previous intervention

Community Agency Referrals-treatment group barriers, what are they learning?

Review Homework-ask the offender to report and submit homework, clarify, give feedback

3. *Intervention:* Behavior Chain, Cost Benefit Analysis, Skills/Problem Solving

4. *Homework:* Graduated Rehearsal-practice the skill, assign homework, assign specific tasks regarding new skill or Generalize Learning-how else could you use this? Anytime in past? Other situations?

Assign Homework-target criminogenic need or criminal behavior, link thought to behavior

Please refer to the EPICS training binder for more information.

Effective Practices in Community Supervision (EPICS)

Roles and Responsibilities of Internal Coaches

The role of the internal coach is designed to empower sites to ensure model fidelity and develop quality assurance processes. During the EPICS coaching process, UCCI fulfills this role. The goal is to slowly transfer the role of coach from UCCI to the site as coaching sessions progress.

- Internal coaches need to become competent and comfortable with the model. This means that they need to practice and record sessions with clients just as the other staff are required to do.
 - o Internal coaches should submit a total of five audios. If internal coaches do not carry a caseload, it is acceptable to “borrow” clients from other staff to complete the audio recording assignments. Support is also available from UCCI to help determine the best approach for internal coaches to submit audios.
- Conference calls with UCCI staff occur before each video coaching session. Internal coaches participate in these sessions and help plan coaching sessions.
 - o There are five video conferences, with five corresponding conference calls.
 - o Internal coaches will start co-facilitating sections of the video conferences with the UCCI coach. Conference calls are used as practice opportunities for presenting the information to be shared in the video coaching session.
 - o Conference calls are also used as a time to train internal coaches on the process of listening and coding audio recordings of contact sessions. Starting with session two, internal coaches will be assigned one example audio to review and code for the next conference call.
- Internal coaches provide ongoing feedback and coaching to other staff.
 - o Based on the UCCI audio feedback forms, internal coaches meet with staff individually and/or in small groups to discuss staff skill development. Internal coaches are encouraged to listen to the audio so that he or she can provide additional comments or clarify feedback.
 - o Internal coaches are also responsible for monitoring morale of staff and providing support as needed.

INTERSTATE COMPACT ELIGIBILITY GUIDE

At the discretion of the Sending State, an offender shall be eligible for transfer of supervision to a receiving state under the compact, and the receiving state shall accept transfer, if the offender:

- has 3 months or more remaining on supervision; AND
- is in **substantial compliance** in the Sending State; AND
- is a **resident** of the Receiving State OR has **resident family** in the Receiving State willing and able to assist OR the offender is an active military member who has been deployed to another state OR is a veteran eligible and referred by the Veteran's Health Administration to another state for medical and/or mental health services; OR is an offender who will live with an active military family member who has been deployed to another state OR is an offender who will live with a family member who has been transferred to another state by their fulltime employer as a condition of maintaining employment; OR the offender is transferred to another state by their fulltime employer as a condition of maintaining employment AND
- has a valid plan of supervision in the Receiving State with a visible means of support (employment, family support, SSD/SSI, Workman's Compensation, etc.); AND
- the transferring offense was a conviction for a felony, **eligible misdemeanor** or eligible **deferred sentence**; AND
- is required to report or be monitored by the supervising authorities OR has any condition (other than monetary), qualification, special condition or requirement imposed. (*Offenders sentenced to non-reporting/unsupervised terms of probation with special or standard conditions will still need to be transferred through the Compact.*)

Requests that do not meet the above criteria are considered discretionary and can still be submitted; however, they must be accompanied by compelling reasons and documentation as to the merit of the transfer. The receiving state shall have the discretion to accept or reject the transfer of supervision in a manner consistent with the purpose of the Compact.

Substantial Compliance means that an offender is sufficiently in compliance with the terms and conditions of his or her supervision so as not to result in initiation of revocation of supervision proceedings by the sending state.

Resident means a person who-

- 1.) has continuously inhabited a state for at least one year prior to the commission of the offense for which the offender is under supervision; and
- 2.) that such state shall be the person's principal place of residence; and
- 3.) has not, unless incarcerated or on active military deployment, remained in another state or states for a continuous period of six months or more with the intent to establish a new principal place of residence.

Resident Family means a parent, grandparent, aunt, uncle, adult child, adult sibling, spouse, legal guardian, or step-parent who-

- 1.) has resided in the Receiving State for 180 calendar days or longer as of the date of the transfer request; and
- 2.) indicates willingness and ability to assist the offender as specified in the plan of supervision.

Eligible Misdemeanor means a misdemeanor offense in which the offender received a sentence of one year or more of supervision AND the instant offense includes one or more of the following:

- 1.) an offense in which a person has incurred direct or threatened physical or psychological harm;
- 2.) an offense that involves the use or possession of a firearm;
- 3.) a second or subsequent misdemeanor conviction of driving while impaired by drugs or alcohol;
- 4.) a sexual offense that requires that an offender register as a sex offender in the Sending State.

Deferred Sentence: Offenders subject to deferred sentences are eligible for transfer of supervision under the same eligibility requirements, terms and conditions applicable to all other offenders under this compact. Persons subject to supervision pursuant to a pre-trial release program, bail or similar program are not eligible for transfer under the terms and conditions of this compact.



Interstate Commission for Adult Offender Supervision

(Revised 03/1/16)

ELIGIBILITY WORKSHEET

For definitions, refer to the Eligibility Guide beginning on Page 1

Offender Name:

Date of Birth:

CASE ELIGIBILITY

- 1.) Offender has 3 months or more remaining on supervision? Yes No
- 2.) Offender is in Substantial Compliance? Yes No
- 3.) Offense is a felony, eligible misdemeanor or eligible deferred sentence? Yes No
- 4.) Does the offender appear to have a valid plan of supervision? Yes No

If the answers to 1 through 4 are all yes, continue.

REPORTING INSTRUCTIONS ELIGIBILITY

Date of sentence:

Address at time of sentencing:

City:

State:

Zip:

5.) Is the offender a sex offender* per Compact definition? Yes No

6.) Offender living in the receiving state on the date of sentencing? Yes No

If the answer to #6 is yes and the answer to #5 is no, the offender is entitled to reporting instructions & a 7 day travel permit. If the answers to both #5 and #6 are yes, the offender must remain in the sending state until the receiving state provides their decision.

7.) Offender deployed by the military to another state? Yes No

8.) Offender is a veteran eligible and referred to another state to receive medical and/or mental health services by the Veteran's Health Administration? Yes No

9.) Offender's family member with whom he or she resides with in the sending state and will reside with in the receiving state deployed by the military? Yes No

10.) Offender's family member with whom he or she resides with in the sending state and will reside with in the receiving state transferred by their full time employer as a condition of maintaining employment? Yes No

11.) Offender transferred by their full time employer as a condition of maintaining employment? Yes No

If the answer to #7, #8 #9 #10 or #11 is yes, the offender is entitled to reporting instructions. The offender must remain in the sending state until the reporting instructions are issued by the receiving state.

12.) #6-#11 are "No" but emergency circumstances exist in which the offender should be allowed to go to the receiving state prior to the acceptance of a transfer request? Yes No

If the answer to #12 is yes, Explain and provide documentation:

The offender is entitled to reporting instructions IF the receiving state agrees that an emergency circumstance exists. The offender must remain in the sending state until the reporting instructions are issued by the receiving state.

NO SEX OFFENDERS PER COMPACT DEFINITION ARE ENTITLED TO PROCEED TO THE RECEIVING STATE UNTIL REPORTING INSTRUCTIONS ARE ISSUED OR THE RECEIVING STATE INVESTIGATES & ACCEPTS THE CASE. ALL OTHER OFFENDERS NOT LIVING IN THE RECEIVING STATE AT THE TIME OF SENTENCING MUST REMAIN IN SENDING STATE UNTIL REPORTING INSTRUCTIONS ARE ISSUED OR THE RECEIVING STATE INVESTIGATES & ACCEPTS THE CASE.

**Sex offender means an adult placed under, or made subject to supervision as the result of the commission of a criminal offense and released to the community under the jurisdiction of courts, paroling authorities, corrections, or other criminal justice agencies, and who is required to register as a sex offender either in the sending or receiving state and who is required to request transfer of supervision under the provisions of the Interstate Compact for Adult Offender Supervision.*

MANDATORY ACCEPTANCE CRITERIA

Transfer Request based on Residency:

Date of offense:	Address at time of offense:	City:	State:	Zip:
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List addresses beginning with the offender's present address going back one year prior to the commission of the offense. Account for periods of incarceration, military duty, long-term hospitalizations/treatment, etc.

From: (month/year)	To: (month/year)	City:	State:

12.) Resident per Compact definition? Yes No

If the answer to #12 is yes and the plan is investigated and found to be valid, the receiving state must accept.

Transfer Request based on Resident Family:

Name:	Relationship:	Address:	Relative's Length of time in RS:

13.) Is there resident family in the receiving state willing to assist? Yes No

14.) If yes, how are they willing and able to assist? Explain and provide documentation.

If # 13 is yes and the plan is investigated and found to be valid, the receiving state must accept this case.

ICOT Procedures on Completing a Packet ICOT OFFICER's part

Here are the instructions on how to complete an Interstate Outgoing Packet:

Once the packet is completed, organize it into sections

- 1) **Transfer Request** – check the reasons & make sure that if they are filing for Resident Family (#2), the support falls under that category. Resident Family: Spouse, adult sibling, adult child, aunt, uncle, grandparent. ****Any other relative such as girlfriend/boyfriend, fiancé, cousin, etc. must be filed as a discretionary transfer (#6).**
- 2) **Offender's application** – make sure the dates on the signatures match for the offender & the witness
- 3) **Notice of Conditions** – make sure they are signed & dated as well (I have never had them sent back to me if the dates do not match on offender signature and witness, but they should match just to be safe).
- 4) **Special Conditions**
- 5) **Police Report** – Make sure to split this section up into 7 page increments –ICOTS will not take anything larger than 7 page attachments.
- 6) **AOJ (Abstract of Judgement)**
- 7) **Registration 290** – If person is a sex offender
- 8) **611** – if offender is still incarcerated or has been incarcerated in the past 2 years.
- 9) **Miscellaneous** – Any letters of support, marriage certificates, proof of residence, etc. (Be sure to include any information available – the more details for the investigation, the better).

-Scan all of the documents separately into your computer & put into a new folder.

-Go onto your tracking system and save a picture for this offender into their folder as well. Now you are ready to begin their ICOTS transfer request.

-Log into ICOTS, go to the assistants tab, click the radial for transfer request, click the radial for an offender for whom no RFRI has been submitted by your state, choose the state in which the offender wishes to transfer from the drop box, for the question asking which state the offender is currently in, select the radial for sending state, click continue.

- Fill in the offender's information – for national origin, choose United States from drop box, you do not need the state ID section. Clicks continue.

-Verify that none of the offenders that pop up on the next screen are your current offender you are entering, next to the back button there will be a very small triangle, press that then a box will come up that states you are agreeing to enter a brand new offender – check that box then press add.

-On the next page make sure everything you have entered for that offender is correct, hit save & continue.

- Next page hit continue

The next page will bring you to the transfer request itself for this offender. You want to make sure you start all of the **blue** buttons all the way down. Once you complete them they turn green, you can still edit them if you made any mistakes.

First is offender's application:

Press start

Verify that you have the offender's application – click the radial for "yes"

Browse – find the offender's folder and attach the application

Press add

Click save & continue

Second is departure date and reason for transfer:

Press start

Intended departure date is 45 days from current date

Click radial for appropriate reason and fill out all necessary information

Save & continue

Third is transfer justification:

Press start

Fill out details (Make sure you explain in full detail why offender wants to transfer to receiving state)

Save & continue

Fourth is receiving state Residence:

Press start

Fill out all fields with red dots next to them

Click save & Continue

Fifth is receiving state employment/means of support:

Press start

Means of support will be the same explanation as justification

Click Continue

Sixth is Instant Offense Details:

Press start

Click radial for parole or probation

Fill in all fields with a red dot next to them

Click Add Case

Select the radial for the case you just added

Add in the offense

Fill in all fields with red dot next to them

Press add offense

Browse to find offender's file

Add ALL POR files & AOJ here

Attach one at a time and enter a description for each

Press add

Click Save & Continue

Seventh is Institutional History:

Press start

This portion will ask you if the offender is currently incarcerated or has been incarcerated in the last 2 years

Select the radial for the appropriate answer

If yes – fill in fields with red dots next to them

Press submit

Then attach the 611 for this offender

Press add

Click save & continue

Eighth is contact restrictions:

Press start

Select no

Save & Continue

Ninth is Protective Orders:

Press start

Select no

Save & Continue

Tenth is Sex Offender Registry:

Press start

Select proper radial

Click Submit

IF this person is a registered sex offender you will be given the option to attach an item – browse to the offender’s file and add their 290

Click add

IF offender is not a registered sex offender no attachment portion will pop up simply click submit, then

Save & Continue

Eleventh is Victim Sensitive:

Press start

Select no

Save & Continue

Twelfth is Pre-Sentence Investigation Report:

Press start

Select no

Save & Continue

Thirteenth is Supervision History:

Press start

Select radial “yes”

Attach one by one items :

-1502 (Activity report)

-Any letters of support

-Zero balance Restitution from Victim Services

-Any other Misc. information needed for the packet

Add each item in

Click save & Continue

Fourteenth is Financial Obligations:

Press start

Select “no”

Click save & Continue

Fifteenth is Conditions of Supervision:

Press start

For the condition choose “other” from the drop box

Browse for offenders file and select their notice of conditions

Click add

IF there are special conditions: choose “special” from the drop box

Browse for offenders file and select their special conditions

Click add

Click save & continue

Sixteenth is Offender photographs:

Press start
Press browse to find the offenders file and choose their photo
Under description type "photo"
Click add
Click save & continue

Once all the fields have been completed and are green, click submit.

LAST

Do not forget once you submit the transfer request, go back into action items and render the transfer request to the receiving state.

The receiving state now has **45** days to reply to the request.

ANTHONY QUINTANA
PAROLE AGENT I
INTERSTATE COMPACT UNIT
916-255-2776

New offender orientation

Condition:

Attend and participate in an orientation as directed by the Probation Department.

Front desk:

New offenders will be given a personal history packet; an immediate needs form and the advisement form (without a date for orientation) for their respective supervision type. The offender will be asked to turn the forms in once they are completed. The location for orientation, either the main office or the CCC, will be marked by the clerk when the date is written on the form. The notice will instruct the offender to report no later than 0945 hours. The offender's officer will be contacted via instant message to establish an appointment within three days of the offender's orientation date. If the officer is not available to set an appointment one will be set for the offender to report to their officer within three business days. If the assigned officer will not be in the office during this time frame the offender will return to see the officer of the day within three business days.

When the offender turns in their packet, if no immediate needs are marked, the offender will be given an appointment date for the following day to report for orientation. If there are immediate needs that the offender has marked which include Housing, Mental Health or Medication support he/she will see the OD prior to leaving the building with their orientation date.

The date for orientation and the appropriate location will be marked on the form and a copy will be made and date stamped for the offender's file. Please make sure the offender has signed and printed their name legibly on the form. Orientation will be on Monday/Wednesday/Friday.

Dual Diversion defendants will not attend this orientation they will immediately see their officer or the OD. (usually FNRC disabled clients)

Clerk:

At 1600 each day the Front desk LPC will process the orientation list. This will include entering the General Terms and Conditions event (PRCS Event is CGC, Mandatory Supervision event is MGC and the formal Probation event is GCP) in each case and printing 2 copies of the form for each offender (make sure all case numbers for the offender are on the document). Check the mug shot system, download the copy of the offender's mug shot into the JALAN file and print it to go with the packet. This will ensure we have the correct offender. If there is no mug shot in the system that should be indicated on the paperwork. A slip will be created for each offender with the name of their officer and their next appointment date, time and location. Offenderlink information will also be provided for each offender. These packets, along with the roster, will be placed in the orientation basket for the next orientation date.

If PSI is year or more do full history packet. If less than give short form history packet to fill out (2 pages)
Verify in Jalan.

When the officer returns the completed paperwork, the terms and conditions will be scanned into the offender's JALAN file and the hard copy will be filed in the offender's file. If an offender fails to appear for their orientation date, the FTA event will be entered in the case with the body count tickler. The FTA event will create a FT tickler that can be run by staff to monitor compliance with reporting. Once the paperwork has been processed, the paperwork will be given to the LPC who completes the case set-up.

Orientation:

Orientation will occur each business day at 1000 hours. It will last approximately one hour. The supervision unit(s) DPOs will have a rotating schedule regarding when they will cover orientation.

The PO conducting orientation will review general T&C and have each defendant sign one copy. The PO will conduct the following during orientation:

- Answer any questions by defendants
- Provide information about monthly reporting through the Offenderlink system
- Provide further registration information (as needed)
- Make a copy of the defendant's registration document (if they have it)
- Provide treatment information (as needed)
- Provide resource packet to offenders
- Provide each offender with an appointment date/time with their officer
- Ensure both the general release and Mental Health release of information are signed and sign as witness after defendant verifies it is their signature on the form.

When orientation is completed all documents are returned to the front desk LPC to process. The LPC will enter ACN and enter a case note indicating the defendant was present and the name of the PO who conducted the orientation.

The PO covering orientation should make note of resource questions asked and information provided. In time there will be a "tool kit" created with the various information commonly requested or handed out to the offenders.

The schedule for coverage of orientation will be added to the OD schedule.

Case note for no shows use FTA code.

Prop 63 Procedures

PC 29810(c)(1)-(c)2

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Overview:

- Court shall provide defendant with Prohibited Persons Relinquishment Form (DOJ BOF-1022) and inform of prohibition.
- Conviction-court notifies probation
- Defendant reports forthwith from court to probation to review and sign notice.
- Probation investigates through AFS and police report to see if it reveals defendant has a firearm
- Probation receives completed PPRF (the BOF 1022) from defendant
- Prior to disposition, sentencing probation reports to the court if defendant complied
- Probation sends Probation Officer Verification Form to DOJ (BOF 1026) ***only if all firearms are accounted for or when there is an issue with relinquishment (lost/stolen/in LE custody but not entered in AFS, out of state transfer). BOF 1026 does NOT get sent if a defendant has no firearms.***
- Prior to sentencing, court should receive the probation report. If necessary, to avoid delay of sentencing, court may make findings within 14 days of the sentencing ~~(from the probation report).~~
- If defendant fails to relinquish/or prove relinquishment, probation requests the court orders a search and seizure of the firearm(s).

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NOTICE

1. Out of Custody Defendants

- a. Defendant will check in at 1600 Court Street with PPRF in hand.
- b. Probation clerk will denote "P63" in "Reason for visit" column.
- c. Probation will have Firearms Notice Orientation M-F ~~0900-1530~~ 1000-0200

~~every half hour. (Orientation video available on H:Drive/Adult/Prop 63/Orientation Video.~~

d. Probation will copy the signed notice and return the copy to the defendant. (See appendix)

2. In custody

a. Every day, PO will check the P63 wheel. Those defendants in custody with no firearms registered to them will have a BOF 1022 sent to them via envelope/jail mail. Envelope should be to the attention of Watch Commander. The PO will see those defendants personally if they have firearms registered to them in order to review the BOF and 1022 and obtain signature.

REFERRAL

1. Receive referral from court through integrated case management system.

SCREEN

Procedure:

1. Daily, prior to 0900, run the P63 wheel.

a. From the JALAN main menu, select 4 Transfer Case From Court, press enter, type in P63, press enter, the names that appear need screened for Prop 63 action. These are the Court referrals for a relinquishment report.

2. Print Screen to file for daily record. Place in P63 basket to be scanned monthly into H:drive.

3. Create a case in JALAN for those defendants.

a. Initiate a File. . From the JALAN Master Menu, select #3 "Initiate a File" – press enter

i. File Type – AD, tab

- ii. Sub Type – 63 Type the defendant’s name, enter
 - b. If the defendant’s name does NOT appear on the list:
 - i. Press F10
 - ii. Enter all of the defendant’s information you have, press enter x3
 - iii. Referral Type – 63, tab
 - iv. Court Disposition – 019, tab x2
 - v. PO Num. – POP63, tab x3
 - vi. Court Case # - space 6 times, type P63, tab to Date Probation to Start line (if multiple, use first triggering violation with Felony offense as hierarchy.)
 - vii. Date Probation to Start – date of conviction
 - c. If the defendant’s name appears on the list:
 - i. Verify the correct name, birth date and social security number
 - ii. Select the correct person/file, press enter x2
 - Referral Type – 63, tab
 - Court Disposition – 019, tab x2
 - PO Num. – POP63, tab x3
 - Court Case # - space 6 times, type “P63,” tab to Date Probation to Start line
 - Date Probation to Start –date of conviction.

4. Enter Person Alerts:

- a. From offender File Master Update Screen Shift F3

- b. F10 to add new person alert
- c. Enter Start Date (date of conviction)
- d. Enter P63 in Alert Type-tab
- e. Enter ADF (felony) or ADM (misd) in Alert Xtra (if multiple, use first triggering violation with Felony offense as hierarchy. Matches case number used.)

5. Enter the following information in #10 "Update Person Record". This information must be entered at this stage even if we are not going to recommend them.

a. Defendant Information

- i. Full Name
- ii. DOB
- iii. AKA (Press enter after completing the 1st screen of the update, press F9 "Search/Add Alias Records" and press F10 to add the AKA starting with last name 1st.)

6. You can find the Defendant Information on the jail side of JALAN *(prior to 2/7/19, after 2/7/19, this information is obtained through spillman)*

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- a. From the Master Menu, select #20 "Go to User Menu" – enter
- b. Select #16 "Jail In-Custody Inquiry" – enter
- c. Type the defendant's name – press enter
- d. Enter "5" next to the correct name that has "Jail" under the "Sys" column and "Booking" under the "Type" column

4. Screen referral for appropriate action (*utilizing JCCP 11/07/17 Appendix 1 and Proposition 63 Reference Guide as entered into this procedure.*)

Appendix 1

- I. **Qualifying Offenses Under Penal Code Section 29800:**¹
- a. All felony convictions
 - b. Offenses listed in section 23515(a):
 - i. Section 245(a)(2), assault with a firearm (Misdemeanor [M]/Felony [F])
 - ii. Section 245(a)(3), assault with a machinegun (F)
 - iii. Section 245(d), assault with a firearm on a peace officer or firefighter (F)
 - c. Offense listed in section 23515(b): section 246, maliciously and willfully discharging a firearm at an inhabited dwelling house, occupied building, occupied motor vehicle, occupied aircraft, inhabited housecar, or inhabited camper (M/F)
 - d. Offenses listed in section 23515(d): section 417(c), brandishing a firearm in the immediate presence of a peace officer (M/F)
 - e. Having two or more convictions for a violation of section 417(a)(2), brandishing a firearm (M/F)
- II. **Qualifying Misdemeanor Offenses Under Penal Code Section 29805, except as provided in Section 29855 or 29800(a):**
- a. Section 71, threatening an officer or employee of an educational institution or any public officer or employee
 - b. Section 76, threatening a public official
 - c. Section 136.1, intimidating or threatening a witness
 - d. Section 136.5, intimidating or threatening a witness with a deadly weapon
 - e. Section 140, using force against or threatening to use force against a witness after testimony or information given
 - f. Section 148(d), intentionally taking or attempting to take a firearm from a peace/public officer
 - g. Section 148.5(f), giving a false report that a firearm has been stolen
 - h. Section 171b, bringing to or possessing a firearm, deadly weapon, or other specified items in a government building or open meeting
 - i. Section 171c(a)(1), bringing to or possessing a loaded firearm within the State Capitol, a legislative office, or the Governor's office
 - j. Section 171d, bringing to or possessing a loaded firearm within or on the grounds of the Governor's Mansion, Governor's residence, residence of a constitutional officer, or residence of a member of the Legislature
 - k. Section 186.28, knowingly supplying, selling, or giving possession or control of a firearm with actual knowledge that a person will use and does use the firearm to commit a specified felony while actively participating in a criminal street gang
 - l. Section 240, committing assault
 - m. Section 241, committing assault on a firefighter, peace officer, or other specified victim

¹ All citations are to the California Penal Code, unless otherwise stated.

- n. Section 242, committing battery
- o. Section 243, committing battery on a peace officer, firefighter, or other specified victim; battery with serious bodily injury; battery on a spouse, cohabitant, or fellow parent
- p. Section 243.4, committing sexual battery
- q. Section 244.5, committing assault with a stun gun or less lethal weapon; committing assault on a firefighter or peace officer with a stun gun or less lethal weapon
- r. Section 245, committing assault with a deadly weapon, firearm, machinegun, or assault weapon, with force likely to produce great bodily injury, on a peace officer or firefighter engaged in the performance of his or her duties
- s. Section 245.5, committing assault with a deadly weapon, other than a firearm, by any means likely to produce great bodily injury on a school employee
- t. Section 246.3, willfully discharging a firearm in a grossly negligent manner; willfully discharging a BB device in a grossly negligent manner
- u. Section 247, willfully and maliciously discharging a firearm at an unoccupied aircraft or at an unoccupied motor vehicle, building, or dwelling house
- v. Section 273.5, inflicting injury on a spouse, cohabitant, or fellow parent resulting in a traumatic condition
- w. Section 273.6, violating a court protective order or stay away order
- x. Section 417, brandishing a deadly weapon; brandishing a firearm; brandishing a firearm at day care center; brandishing a firearm at a peace officer
- y. Section 417.6, brandishing a firearm and inflicting serious bodily injury
- z. Section 422, making criminal threats
- aa. Section 626.9, possessing or discharging a firearm in a school zone
- bb. Section 646.9, stalking
- cc. Section 830.95, wearing the uniform of a peace officer while picketing
- dd. Former section 12100(a), selling to a minor pistols, revolvers, or other firearms capable of being concealed (convictions from 1988 to 1994)
- ee. Section 17500, possessing a deadly weapon with intent to commit assault
- ff. Section 17510, carrying a firearm or deadly weapon while engaged in picketing
- gg. Section 25300, committing criminal possession of a firearm by carrying the firearm in a public place while masked
- hh. Section 25800, committing armed criminal action by carrying a loaded firearm with intent to commit a felony
- ii. Section 26100(b), permitting someone to shoot from a vehicle
- jj. Section 26100(d), willfully and maliciously discharging a firearm from a motor vehicle
- kk. Section 27510, selling, supplying, delivering, or giving possession or control of a handgun to a person under 21, or any other firearm to a person under 18, by a licensed dealer
- ll. Section 27590(c), committing specified handgun-related violations

- mm. Section 29805, possessing a firearm within 10 years of conviction of, or an outstanding warrant for, a qualifying misdemeanor offense²
- nn. Section 30315, knowingly possessing ammunition designed to penetrate metal or armor
- oo. Section 32625, possessing or knowingly transporting a machinegun, intentionally converting a firearm into a machinegun or selling or manufacturing a machinegun
- pp. Committing any firearms-related offense under section 871.5 or 1001.5 of the Welfare and Institutions Code, as follows:
 - i. 871.5, knowingly bringing or sending a controlled substance, firearm, weapon, explosive, tear gas, or tear gas weapon into juvenile hall, ranch, or camp
 - ii. 1001.5, knowingly bringing or sending a controlled substance, firearm, weapon, explosive, tear gas, or tear gas weapon into an institution or camp administered by the Youth Authority
- qq. Welfare and Institutions Code section 8100, possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental disorder or illness
- rr. Welfare and Institutions Code section 8101, knowingly supplying a deadly weapon to a person described in Welfare and Institutions Code section 8100 or 8103 (mental disorder or illness related), knowingly supplying a firearm
- ss. Welfare and Institutions Code section 8103, possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental illness, being not guilty by reason of insanity, being found mentally incompetent, being placed under conservatorship, and other specified situations

² It is unclear whether a violation of section 29805 is a qualifying misdemeanor under section 29810(a)(1), which states that "[u]pon conviction of any offense that renders a person subject to Section 29800 or Section 29805, the person shall relinquish all firearms he or she owns, possesses, or has under his or her custody or control in the manner provided in this section."

Penal Code Section 29810 (Firearms Relinquishment) Reference Guide

If it's a felony, 29810 applies.

If it's a misdemeanor, does it involve the following? If so, 29810 applies.

(All citations refer to the Penal Code, unless specified.)

Firearms and Ammunition

Section	Short Title
148(d)	intentionally taking or attempting to take firearm from peace/public officer
148.5(f)	giving a false report that a firearm has been stolen
171b	bringing to or possessing a firearm, deadly weapon, or other specified items in a government building or open meeting
171c(a)(1)	bringing to or possessing a loaded firearm within the State Capitol, a legislative office, the Governor's office
171d	bringing to or possessing a loaded firearm within or on the grounds of Governor's Mansion, Governor's residence, residence of a constitutional officer, or residence of a member of the Legislature
186.28	knowingly supplying, selling, or giving possession or control of a firearm with actual knowledge that a person will use and does use the firearm to commit a specified felony while actively participating in a criminal street gang
245	committing assault with a deadly weapon, firearm, machinegun, or assault weapon, with force likely to produce great bodily injury, on a peace officer or firefighter while engaged in the performance of his or her duties
246.3	willfully discharging a firearm in a grossly negligent manner; willfully discharging a BB device in a grossly negligent manner
247	willfully and maliciously discharging a firearm at an unoccupied motor vehicle, building, or dwelling house
417	brandishing a firearm; brandishing a firearm at day care center; brandishing a firearm at a peace officer
417.6	brandishing a firearm and inflicting serious bodily injury
626.9	possessing or discharging a firearm in a school zone
12100(a) (former)	selling to a minor pistols, revolvers, or other firearms capable of being concealed (convictions from 1988 to 1994)
17510	carrying a firearm or deadly weapon while engaged in picketing
25300	committing criminal possession of a firearm by carrying the firearm in a public place while masked
25800	committing armed criminal action by carrying a loaded firearm with intent to commit a felony
26100(b)	permitting someone to shoot from a vehicle
26100(d)	willfully and maliciously discharging a firearm from a motor vehicle
27510	selling, supplying, delivering, or giving possession or control of a handgun to a person under 21, or any other firearm to a person under 18, by a licensed dealer
27590(c)	committing specified handgun-related violations

29805 ¹	possessing a firearm within 10 years of the conviction of, or an outstanding warrant for, a qualifying misdemeanor offense
30315	knowingly possessing ammunition designed to penetrate metal or armor
32625	possessing or knowingly transporting a machinegun
WIC 871.5	knowingly bringing or sending a firearm into juvenile hall, ranch, or camp (nonfirearm items do not apply)
WIC 1001.5	knowingly bringing or sending a firearm into an institution or camp administered by the Youth Authority (nonfirearm items do not apply)
WIC 8100	possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental disorder or illness
WIC 8101	knowingly supplying a deadly weapon to a person described in Welfare and Institutions Code sections 8100 or 8103 (mental disorder or illness related); knowingly supplying a firearm
WIC 8103	possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental illness, being not guilty by reason of insanity, being found mentally incompetent, being placed under conservatorship, and other specified situations

Deadly Weapons (Other Than Firearms)

Section	Short Title
136.5	intimidating or threatening a witness with a deadly weapon
245.5	committing assault with a deadly weapon, other than a firearm, by any means likely to produce great bodily injury on a school employee
417	brandishing a deadly weapon
17500	possessing a deadly weapon with intent to commit assault
17510	carrying a firearm or deadly weapon while engaged in picketing
WIC 8100	possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental disorder or illness
WIC 8101	knowingly supplying a deadly weapon to a person described in Welfare and Institutions Code section 8100 or 8103 (mental disorder or illness related); knowingly supplying a firearm
WIC 8103	possessing a firearm or other deadly weapon prohibited due to specified court findings related to mental illness, being not guilty by reason of insanity, being found mentally incompetent, being placed under conservatorship, and other specified situations

¹ It is unclear whether a violation of section 29805 is a qualifying misdemeanor under section 29810(a)(1), which states that "[u]pon conviction of any offense that renders a person subject to Section 29800 or Section 29805, the person shall relinquish all firearms he or she owns, possesses, or has under his or her custody or control in the manner provided in this section."

Penal Code Section 29810 (Firearms Relinquishment) Reference Guide

Threats, Intimidation, Stalking

Section	Short Title
71	threatening an officer or employee of an educational institution or any public officer or employee
76	threatening a public official
136.1	intimidating or threatening a witness
136.5	intimidating or threatening a witness with a deadly weapon
140	using force against or threatening to use force against a witness after testimony or information given
422	making criminal threats
646.9	stalking

Assault

Section	Short Title
240	committing assault
241	committing assault on a firefighter, peace officer, or other specified victim
244.5	committing assault with a stun gun or less lethal weapon; committing assault on firefighter or peace officer with a stun gun or less lethal weapon
17500	possessing a deadly weapon with intent to commit assault

Battery and Violation of DV Protective Order

Section	Short Title
242	committing battery
243	committing battery on peace officer, firefighter, or other specified victim; battery with serious bodily injury; battery on a spouse, cohabitant, or fellow parent
243.4	committing sexual battery
273.5	inflicting injury on a spouse, cohabitant, or fellow parent resulting in a traumatic condition
273.6	violating a court protective order or stay away order

Activities Related to Picketing or Striking

Section	Short Title
830.95	wearing the uniform of a peace officer while picketing
17510	carrying a firearm or deadly weapon while engaged in picketing

5. If plead/convicted of crime as listed, continue process.
6. If plead/convicted of crime not listed below (not subject to Proposition 63).
 - a. Close Person Alert P63 with Action Taken "NTE"
 - b. Notify the Court referral is not subject to Prop 63
 1. Create the Non-Qualifying Firearms Relinquishment Report
 - i. Obtain form by entering 4. Event Information from File Master Update
 - ii. F10. Enter Event Type NQR; press enter
 - iii. F12; Select 9. Work with File Documents
 - iv. Select Document listed as Description "Non-Qualifying Offense Report"
 - v. Print form. Sign. File with Court.

INVESTIGATION:

1. Review if offender submitted the PPRF to our department.
 - a. Out of custody at conviction has 5 days following conviction to comply
 - b. In custody at time of conviction or 5 days following conviction, has 14 days following the conviction to comply (utilizing designee)
2. Probation accepts PPRF Tu-Thurs 1400-1600.
3. DPO to review document for legible and complete information for Probation Officer's Report prior to offender leaving.
4. Upon receipt of the PPRF, and any receipts or verifications of relinquishment and scan into P63 file to be moved to JALAN file.
4. Verify can view scanned document and return original documents to defendant.

5. Review Automated Firearms System to verify firearms registered to the offender have been appropriately relinquished.

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11/16/17 15:02:09          S.A.P.S.S.          IPSSB
ORI: CA0450136 Probatio  Interagency Inquiry Access  LMLPB
Esc/Attn (Cursor-sensitive/Double-click to select) PSINAGN
-----
RAPIS Inquiries          S.C.S.O Inquiries
use F15 to Change Agency
11. System Master Inquiry      61. Name Master Inquiry (SCSO)
12. Name Master Inquiry        64. Sheriff Inquiry Menu
13. Case Master Inquiry        65. Case Master Inquiry (SCSO)
14. Plate Master Inquiry
15. Global Vehicle Search (ALL)
21. Arrest Inquiry
-----
SHASCOM
73. SHASCOM Incidents Menu
-----
Other Functions
71. RAPIS Main Inquiry Menu    40. C.L.E.T.S. Cys/Trf
    S.A.P.S.S.
31. Wanted Person System (WPS)  41. Justice System Inquiry Menu
32. Case Crime System (CASE)    43. Jail/CCC Inquiry
33. Stolen Property Menu       44. Jail Inquiry by Date
34. Traffic Collision Menu
35. Concealed Weapons Menu     81. System Services
36. Citation / Tickets Menu     86. Work with Print Spoolers
37. DNA Menu                   90. Signoff
-----
Option:  F3=Exit F6=Messages F14=UserMenu F15=ChgAgency

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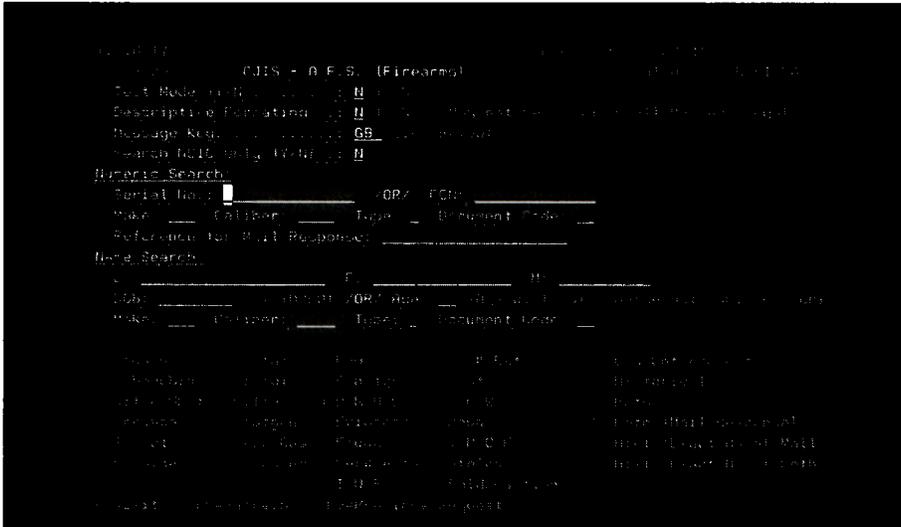
Select 40. CLETS

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11/16/17 15:02:50          C.L.E.T.S.          IPSSB
ORI: CA0450136 Probatio  Main Menu          LMLPB
Esc/Attn (Cursor-sensitive/Double-click to select) CLETS
-----
10. Administrative Messages    41. OOS ORion Inquiry
11. Data Base Messages        42. OOS Veh. Reg. & DL Check '28'
21. DMV Vehicle Reg. '28'     43. OOS Boat & S.M. Reg. '28'
22. DMV Driver License 'LI'   44. NLETS Haz/Mat Inquiry
23. DMV Driver License-ANI 'LI/VP' 45. NCIC III & FBI Rap 'RAP'
31. CJIS Stolen Vehicle/Boat '28' 46. NLETS C.H.R.I. Message Sender
32. CJIS Wanted Person '28'     47. NLETS/CPIC CANADA Inquiry
33. CJIS Automated Property '29' 48. NLETS-LEOs Flying Armed
34. CJIS Automated Firearms '29' 74. Extended State Interface Menu
35. CJIS Criminal History 'RAP' 75. CJIS Test Records Menu
36. CJIS Supervised Release     76. NLETS Test Records Menu
37. CJIS Super Msg Key Inquiry   81. Transmission Log Inquiry
39. CJIS Entry Formatter        82. Index Control Summary
-----
86. Work with Print Spoolers
CLEW website (MUST register)   88. Work with Submitted Jobs
http://clew.doj.ca.gov        90. Sign Off
-----
Option:  F3=Exit F6=Messages F14=UsrMenu F15=ChgAgency

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Select 34. CJIS Automated Firearms



Enter the offender "Name Search" information to review firearms registered to the offender. Minimum entry is Name and DOB.

Print the Automated Firearms System (AFS) results.

6. If the qualifying offense has a firearm involved but the offender has no firearm registered in AFS, request and review the police report.

COMPLETE THE AFS REPORT:

1. Enter the information on the BOF 1026 Probation Officer Verification Form.
 - a. Obtain form by entering 4. Event Information from File Master Update
 - b. F10. Enter Event Type POV; press enter
 - c. F12; Select 9. Work with File Documents

d. Select Document listed as Description "Probation Officer Verification Form"

e. Print form. Sign.

f. If firearms were relinquished we write in the comments sections below the signature line "The Shasta County Probation Department does not enter into the Automated Firearms System."

2. Scan both into the JALAN file. Title as "BOF1026". See document scanning instructions on the H:drive in clerical folder. Verify the documents can be viewed.

3. Attach to the printed AFS results to the BOF 1026.

4. Place attached documents in envelope in Investigations CLETS cabinet.

5. Mail to DOJ to the address specified on the 1026 each Friday morning.

REPORT TO THE COURT:

CREATE COURT REPORT: Probation Officer's Firearms Relinquishment Report:

If defendant has complied:

a. Obtain form by entering 4. Event Information from File Master Update

b. F10. Enter Event Type PRF; press enter

c. Enter Action code COL; press enter

d. F12; Select 9. Work with File Documents

e. Select Document listed as Description "Probation Officer's Firearms Relinquishment Report."

f. List all qualifying case numbers on the report.

g. Print form. Sign.

h. Close Case (refer to instructions in clerical folder on H:Drive)

If defendant has not complied and an order for search is recommended:

a. Obtain form by entering 4. Event Information from File Master Update

b. F10. Enter Event Type PFR; press enter

c. Enter Action code WRR; press enter

d. F12; Select 9. Work with File Documents

e. Select Document listed as Description "Probation Officer's Firearms Relinquishment Report."

f. List all qualifying case numbers on the report.

g. Print form. Sign. File.

h. Close Case (refer to instructions in clerical folder on H:Drive)

CODE POSSESSION OR OWNERSHIP OF A FIREARM

If Offender has a firearm registered, or relinquished, or removed (usually as evidence:

1. Enter Person Alerts:

a. From offender File Master Update Screen Shift F3

b. F10 to add new person alert

c. Enter Start Date (date of conviction)

d. Enter FAR in Alert Type-tab

e. Close Person Alert FAR with Action Taken "CLS"

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FILING DEADLINES;

1. Probation Officer's Firearms Relinquishment Report should be filed 3 days prior to sentencing date.
2. If investigation is done after sentencing, Probation Officer's Firearms Relinquishment Report must be filed within 10 calendar days of the sentencing (court must make finding within 14 days of the sentencing).
3. If a Pre-Sentence Investigation (PSI) Report is ordered in the case, the Probation Officer's Firearms Relinquishment Report will be filed with the PSI.

Quick Reference of Codes

Person Alert	Xtra Code	Closure Code	Meaning
P63	ADF	NTE	not Prop 63 2017 eligible
P63	ADM	VSC	Verification of Relinquishment sent to Court
		BWR	No Verification; Affidavit and Warrant Request
		NWO	No Warrant Ordered, No Verification
FAR	None	CLS	<u>Firearm(s) relinquished or removed (usually as evidence).</u>

NQR generates NONQUAL FIRE REL RPT.

PFR generates PO FIREARMS RELQ RPT.

PFR requires an action code: COL (Compliant) or WRR (Warrant Recommended)

POV (PO VERIFICATION FORM) This goes to DOJ.

Notice. Located H:drive/Adult/Prop 63



SHASTA COUNTY PROBATION DEPARTMENT
NOTICE OF FIREARMS RELINQUISHMENT PER PROPOSITION 63

Defendant Name: _____ DOB: _____
Physical Address: _____
Phone: _____

Case # _____

You are prohibited from owning, purchasing, receiving, possessing, or having under your custody or control, any firearms, ammunition, and ammunition feeding devices, including but not limited to magazines.

Initial: _____

You are required to declare any firearms you owned, possessed, or had your custody or control at the time of your conviction. Further are required to describe the firearms and provide information about the location of the firearms to enable law enforcement officials to locate the firearms.

Initial: _____

You shall relinquish all firearms in your possession within 5 days of conviction through one of the following ways:

1. Surrendering the firearms to the control of a local law enforcement agency (Redding Police Department, Shasta County Sheriff's Office, or Anderson Police Department)
2. Selling the firearms to a licensed firearms dealer
3. Transferring the firearms for storage to a licensed firearms dealer

Initial: _____

If you owned, possessed, or had under your custody or control any firearms at the time of your conviction, you are required to name a designee, and grant the designee power of attorney for the purpose of transferring or disposing of all firearms.

Initial: _____

The designee must consent to the designation and declare under penalty of perjury that he or she is not prohibited from possessing any firearms under state or federal law.

Initial: _____

The designee is required to state the date each firearm was relinquished and the name of the party to whom it was relinquished, and to attach receipts from the law enforcement officer or licensed firearms dealer who took possession of the relinquished firearms.

Initial: _____

You, or your designee, are required to submit the completed Prohibited Persons Relinquishment Form to the assigned probation officer within 5 days of conviction. **FORMS SHALL BE TURNED IN BETWEEN 2-4 PM TUESDAY/WEDNESDAY/THURSDAY**

Initial: _____

In addition, I hereby acknowledge that any person who is 18 years of age or older, and who is the owner, lessee, renter, or other legal occupant of a residence, who owns a firearm and who knows or has reason to know that another person also residing therein is prohibited by state or federal law from possessing, receiving, owning, or purchasing a firearm shall not keep in that residence any firearm that he or she owns unless one of the following applies:

Initial: _____

- (1) The firearm is maintained within a locked container.
- (2) The firearm is disabled by a firearm safety device.
- (3) The firearm is maintained within a locked gun safe.
- (4) The firearm is maintained within a locked trunk.
- (5) The firearm is locked with a locking device as described in Section 16860, which has rendered the firearm inoperable.
- (6) The firearm is carried on the person or within close enough proximity thereto that the individual can readily retrieve and use the firearm as if carried on the person.

Defendant Signature _____

Date _____

Fileable forms can be accessed on our website at https://www.co.shasta.ca.us/index/probation_index/adult_division.aspx

12/6/17

Prop 63/Notice

Non-Qualifying Firearms Relinquishment (NQR)

1 IN THE SUPERIOR COURT
2 OF THE STATE OF CALIFORNIA
3 IN AND FOR THE COUNTY OF SHASTA

4 THE PEOPLE OF THE STATE OF
5 CALIFORNIA
6 Plaintiff
7 vs.

Case No: ADULT'S
Next Court Date: xx
Time: xx
Department: xx
Attorney: CEDAR VAUGHAN

9
10 X123 X123 X123
11 Defendant

12 Non-qualifying Firearms Relinquishment Report

13 To: The Honorable xx,

14 This case was referred to the Probation Department for investigation pursuant to Section 29810 of
15 the California Penal Code. An investigation in this matter will not be conducted as the offense(s) of
16 conviction is/are not a qualifying offense(s).

17
18
19 Respectfully Submitted,

20 TRACIE NEAL
21 Chief Probation Officer

Approved

22
23 _____
24 POST REPORTS
25 Deputy Probation Officer

Date

Non-qualifying Firearms Relinquishment Report (NQR)
X123 X123 X123
Court#: ADULT'S

Probation Officer's Firearms Relinquishment Report (PFR with COL and WRR)

1 IN THE SUPERIOR COURT
2 OF THE STATE OF CALIFORNIA
3
4 THE PEOPLE OF THE STATE OF
5 CALIFORNIA
6 Plaintiff
7 vs.

Case No: ADULT'S
Next Court Date: xx
Time: xx
Department: xx
Attorney: CEDAR VAUGHAN

9
10 X123 X123 X123
11 Defendant

12 Probation Officer's Firearms Relinquishment Report

13 To: The Honorable xx,

14 Pursuant to Section 29810 of the California Penal Code, the probation officer had completed an
15 investigation regarding if the defendant complied with Section 29810(a)(3) of the California Penal
16 Code.

17 The probation officer findings are:

18 [] The Probation Department has been able to verify the defendant has complied and probation is
19 in possession of the Prohibited Persons Relinquishment Form (BOF 1022). PC 29810(a)(3).

20 [] The Probation Department verified in the Automated Firearms System that there are no
21 firearms registered to the defendant.

22 [] The Probation Department has documentation of relinquishment of registered firearms;
23 however, the Automated Firearms System has not been updated and still shows the defendant as the
24 registered owner of firearms. Copies of documentation of relinquishment are attached. PC
25 29810(a)(3).

Firearm Type: (handgun, rifle or shotgun); Serial Number: Make: Model:
Firearm Type: (handgun, rifle or shotgun); Serial Number: Make: Model:

PO's Firearms Relinquishment Report (PFR)
X123 X123 X123
Court #: ADULTS

1 [<>] The Probation Department has NOT been able to verify the defendant has complied.
2 Probation did NOT receive the Prohibited Persons Relinquishment Form (BOF 1022). An order for
3 search and removal of the firearms is recommended. PC 29810(a)(3).

4 [<>] The Automated Firearms System shows the defendant as the registered owner of firearms:

5 Firearm Type: (handgun, rifle or shotgun <>); Serial Number: Make: Model:
6 Firearm Type: (handgun, rifle or shotgun <>); Serial Number: Make: Model:
7 An order for search and removal of the firearms is recommended. PC 29810(a)(3).

8 [<>] There is credible information that the defendant owns possesses or has under his or her
9 custody or control firearms (PC 29810(c)(1)) given these facts:<>
10 An order for search and removal of the firearms is recommended. PC 29810(a)(3).

11 Respectfully Submitted,

12 TRACIE NEAL
13 Chief Probation Officer

Approved

14
15
16 POST REPORTS
Deputy Probation Officer

Date

17
18
19
20
21
22
23
24
25

PO's Firearms Relinquishment Report (FFR)
X123 X123 X123
Court #: ADULTS



SHASTA COUNTY PROBATION DEPARTMENT PROCEDURE: RESTITUTION

Overview: The Shasta County Probation Department is responsible to ensure victims get reimbursement for any losses incurred as a result of an offender's conviction or charge that is dismissed with a Harvey Waiver. All Probation Officers and Probation Assistants are responsible for ensuring restitution information is obtained from the victim and restitution is set up by the court. Supervision Officers and Probation Assistants are responsible for communicating consistently throughout the term of supervision with the offender about their financial responsibilities to the victim.

Pre-Sentence Reports and/or Supplemental Reports With New Offenses:

When a pre-sentence report is assigned to an officer in the investigations unit, the officer shall review the charges to determine if the plea includes a crime where there would be a victim. If it is a victimless crime, no further action is required. If the plea includes a crime where there is a victim, staff are required to contact the victim to get a statement as well as to determine if there will be a request for restitution. A telephone call and a letter to the victim should be completed for all reports with a victim.

How to find the victims contact information:

1. From the JLAN Master Menu:
 - a. Select the "ESC" key to open up the "Master Case Search Screen"
 - b. Select #5 DA Case Inquiry
 - c. Type in the defendant's name, Select enter
 - d. Select the corresponding number with the correct case
 - e. Open the 4. View Case Documents
 - f. Open the Document: Victim Notification Letter (If there are multiple, open and notate all addresses)
 - g. Note down the address on scratch paper
 - h. For certain eligible cases, contact The Shasta County Victim Assistance Center as the victim may be working with an advocate and may have filed a claim for compensation through the California Crime Victim's Compensation Board.
2. The **VXA** event code creates a letter to be sent to the victim(s) notifying the victim the defendant is being sentenced in court.
 - a. Go to defendant's case in the CMS
 - b. Open the 4. Event Information Screen

- c. Select F10 to add event
 - d. Type in VXA as the event
 - e. Select the ENTER key 3 times
 - f. Select F12 to exit the event screen
 - g. Open #9, Work with File Documents screen
 - h. Find the document named "ADL VIC/REST LTR-INV" – Enter the corresponding number and Select enter and wait for it to open in word
 - i. Some of the information will prepopulate, but the information that does not, needs to be changed.
 - j. Once the information is entered, Save and Print the letter
 - k. Send the letter to the victim
3. Officers shall enter a case note documenting their efforts to contact victims as well as document any victim contact.

Supervision:

All supervision probation officers shall make all efforts to contact victims of the crimes their offenders have committed. If there is a predetermined amount ordered by the Court, officers are to ensure restitution is set up by the court. This may take several weeks to be set up by Court Collections.

1. In many cases, the supervision officer is required to determine restitution. The order will state: "That he/she pay restitution, plus a 15% administration fee, as directed by staff and reserves the right to request a restitution hearing;". The supervision officer shall contact the victim to determine a restitution amount. A **VX2** letter must be sent to the victim(s)
 - a. Go to defendant's case in the CMS
 - b. Open #4 Event Information Screen
 - c. Select F10 to add event
 - d. Type in VX2 as the event
 - e. Select the ENTER key 3 times
 - f. Select F12 to exit the event screen
 - g. Open #9 Work with File Documents screen
 - h. Find the document named "ADL VIC/REST LTR-SUP" – Enter the corresponding number and Select enter and wait for it to open in word
 - i. Some of the information will prepopulate, but the information that does not needs to be changed.
 - j. Once the information is entered, Save and Print the letter
 - k. Send the letter to the victim
 - l. Go into #2 Programs
 - m. Select RT program for restitution
 - n. Add in comments section VX2 sent on the date you sent it out.

****NOTE** The Victim has 30-60 days to respond to this letter requesting restitution**

2. If there is no response from the victim(s) staff must email the District Attorney attached to the case **AND** the CAL VCB (As of 8/22/2019, the rep is Debra Harris). Her email is: dlharris@cg.shasta.ca.us. This email should include the following information:
 - a. Defendant's full name
 - b. Case number
 - c. Sentencing date
 - d. Ask if there is an open claim attached to this case and if there is request them to send the "Request for Restitution" form.




17419 OF CALIFORNIA
CIVIL SERVICE COMMISSION

RESTITUTION REQUEST

To: Shasta County District Attorney's Office Date: August 18, 2019
 From: Debra Harris Phone: 252-6187
 Case Number: P-18-05588-01 Defendant: Gary Edwin Albertson

***** JPS *****

The following amount(s) have been determined by the California Victim Compensation Board. Payment to Penal Code section 1302.4, 1302.4.4 and Welfare and Institutions Code section 750.6, et seq. for the following restitution should be requested and ordered and made payable to the California Victim Compensation Board.

Claimant	Application ID	Amount of Benefits Paid	Type of Benefit
Confidential Victim -			
SJA (DOB: 05/06/1983)	A 18-0888302	\$618.00	Medical/Dental
	A 18-0895202	\$488.83	Income Loss
P.S. (DOB: 12/11/93)	A 18-0895306	\$678.00	Medical/Dental

Total Restitution owed to CalVCB: \$1,947.73

Please Note: The above amounts are payable to CalVCB and require a jurisdiction order for further restitution.

Please Note: The above amounts reflect benefits in which the Victim Compensation and Government Claims Board has paid on behalf of the above-mentioned victim(s) to date. Please inform the court of the full amount of all the victim(s) claim.

Restitution Plan

In accordance with Penal Code sections 1302.4 and Welfare and Institutions Code sections 750.6 and 750.7, a restitution fine must be imposed upon all offenders convicted of a felony or misdemeanor. The fine should be commensurate with the severity of the crime. If the offender is placed on probation or is sentenced to prison, the court must impose an appropriate probation or parole revocation fine in an amount equal to half of the restitution fine.

Adult Felony \$300 - \$10,000 Juvenile Felony \$100 - \$1,000
 Adult Misdemeanor \$150 - \$1,000 Juvenile Misdemeanor \$50 - \$1,000

Conditions of Probation

If the defendant is sentenced to probation, a fine must be imposed as a condition of probation, as set forth in Penal Code sections 1302.4 and Welfare and Institutions Code section 750.6(d). Payment to Penal Code section 1302.4.4 and Welfare and Institutions Code section 750.6.4. The court must impose a report requirement on probation or parole, as of the date of sentencing or plea, as determined by the court.

ADVOCATE: Candice Biddle - 6005
 CALIFORNIA VICTIM COMPENSATION BOARD LEGAL SERVICES
 1000 2nd St., Sacramento, CA 95811, Phone: 916.777.8881, Fax: 916.481.8411, www.calvcb.com
 Revised 8/2019

****NOTE** This will include all the information required to complete the "Restitution Determination Form" and have the defendant sign. If defendant refuses to sign the form, staff will need to set up a restitution hearing (Directions on how to do this are below)**

3. If there is NO OPEN claim for victim restitution with the District Attorney or the CAL VCB then the "RT" program will need to be closed out.

To close out program if no response:

 - a. Go to defendant's case in the CMS
 - b. Open the 2. Program Information
 - c. Select the corresponding number with the program coded with "RT" Restitution to be set up
 - d. Select the tab key 3 times to get to the "Term/Cmplt" date and enter today's date
 - e. Select the tab key 10 times to get to the "Completion Code" field and close it out with the code "NR" – No Response, Select Enter to complete closing of the program
 - f. Case note the letters were sent and there was no response from the victim(s) and the program was closed out

4. Staff shall document all attempts to contact the victim by entering a case note. If the victim responds and provides information on a restitution amount, the supervision officer shall do the following:

- a. Probation Officer will fill out the carbon copy “RESTITUTION DETERMINATION FORM”
 - b. staff will only complete the top portion of the form with the defendant’s information and have the defendant sign the form. The defendant then gets the Yellow copy.
 - c. AFTER the defendant, has left, staff will put in the victim’s information on the bottom part of the page.
 - **NOTE** If there are MORE than 2 victims who are owed restitution, staff will need to complete more than one form. ONLY 2 victims per sheet.
2. Once the “RESTITUTION DETERMINATION FORM” has been completed by staff and signed by defendant, the form needs to be sent to Court Collections via Interoffice Mail.
 3. Once the “RESTITUTION DETERMINATION FORM” has been sent to the court, the restitution program needs to be closed.
 - a. Go to defendant’s case in the CMS
 - b. Select #2, Program Information
 - c. Select the corresponding number with the program coded with “RT” Restitution to be set up
 - d. Select the tab key 3 times to get to the “Term/Cmpl” date and enter date the form was sent to the court
 - e. Select the tab key 10 times to get to the “Completion Code” field and close it out with the code “RD” – Rest. Set up to CRT., Select Enter to complete closing of the program
 - f. Case note the form was sent to the courts.
 - g. Give the courts approximately 2 weeks prior to checking if the information has been updated on the court side.

SHASTA COUNTY PROBATION DEPARTMENT
Restitution Determination

ADULT: As a condition of probation, I have been ordered to pay restitution as directed by the court. The probation department is also authorized to access the 1396 collection fee.

JUVENILE: As a condition of probation, I have been ordered to pay restitution as directed by the court. I further understand, should I disagree with the amount of restitution, I have the right to a hearing in Court and have the judge on the amount of restitution. I hereby waive my right to a hearing by signing this form.

Name _____ Case # _____
 Address (including) _____
 City/State _____ Zip _____
 Phone _____ Cell Phone _____ Mail _____
 Social Security # _____ PO # _____
 Total Restitution _____ CSR Fee (Adults Only) _____ Minimum Payment _____
 1st Payment Due _____ Payment Due City _____ Beginning Balance _____

I understand this obligation and agree to pay restitution as outlined above:
 Signed _____ Date _____

All payments are to be made to: Shasta County Court Collections
 1200 Court Street, Room 112
 Redding, CA 96001

Complete bottom section AFTER giving defendant yellow copy

Arresting Agency _____ Co-Perpetrator(s) _____
 Letter and/Phone Call _____ (date) _____

1. Victim Name _____ Balance Due _____
 Address (including) _____ Phone _____
 City/State _____ Zip _____
 Name(s) _____ Other(s) _____

1. Victim Name _____ Balance Due _____
 Address (including) _____ Phone _____
 City/State _____ Zip _____
 Name(s) _____ Other(s) _____

If the defendant refuses to sign the restitution determination form or the amount of restitution needs to be determined by the courts, a court hearing is required. Staff must do the following:

1. Staff will need to have the victim(s) provide proof of their losses (ie. Receipts, Medical Bills, Statements from the victim).
2. Once the victim(s) bring in proof staff will make copies and submit these with a memo to the court ordering a restitution hearing.
 - a. Call the clerk of the correct department and set the hearing for at least 3-4 weeks out
 - i. Department 1: Mondays, 10:00 a.m.
 - ii. Department 2: Tuesday, Wednesday, Thursdays, 8:30 a.m.
 - b. Staff will then need to notify the victim(s) and defendant of the restitution hearing court date. *This is not a mandatory appearance court date. The only reason either would need to appear is if they do not agree with the amount or have further evidence to provide to the courts.*

- c. Once staff sets the hearing date and notifies the victim(s) and defendant they will need to complete a Petition to modify with court date.
 - i. Go to defendant's case in the CMS
 - ii. Select #4 Event Information screen
 - iii. Select F10 to enter the "FMN" event
 - iv. Select the enter key 3 times
 - v. Select F12 to go back to the defendant's screen
 - vi. Go to #9 Work with File Documents
 - vii. Find the document named "PET TO MOD W/CRT DTE", enter the corresponding number and wait for the document to open in word
 - viii. Once you have the document open enter all the correct information including the court date and time at the top.
 - ix. Use the following example to formulate the "Following Facts" paragraph when an offender's supervision is due to expire and there is restitution still owed.:
 1. On XX, the defendant was ordered to pay restitution to XX in the amount of XX and XX to XX. Since the defendant's grant of probation, she has paid XX (victim's name) \$xx.xx. The defendant continues to owe \$xx.xx toward victim restitution in this case. Per Penal Code 1203.3(b)(4), if the defendant is unable to pay full restitution within the initial term of probation, the court may modify and extend the period of probation to allow the defendant to pay off all restitution within the probation term.
 - x. Print and sign the petition, submit for approval, then place in correct place for the Clerk's to submit it to the Courts and DA.
3. After the hearing, follow the instructions on how complete the "Restitution Determination Form" above

Notifying victim of defendant's termination from probation and there, is still victim restitution owed, staff are to do the following:

1. Staff will need to send a VX4 letter to the victim 30 days prior to the defendant terminating from probation.
 - a. Go to defendant's case in the CMS
 - b. Select #4, Event Information Screen
 - c. Select F10 to add event
 - d. Type in VX4 as the event
 - e. Select the ENTER key 3 times
 - f. Select F12 to exit the event screen
 - g. Select #9, Work with File Documents screen
 - h. Find the document named "VICTIM CLOSING LETTER" – Enter the corresponding number and Select enter – THEN wait for it to open in word

- i. Some of the information will prepopulate, but the information that does not needs to be changed.
 - j. Once the information is entered, Save and Print the letter
2. Staff will also need to complete and send the “CR-110/111 Abstract of Judgement” paperwork
 - a. Go to defendant’s case in the CMS
 - b. Select #4 Event Information Screen
 - c. Select F10 to add event
 - d. Type in C10 as the event
 - e. Select the ENTER key 3 times
 - f. Select F12 to exit the event screen
 - g. Select #9, Work with File Documents screen
 - h. Find the document named “VICTIM RESTN 110/111” – Enter the corresponding number and Select enter – THEN wait for it to open in word
 - i. Some of the information will prepopulate, but the information that does not needs to be filled in. (There is an example of this on the H Drive: <H:\Adult\Restitution\CR110 Abstract of Judgment>)
 - j. Once the information is entered, Save and Print
3. Staff will then send the VX4 letter, CR-110/111 and the brochure “Enforcing Criminal or Juvenile Court Restitution Orders as Civil Judgements” (This can also be found in the H Drive: <H:\Adult\Restitution\Enforcement-Brochure>) to the victim(s).
4. If the victim calls to ask questions regarding how to file, the CR-110/111 they will then be referred to the Courthouse room 219 for further instructions.
5. Staff will then case note they completed and sent out the victim closing information regarding restitution.

The image shows a legal form titled "ORDER FOR VICTIM RESTITUTION" from the Superior Court of California, County of Shasta. The form is pre-filled with the following information:

- Defendant:** BUDGET REPLY & CAR - 13070882
- Court:** SUPERIOR COURT OF CALIFORNIA, COUNTY OF SHASTA
- Case Name:** HEATHER MCCOWLD
- Case Number:** 130891088882

The form includes a checklist of conditions for restitution, such as "On Money" and "On Assets", and a section for the court clerk's signature and date.

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
High risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	2 per quarter
AOP – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	2 per quarter
AOP – Moderate Risk	Within 3 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	1 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Revised 8/4/15

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
AOP – Low Risk	Within 6 months	1 time per year	1 time every 6 months	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time every 6 months	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	1 per every 6 months
DV – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	1 time per week	1 time per quarter***	Once a year**	Every 6 months	2 per quarter
DV – Moderate Risk	Within 2 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	5 times per quarter	2 times per year***	Once a year**	Every 6 months	1 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
DV –Low Risk	Within 3 months	1 time per year	1 time every 6 months	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time every 6 months	Monthly by Offenderlink	3 times per quarter	1 time per year***	Once a year**	Every 6 months	1 per every 6 months
SO – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	1 time per week	1 time per quarter***	Once a year**	Every 6 months	2 per quarter
SO – Moderate Risk	Within 2 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	5 times per quarter	2 times per year***	Once a year**	Every 6 months	1 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Revised 8/4/15

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
SO -Low Risk	Within 3 months	1 time per year	1 time every 6 months	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time every 6 months	Monthly by Offenderlink	3 times per quarter	1 time per year***	Once a year**	Every 6 months	1 per every 6 months
Women/ CFS – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	2 per quarter
CFS – Moderate Risk	Within 3 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	1 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
CFS – Low Risk	Within 6 months	1 time per year	1 time every 6 months	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time every 6 months	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	1 per every 6 months
YMAF/ High Risk young males	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	2 per quarter
MH – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	2 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
MH – Moderate risk	Within 3 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	1 per quarter
MH – Low Risk	Within 6 months	1 time per year	1 time every 6 months	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time every 6 months	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	1 per every 6 months
Gang – High Risk	Within 1 month	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	2 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
Gang – Moderate Risk	Within 2 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	Case-by-case	Case-by-case	Once a year**	Every 6 months	1 per quarter
BHC – High Risk	Within 1 month	Every month	3 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	2 per quarter
BHC – Moderate Risk	Within 3 months	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	1 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Revised 8/4/15

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
REC – High Risk	Within 1 month	Every month	3 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	2 times per month	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	2 per quarter
REC – Moderate Risk	Within 2 months	Every 3 months	2 times per month	Within 2 weeks Update within 1 week of any changes	Within 2 weeks Reassessment: as needed or every 6 months	Within 30 days – update as needed	Assessment for referrals at each visit	1 time per quarter	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	1 per quarter
DRC High Risk	Within 1 month	Every 3 months	1 time per month	Within 2 weeks Update within 1 week of any changes	Reassessment: as needed or every 6 months	Support of the DRC case plan	Assessment for referrals at each visit in support of the DRC case plan	1 time per month	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	2 per quarter

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
DRC Moderate Risk	Within 3 months	2 times per year	1 time per quarter	Within 2 weeks Update within 1 week of any changes	Reassessment: as needed or every 6 months	Support of the DRC case plan	Assessment for referrals at each visit in support of the DRC case plan	1 time per quarter	Monthly by Offenderlink	As required by Phase	Case-by-case	Once a year**	Every 6 months	1 per quarter
High risk Banked	N/A	N/A	N/A	Update within 1 week of any changes	N/A	N/A	As needed for basic needs	3 times per year	Monthly by Offenderlink	N/A	N/A	Once a year**	Every 6 months	N/A
Moderate risk Banked	N/A	N/A	N/A	Update within 1 week of any changes	N/A	N/A	As needed for basic needs	2 times per year	Monthly by Offenderlink	N/A	N/A	Once a year**	Every 6 months	N/A
Low risk Banked	N/A	N/A	N/A	Update within 1 week of any changes	N/A	N/A	As needed for basic needs	1 time per year	Monthly by Offenderlink	N/A	N/A	Once a year**	Every 6 months	N/A

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

Adult Division Supervision Standards

Caseload	Initial home visit (RIV)	Home Visit (AHV) (COM)	Face-to-face* visits (AFV) (AOV)	Field Sheet (FLD)	Initial ONG/ reassessment (ONG) (NG tickler)	Case plan (ACP)	Referrals	Phone contact (ATC)	Reporting	Treatment contacts (ACN)	Contact w/ victim(s) (ACN)	Case review (6R tickler)	Review of L.E. contacts (ACN)	Collateral contacts (CLC)
Transition Moderate Risk	N/A	N/A	Within 2 weeks of case assignment	Within 2 weeks Update within 1 week of any changes	As needed for referrals to treatment	N/A	MRT at orientation	As needed – no less than – 1 time per quarter	Monthly by Offenderlink	As needed	Case by case	Before transfer to bank	Before transfer to bank	N/A
Transition Low Risk	N/A	N/A	Within 2 weeks of case assignment	Within 2 weeks Update within 1 week of any changes	N/A	N/A	As needed for basic needs	As needed	Monthly by Offenderlink	As needed	Case by case	Before transfer to bank	Before transfer to bank	N/A
Supervision Internal Banks	N/A	N/A	N/A	Update within 1 week of any changes	Reassessment: as needed or every 6 months	Update as needed	Other referrals as needed	As needed	Monthly by Offenderlink	N/A	N/A	N/A	Every 6 months	N/A

*Home visit will count as a face-to-face visit

**After completion of initial case review

***If D/ has contact with his/her victim

PROCESSING MONTHLY REPORTS (WMRs)

1. Offender completes monthly report and hands it to front desk LPC.
2. Front desk LPC enters the WMR event in the offender's Master Case
3. LPC checks the address and telephone number(s) on the WMR against the address and telephone number(s) in JALAN.
 - i. If there is a change in address or telephone number(s), LPC highlights the address and/or telephone number on the Monthly Report, scans it (labels it "MONTHLY REPORT + MONTH/YEAR"), stamps "scanned" on the bottom of the Monthly Report and puts it in the PO's box. (Both sides will be scanned if there is information on the back of the monthly report.)
 - ii. If there is no change in the address nor the telephone number, the LPC scans the Monthly Report in JALAN, labels it "MONTHLY REPORT + MONTH/YEAR" and shreds. (Both sides will be scanned if there is information on the back of the monthly report.)
4. When each new Monthly Report is scanned, previous Monthly Reports will not be deleted.
5. For the Monthly Reports with a change in the address and/or telephone number, the PO will review it and then shred. If they put it in their folder to be filed later, the LPC who does their filing will shred the Monthly Report (noting that it has already been "scanned").

SCANNING CLOSED FILES

- ** Group all items that are to be scanned by either year or month and should be in order from newest to oldest.
- *** Watch items being scanned that there is not information written on both sides of document.
- **** Before closing a file check Bail Review / CLETS papers for AKA's and enter them into the case.

When you scan/shred a closed file, be sure to enter the **SKN** event into #4, Event Information. If in the future the file is needed this will let us know it has been scanned/shredded.

(SCAN ALL OUT OF COUNTY DOCUMENTS)

Front Cover:

Test Results: **Shred**
Provider Progress Reports: **Scan** completion or failure notices only
Terminations / Completions: **Scan**
Prescriptions: **Shred**
Registration slips: **Shred**
Safe Plans: **Shred**
Appearance Reviews: (AOP & Prop): **Shred**
IDP Reviews: **Shred**
Waiver of no contact order (signed): **Scan**

Tab 1:

Monthly Reports: **Shred**

Tab 2:

Travel Permits: Golden Travel Request: **Shred**
Correspondence to PO: **Shred**
Letters to Defendant: **Shred**
Psych reports: **Scan**
Polygraph reports: **Scan**
Letter from Department of Corrections "California Rehabilitation Center" **Scan**

Tab 3:

Restitution: **Scan** signed form only
Payments made to Court: **Shred**

Tab 4:

Personal History Form: **Scan** only most recent packet – check both sides of PHF for notes
Police Reports: **Shred**
ONG interview guide(s): scan only most recent document - check both sides (Offender Needs Guide)
Violation Summary Forms: **Shred**
Field Sheets: **Shred**
SRF / Notice of Arrest Forms: **Shred**
Blue Sheets: Transfers = **Shred** Terminations = **Shred**
Risk Assessments: **Shred**
Juvenile Placement: **Shred**
Birth certificates: **Scan**
AOP Applicant Information packet: **SCAN**

Back Cover:

Pinks: **Scan**

Green Sheets: **Shred**

Salmon Memos: **Shred**

Terms & Conditions: **Scan** most recent signed general T&C only

PSI / SUP / POST Report: **Shred** report but **Scan** all defendant and/or witness statements.

Out of County/State police reports: **Scan**

Out of County/State Probation reports: **Scan**

Probation Investigative Reports: **Shred**

Memos: **Shred**

Docket Referral for PSI / Supp Report: **Shred**

Docket for PROP 36 / DEJ / IDP/DUI: **Shred**

Petitions: **Shred**

CLETS: **Shred** **(Unless a DMV report, as DMV drops off)

Bail Reviews: **Shred**

CHP reports: **Scan**

SINTF reports: **Scan**

File stamped DEJ Motions for Dismissal: **Scan**

Scan/Purge at the time of closing any file for case only referred for Post or PSI where probation was denied & defendant sentenced to prison or CRR.

REPORTING REQUIREMENTS

POLICY:

The probation officer is responsible for making sure the individuals on his/her caseload are reporting in writing every month and for keeping a record in the computer of the probationers' reporting. The probation officer should file a petition to revoke probation if the probationer has failed to report in writing for more than 2 or 3 consecutive months or has missed scheduled appointments, and there are no extenuating circumstances.

PROCEDURE:

Written Monthly Reports:

Probationers are required to submit a written report every month on a form provided by the Probation Department. This form should be filled out completely and accurately.

- If unemployed, the probationer can note that in the space for employer. All income, including unemployment benefits, welfare, retirement, Indian tribal allotments, and spouse's income, must be reported.
- Probationers are to list who they live with, including parents, spouses, children and roommates.
- Probationers are to list their residence and mailing address; "same" is not an acceptable response.

The completed form will be given to the officer assigned to the case. The officer should review the form for any changes of address or phone number. If the probation has reported a change of address or phone, the officer should make the necessary change in the probationer's JALAN Person File. To do so:

- From the Main Menu, select #1, MASTER PERSON INQUIRY;
- Type in the probationer's last name and at least the first initial of the probationer's first name;
- Select the probationer from the list;
- Make the necessary changes.

OR

- From the Main Menu, Select #5, Proceedings/File Update;
- Type in the probationer's last name and first initial of the probationer's first name;
- Select the probationer from the list;
- Select #10 from the File Master Update menu;
- Make the necessary changes.

An entry should then be made in the probationer's JALAN file, indicating that the defendant has submitted a written monthly report.

- Select #4, Event Information, from the File Master Update menu;
- Enter the event WMR. Press "enter", type any notes, press "enter" again. The WMR event creates a WM tickler.
- Return to the menu and select #6, Tickler Information
- Delete the old tickler for Monthly Report Due. (There should be a Monthly Report Due for the next month, but there should be only one Monthly Report Due tickler.)

If there are no changes, the monthly report should be given to your filing clerk, who will enter the WMR event.

Clerical staff will enter the WMR event on monthly reports that are turned in to the front desk. After the event has been entered and the tickler deleted, the report will be stamped "entered." When the probation officer has reviewed a monthly report that has already been entered, the officer should put the monthly report into the filing basket for clerical to pick up and file later.

As an alternative, if there are monthly reports from several probationers, Tickler/Event Mass Entry can be used. Mass Entry enters the WMR event in more than one case at a time and also deletes the old tickler at the same time.

- Select #10 Tickler/Event Mass Entry from the Master Menu.
- In tickler field, type WM; tab to date and type beginning and ending dates of the current month.
- To obtain an alphabetical list, type "A" on the name line; tab to PO line and enter the caseload number, hit enter. (It takes some time to bring up the list.)
- When the list appears, press F6 to mark all received; delete the Y in front of names of those who did not turn in a monthly report **OR** type a Y in front of those who did turn in a monthly report.
- Return to the top of the screen and type in WMR in the event field; hit enter.

Note that the bank caseloads use the MMR event, which creates the MR tickler.

To monitor reporting, the WM tickler can be used. *The MR tickler is used for the bank caseloads.*

After all monthly reports have been entered in the computer for the month and old ticklers removed, the PO can utilize #17, Proceedings by Tickler or PO, to determine who has not submitted a written monthly report.

- After selecting #17 from the Master Menu, enter WM for tickler type; tab to PO and enter the caseload number; hit enter (the PO can also enter dates to further limit the search)
- The PO can then double-check those probationers who are on the tickler list to make sure that a monthly report has not been submitted.

The Probation Officer can choose to contact the probationer by phone or letter about the failure to submit a written report, or if appropriate, the Probation Officer can file a petition to revoke probation.

Reporting in Person:

Probationers are required to report to the Probation Officer in person, if directed to do so by the officer. The frequency of office visits is up to the discretion of the officer assigned to supervise the case.

An actuarial based assessments instrument that rate a probationer's risk of reoffense based on criminogenic risk factors can be utilized in determining the level of supervision. High-risk offenders need more intensive supervision than low-risk offenders.

If there is no assessment, the probation officer should take factors such as the defendant's living situation, mental health issues, substance abuse issues, and community safety into consideration when determining how often to see a probationer.

Failure to report to the probation officer when directed to do so, is a probation violation. If this is not a pattern, however, the officer may wish to admonish the probationer about the importance of reporting as directed and reschedule the appointment.

When a probationer reports to the officer in person at the Probation Department, the officer should make a case note in the probationer's JALAN file, using the AOV (Adult Office Visit) event. If the officer of the day sees the probationer, both AOV and ODN (OD Note) events should be entered. The notes should be made in the ODN event.

Home Visits and Field Contacts

Probation Officers are encouraged to contact probationers at the probationers' residences (home visits). When an officer conducts a home visit, the officer should enter event AHV (Adult Home Visit) in the probationer's JALAN file. This event should be used anytime a probationer officer goes to the defendant's residence, including for the purposes of conducting a probation search or arresting the probationer.

Probation officers may encounter probationers in the field at some place other than the probationer's home, for instance the Fair, Market Fest, or another probationer's residence. The probation officer should document this contact using the AFV event.

POST SENTENCE REPORT

POLICY:

The post sentence reports prepared by officers in this department shall include the required information as delineated in the Penal Code Section 1203c(a)(1) PC.

PROCEDURE:

*Note: This department conducts post sentence reports only in felony cases in which defendants are sentenced to the **California Department of Corrections and Rehabilitation** pursuant to Penal Code Section 1203c(a)(1).*

1203c. (a) (1) Notwithstanding any other provisions of law, whenever a person is committed to an institution under the jurisdiction of the Department of Corrections and Rehabilitation, whether probation has been applied for or not, or granted and revoked, it shall be the duty of the probation officer of the county from which the person is committed to send to the Department of Corrections and Rehabilitation a report of the circumstances surrounding the offense and the prior record and history of the defendant, as may be required by the Secretary of the Department of Corrections and Rehabilitation.

(2) If the person is being committed to the jurisdiction of the department for a conviction of an offense that requires him or her to register as a sex offender pursuant to Section 290, the probation officer shall include in the report the results of the State-Authorized Risk Assessment Tool for Sex Offenders (SARATSO) administered pursuant to Sections 290.04 to 290.06, inclusive, if applicable.

(b) These reports shall accompany the commitment papers. The reports shall be prepared in the form prescribed by the administrator following consultation with the Board of State and Community Corrections, except that if the defendant is ineligible for probation, a report of the circumstances surrounding the offense and the prior record and history of the defendant, prepared by the probation officer on request of the court and filed with the court before sentence, shall be deemed to meet the requirements of paragraph (1) of subdivision (a).

(1) If the victim consents, the probation officer of the county from which the person is committed may send to the Department of Corrections and Rehabilitation the victim's contact information and a copy of the restitution order for the sole purpose of distributing the restitution collected on behalf of the victim.

(2) Notwithstanding paragraph (1), the district attorney of the county from which the person is committed may send to the Department of Corrections and Rehabilitation the victim's contact information and a copy of the restitution order for the sole purpose of distributing the restitution collected on behalf of the victim if the district attorney finds it is in the best interest of the victim to send that information. If the victim affirmatively objects, the district attorney shall not send the victim's contact information to the department. The district attorney shall not be required to inform the victim of the right to object.

(3) The contact information shall remain confidential and shall not be made part of the court file or combined with any public document.

Post Sentence Report Format

To create the post sentence report in the computer:

- Select item #4 Event Information from the File Master Update menu in the defendant's JALAN file for the case in which the report is being prepared.
- Select F10= Add Record; Enter the Event Code, "ISP;" press enter three times.
- Press F12 to return to the File Master Update menu.

To work in the document:

- Select #9 Work with File Documents from the File Master Update menu. This will bring up all of the documents in the defendant's file. The description of the document is INT. POST REPORT TYPED.
- Using the arrow key or the mouse, place the cursor on the description and hit enter. (Note: The first time a document is opened after it has been created, you will have to reposition the cursor on the description and hit enter again.)

FACE SHEET

The face sheet includes the defendant's name (if the defendant is a JR or III, this will show up in the middle of the name, and should be moved to the end of the name), the Judge who sentenced, Court Department number, date of judgment, and the name of the defense attorney. This information is on the minute order and abstract of judgment. To view these documents, from the defendant's File Master Update screen in JALAN, select F13=Court Inquiry (shift F1). Select #9, enter, and choose number the document you wish to view, enter. The Word document will open. A minute order will be entitled "NATURE OF PROCEEDINGS; JUDGMENT AND SENTENCING." The abstract of judgment will be entitled "ABSTRACT OF JUDGMENT - PRISON COMMITMENT – DETERMINATE or INDETERMINATE."

Much of this information is generated by the computer; the probation officer is responsible for making sure the information is in the report and that it is correct. The face sheet also includes the type of report.

The officer needs to dictate or type the type of plea: guilty or no contest; the offense (burglary, possession of a controlled substance, etc.); the number of the code section (459, 11377, etc.); and the California Code that applies (Penal, Health and Safety, etc.).

- Examples:*
1. . . . after a plea of no contest to the offense of First Degree Residential Burglary in violation of Section 459 of the California Penal Code, a Felony.
 2. . . . after a plea of guilty to the offense of Auto Theft in two counts in violation of Section 10851 of the California Vehicle Code, Felonies.
 3. . . . after a verdict of guilty to the offenses of Possession for Sale of a Controlled Substance in violation of Section 11378 of the California Health and Safety Code, and Possession of Stolen Property in violation of Section 496 of the California Penal Code, felonies.
 4. . . . after a plea of guilty to the offense of Commercial Burglary in violation of Section 459 of the California Penal Code and an admission to the special enhancement of Prior Prison Term in violation of Section 667.5(b) of the California Penal Code.

DATES IN CASE

This category is usually on the face sheet unless the list of offenses is so long that there is not enough room. If there is more than one case or more than one charge, it may be necessary to add another column or add a second box. If there is more than one case, be sure to note which case the dates apply to.

IDENTIFYING INFORMATION

This category includes any aliases the defendant is know by; the defendant's age; date of birth; address; city; state; Zip Code; place of birth; race; height; weight; color of eyes; hair color; CI&I number (California identification number); Social Security number; FBI number; and driver license number (if the defendant has an out of state driver license, be sure to note which state). Most of this information will be included automatically by when the computer creates the document, if it has been entered into the defendant's Person Record in JALAN.

PRESENT OFFENSE

This section contains a summary of the police report or, occasionally, a summary of the Preliminary Hearing Transcript. The probation officer must quote the source of the information.

*Example: The following is summarized from Anderson Police Department report number 05-1234.
 The following is summarized from the transcript of the Preliminary Hearing held in Department 1 on 4/1/05.*

This section should report on the facts and circumstances of the crime and the defendant's arrest. The elements that constitute the crime should be included in this summary. To determine the elements of the crime, refer to the law that was violated.

VICTIM INFORMATION

The probation officer may telephone or send a letter to the victim (event code VXA) advising the victim of the previously conducted sentencing and of the victim's right to request restitution. If the victim responds prior to the preparation of the report, the victim's statement should be included. The Crime Victim Assistance Center (a division of the District Attorney's Office) may have an open case if the crime meets their criteria and a Victim Advocate may have helped the victim prepare an Impact Statement. Crime Victim Assistance Center assistance is available to victims of violent crimes.

To create a victim letter:

- Select item #4 Event Information from the File Master Update menu in the defendant's JALAN file for the case in which the report is being prepared.
- Select F10= Add Record; Enter the Event Code, "VXA;" press enter three times.
- Press F12 to return to the File Master Update menu.

To work in the document:

- Select #9 Work with File Documents from the File Master Update menu. This will bring up all of the documents in the defendant's file. The description of the document is "ADL VIC/REST LTR-INV."
- Using the arrow key or the mouse, place the cursor on the description and hit enter. (Note: The first time a document is opened after it has been created, you will have to reposition the cursor on the description and hit enter again.)

PRIOR RECORD

1203c. (a) (1) requires that the probation report include: "A report of the circumstances surrounding the offense and the prior record and history of the defendant, as may be required by the Secretary of the Department of Corrections and Rehabilitation.

The document includes a table consisting of four columns.

- Date:** This should be the date of sentencing on the prior offense.
- Place:** This can be the city and state, the specific Court, or, in cases of parole violations, the California Department of Corrections and Rehabilitation (CDCR). If you know the docket or case number, it is helpful to include it in this column under the place.
- Offense:** If the offense is a violation of California law, list the offense by number and Code, such as 459 PC, 11350 HS, 10851 VC. Probation violations can be listed by code, 1203.2 PC, or VOP. Parole violations should be listed as Violation of Parole. If the conviction was in another state, list the offense by what it is called, such as Burglary, Theft in the First Degree, Grand Theft Auto. All misdemeanor and felony convictions should be included. Some traffic violations may be omitted, depending on the seriousness of the traffic violation itself and whether or not the conduct relates to the offense the report is being written about.
- Disposition:** This is what the defendant was sentenced to. For instance, 3 years formal probation, 90 days jail, fine. It is not necessary to include all the conditions of probation.

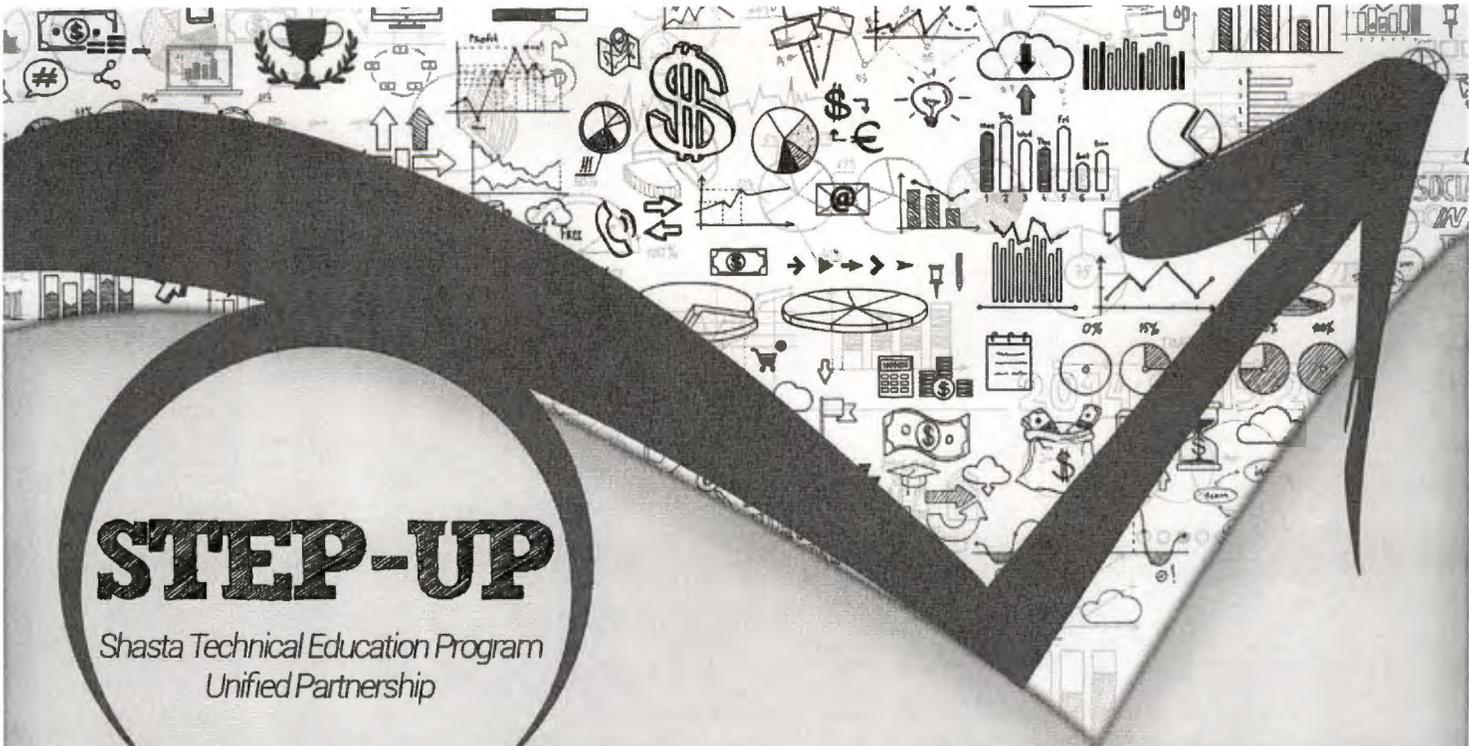
SENTENCE

The probation officer should indicate what state prison term the defendant was committed to at the time of sentencing. This information is on the minute order and abstract of judgment. To view these documents, from the defendant's File Master Update screen in JALAN, select F13=Court Inquiry (shift F1). Select #9, enter, and choose number the document you wish to view, enter. The Word document will open. A minute order will be entitled "NATURE OF PROCEEDINGS; JUDGMENT AND SENTENCING." The abstract of judgment will be entitled "ABSTRACT OF JUDGMENT - PRISON COMMITMENT – DETERMINATE or INDETERMINATE."

SIGNATURES

The probation officer who writes the report should read that report and make any necessary corrections before giving it to the Supervising Probation Officer (or DPO III, if applicable)

for correction and approval. After the report has been corrected and signed by both the officer who authored it and the supervisor, the report and any documents to be considered with it should be placed in the appropriate basket for filing with the Court.



STEP-UP

Shasta Technical Education Program
Unified Partnership

1. "Be serious about 2nd chances." Are you steady, sober, and stable?
2. Meet 1st with Nick Hitchko (530) 245-6720 at CCC (1421 Court)
3. Contact Robert Bowman (530) 242-7639
 - a. Apply to Shasta College. Complete Financial Aid (Building 100), New Student Orientation, EOPS, math assessment. Robert will assist with these steps or you can begin the process online at :
<http://www.shastacollege.edu/Student%20Services/Enrollment%20Services/Admissions/Pages/116.aspx>
4. Make an appt. with an education counselor, Building 100, or online
5. Contact Nick Hitchko (nhitchko@co.shasta.ca.us) to report status updates

Certificates Available: Welding, Office Administration, Business, Automotive Technology & Heavy Equipment Operation (Drug testing required-- no marijuana, either)

1203.4 PC Process

The offender can work with the Court to process his/her 1203.4 PC request and there is no charge. If the Probation Department is going to process the offender's request instead of the Court, prior to completing the process the offender will need to make a payment of \$120.00.

The assigned staff will complete a Petition for Modification (FMD) with the DA's signature. Once the petition has been completed and approved, it will be sent to the DA's office for signature. When the petition has been approved by the DA's office it will be filed with the Court.

The following documents are needed to process the 1203.4 PC request:

1. Current copy of the offender's rap sheet.
2. Include any supportive materials such as letters of support, school diplomas or transcripts.

The following information will be needed to complete the petition. This information will be needed for EACH conviction:

1. Case number /docket number"
2. Date of conviction — which is the date of your plea, verdict, or finding of guilt
3. Code name and section number he/she was convicted of violating
4. Was it a verdict or a guilty/no contest plea?
5. Was probation ordered (either formal or informal probation)? If so, for how long?
6. Were any fines, restitution, or reimbursement ordered?
7. If he/she was sentenced to state prison, which one?
8. If he/she was sentenced to state prison, on what date was he/she released?
9. If he/she was released on parole/PRCS, on what date did supervision end?

What is a dismissal?

If he/she was convicted of an infraction, a misdemeanor, or a felony and were not sentenced to state prison or put under the authority of the Department of Corrections and Rehabilitation, he/she can petition for a dismissal. This means he/she was given county jail time, probation, a fine, or a combination of those 3. If he/she is petitioning for a dismissal, the court, upon proper motion, may withdraw a guilty or no contest (nolo contendere) plea, or verdict of guilt if the case went to trial, and enter a not guilty plea. Then the court will set aside and dismiss the conviction. From that point forward, he/she is no longer considered convicted of the offense. The record will be changed to show a dismissal rather than a conviction.

When is someone eligible for a dismissal?

He/she is eligible for dismissal of a conviction, and the court will dismiss the conviction, if:

- He/she received probation for that conviction and:
 1. Successfully completed probation or obtained early release;
 2. Paid all the fines, restitution, and reimbursements ordered by the court as part of the sentence;
 3. He /she is not currently serving another sentence or on probation for another offense;
AND
 4. He/she is not currently charged with another offense.
- He/she never received probation and:
 1. The conviction was a misdemeanor or an infraction;
 2. It has been at least 1 year since the date he/she was convicted;
 3. He/she has complied fully with the sentence of the court;
 4. He/she is not currently serving another sentence;
 5. He/she is not currently charged with another offense; AND
 6. He/she has obeyed the law and lived an honest and upright life since the time of conviction

He/she is eligible for a dismissal and the court has the discretion (choice) to grant you that dismissal if:

- He/she received probation but did not get an early release, did not fulfill all the conditions of probation, or were convicted of any offense listed in Vehicle Code section 12810(a) to (e) BUT:
 1. He/she has paid all the fines, restitution, and reimbursements ordered by the court as part of your sentence; AND
 2. He/she is not currently charged with, on probation for, or serving a sentence for any other offense.
- It is up to the court to decide if your conviction should be dismissed, so make sure to give as much helpful information as possible to convince the court that granting a dismissal is in the interests of justice.

Convictions not eligible for dismissal

If He/she was convicted of any of the following offenses, he/she is not eligible for a dismissal under Penal Code section 1203.4a:

- Any misdemeanor within the provisions of Vehicle Code section 42002.1;
- Any infraction within the provisions of Vehicle Code section 42001;
- Any violation of Penal Code section 286(c), 288, 288.5, 288a(c), or 289(j); or
- A felony under Penal Code section 261.5(d).

Once all an offender's convictions have been dismissed, this is what he/she can expect:

1. **Applying for private employment:** Under most circumstances, private employers cannot ask about any convictions dismissed under Penal Code section 1203.4. So when applying for a job in the private sector, he/she generally does not have to disclose a conviction if it was dismissed or expunged. But it is a good idea to advise an offender to read Penal Code section 1203.4, or California Code of Regulations section 7287.4(d), or to talk to the public defender if he/she has questions about his/her rights and obligations regarding past convictions when applying for a job.
2. **Applying for government employment or a government license:** For questions by government employers or on government licensing applications, if asked if he/she have ever been convicted of a crime, he/she MUST respond with "YES—CONVICTION DISMISSED." In California, government employers and licensing agencies (except for police agencies and concessionaire licensing boards) will treat him/her the same as if he/she had never been convicted of any crime.
3. He/she will not be allowed to own or possess a firearm until he/she would otherwise be able to do so.
4. His/her dismissed convictions can still be used to increase his/her punishment in future criminal cases.
5. His/her prior convictions can still affect his/her driving privileges.
6. If he/she has been required to register as a sex offender as a result of a conviction, he/she has to make a different motion to the court in order to be relieved of this requirement. A dismissal will not relieve him/her of his/her duty to register as a sex offender. His/her status as a registered sex offender will continue to be available to the public on the Internet under Megan's Law.
7. If his/her conviction prohibited him/her from holding public office, he/she still cannot hold public office after that conviction is dismissed.

If the 1203.4 PC petition is denied

He/she may still be able to get the conviction(s) dismissed. After he/she receives the order from the judge denying the dismissal, he/she can either go to, or call, the clerk at the courthouse to see if he/she can find out why the petition was denied and whether he/she can fix the problem and re-file.

If he/she was sentenced to state prison or sentenced under the authority of the Department of Corrections and Rehabilitation, he/she is not eligible for a dismissal under Penal Code section 1203.4 or 1203.4a. However, he/she may be eligible for a certificate of rehabilitation and pardon. For eligibility and application requirements, contact:

The Board of Parole Hearings

Post Office Box 4036

Sacramento, CA 95812-4036

If he/she is eligible, he/she may file a petition with the superior court. This is a lengthy process and he/she may need a lawyer. He/she has the right to have the public defender assist with the process. Penal Code section 4852.08 discussed his/her right to a lawyer.

Diversion

If he/she was referred to a "diversion" program the record will already be changed in 1 of 2 ways. If he/she successfully completed all of the diversion program requirements, the record should already be changed to show a dismissal. If he/she did not complete the requirements or were not actually given diversion, then the conviction will be on his/her record.

Marijuana possession offenses

If he/she was convicted of possession of marijuana for personal use, then he/she does not necessarily need to get a dismissal for the offense. Under California Health and Safety Code sections 11361.5 and 11361.7, all convictions for possession of marijuana for personal use, after January 1, 1976, are erased from your record after 2 years. HOWEVER...the conviction cannot be for cultivation, sales, or transportation. If it is, it will be on his/her record.

Juvenile records

Juvenile records do appear on the criminal record. As of his/her 18th birthday, he/she is eligible to petition to have juvenile records sealed. Once these records are sealed, no one can gain access to them and they will be completely destroyed 5 years from the date of sealing.

Juvenile records are not automatically sealed upon his/her 18th birthday. He/she must petition the juvenile court to have them sealed. This can be done by filling out a form and filing it with the juvenile court in the county where he/she was convicted.

If he/she graduated from the Department of Corrections and Rehabilitation, Division of Juvenile Justice, his/her juvenile convictions will have been dismissed as part of graduation. If he/she does not petition to have juvenile records sealed and destroyed, they will remain on his/her record until his/her 38th birthday; then they will be destroyed.

Penal Code Section 17

17. (a) A felony is a crime that is punishable with death, by imprisonment in the state prison, or notwithstanding any other provision of law, by imprisonment in a county jail under the provisions of subdivision (h) of Section 1170. Every other crime or public offense is a misdemeanor except those offenses that are classified as infractions.

(b) When a crime is punishable, in the discretion of the court, either by imprisonment in the state prison or imprisonment in a county jail under the provisions of subdivision (h) of Section 1170, or by fine or imprisonment in the county jail, it is a misdemeanor for all purposes under the following circumstances:

(1) After a judgment imposing a punishment other than imprisonment in the state prison or imprisonment in a county jail under the provisions of subdivision (h) of Section 1170.

(2) When the court, upon committing the defendant to the Division of Juvenile Justice, designates the offense to be a misdemeanor.

(3) When the court grants probation to a defendant without imposition of sentence and at the time of granting probation, or on application of the defendant or probation officer thereafter, the court declares the offense to be a misdemeanor.

(4) When the prosecuting attorney files in a court having jurisdiction over misdemeanor offenses a complaint specifying that the offense is a misdemeanor, unless the defendant at the time of his or her arraignment or plea objects to the offense being made a misdemeanor, in which event the complaint shall be amended to charge the felony and the case shall proceed on the felony complaint.

(5) When, at or before the preliminary examination or prior to filing an order pursuant to Section 872, the magistrate determines that the offense is a misdemeanor, in which event the case shall proceed as if the defendant had been arraigned on a misdemeanor complaint.

(c) When a defendant is committed to the Division of Juvenile Justice for a crime punishable, in the discretion of the court, either by imprisonment in the state prison or imprisonment in a county jail under the provisions of subdivision (h) of Section 1170, or by fine or imprisonment in the county jail not exceeding one year, the offense shall, upon the discharge of the defendant from the Division of Juvenile Justice, thereafter be deemed a misdemeanor for all purposes.

(d) A violation of any code section listed in Section 19.8 is an infraction subject to the procedures described in Sections 19.6 and 19.7 when:

(1) The prosecutor files a complaint charging the offense as an infraction unless the defendant, at the time he or she is arraigned, after being informed of his or her rights, elects to have the case proceed as a misdemeanor, or;

(2) The court, with the consent of the defendant, determines that the offense is an infraction in which event the case shall proceed as if the defendant had been arraigned on an infraction complaint.

(e) Nothing in this section authorizes a judge to relieve a defendant of the duty to register as a sex offender pursuant to Section 290 if the defendant is charged with an offense for which registration as a sex offender is required pursuant to Section 290, and for which the trier of fact has found the defendant guilty.

Penal Code Section 1203.4 and 1203.4a

1203.4. (a) (1) In any case in which a defendant has fulfilled the conditions of probation for the entire period of probation, or has been discharged prior to the termination of the period of probation, or in any other case in which a court, in its discretion and the interests of justice, determines that a defendant should be granted the relief available under this section, the defendant shall, at any time after the termination of the period of probation, if he or she is not then serving a sentence for any offense, on probation for any offense, or charged with the commission of any offense, be permitted by the court to withdraw his or her plea of guilty or plea of nolo contendere and enter a plea of not guilty; or, if he or she has been convicted after a plea of not guilty, the court shall set aside the verdict of guilty; and, in either case, the court shall thereupon dismiss the accusations or information against the defendant and except as noted below, he or she shall thereafter be released from all penalties and disabilities resulting from the offense of which he or she has been convicted, except as provided in Section 13555 of the Vehicle Code. The probationer shall be informed, in his or her probation papers, of this right and privilege and his or her right, if any, to petition for a certificate of rehabilitation and pardon. The probationer may make the application and change of plea in person or by attorney, or by the probation officer authorized in writing. However, in any subsequent prosecution of the defendant for any other offense, the prior conviction may be pleaded and proved and shall have the same effect as if probation had not been granted or the accusation or information dismissed. The order shall state, and the probationer shall be informed, that the order does not relieve him or her of the obligation to disclose the conviction in response to any direct question contained in any questionnaire or application for public office, for licensure by any state or local agency, or for contracting with the California State Lottery Commission.

(2) Dismissal of an accusation or information pursuant to this section does not permit a person to own, possess, or have in his or her custody or control any firearm or prevent his or her conviction under Chapter 2 (commencing with Section 29800) of Division 9 of Title 4 of Part 6.

(3) Dismissal of an accusation or information underlying a conviction pursuant to this section does not permit a person prohibited from holding public office as a result of that conviction to hold public office.

(4) This subdivision shall apply to all applications for relief under this section which are filed on or after November 23, 1970.

(b) Subdivision (a) of this section does not apply to any misdemeanor that is within the provisions of Section 42002.1 of the Vehicle Code, to any violation of subdivision (c) of Section 286, Section 288, subdivision (c) of Section 288a, Section 288.5, or subdivision (j) of Section 289, any felony conviction pursuant to subdivision (d) of Section 261.5, or to any infraction.

(c) (1) Except as provided in paragraph (2), subdivision (a) does not apply to a person who receives a notice to appear or is otherwise charged with a violation of an offense described in subdivisions (a) to (e), inclusive, of Section 12810 of the Vehicle Code.

(2) If a defendant who was convicted of a violation listed in paragraph (1) petitions the court, the court in its discretion and in the interests of justice, may order the relief provided pursuant to subdivision (a) to that defendant.

(d) A person who petitions for a change of plea or setting aside of a verdict under this section may be required to reimburse the court for the actual costs of services rendered, whether or not the petition is granted and the records are sealed or expunged, at a rate to be determined by the court not to exceed one hundred fifty dollars (\$150), and to reimburse the county for the actual costs of services rendered, whether or not the petition is granted and the records are sealed or expunged, at a rate to be determined by the county board of supervisors not to exceed one hundred fifty dollars (\$150), and to reimburse any city for the actual costs of services rendered, whether or not the petition is granted and the records are sealed or expunged, at a rate to be determined by the city council not to exceed one hundred fifty dollars (\$150). Ability to make this reimbursement shall be determined by the court using

the standards set forth in paragraph (2) of subdivision (g) of Section 987.8 and shall not be a prerequisite to a person's eligibility under this section. The court may order reimbursement in any case in which the petitioner appears to have the ability to pay, without undue hardship, all or any portion of the costs for services established pursuant to this subdivision.

(e) (1) Relief shall not be granted under this section unless the prosecuting attorney has been given 15 days' notice of the petition for relief. The probation officer shall notify the prosecuting attorney when a petition is filed, pursuant to this section.

(2) It shall be presumed that the prosecuting attorney has received notice if proof of service is filed with the court.

(f) If, after receiving notice pursuant to subdivision (e), the prosecuting attorney fails to appear and object to a petition for dismissal, the prosecuting attorney may not move to set aside or otherwise appeal the grant of that petition.

(g) Notwithstanding the above provisions or any other provision of law, the Governor shall have the right to pardon a person convicted of a violation of subdivision (c) of Section 286, Section 288, subdivision (c) of Section 288a, Section 288.5, or subdivision (j) of Section 289, if there are extraordinary circumstances.

1203.4a. (a) Every defendant convicted of a misdemeanor and not granted probation, and every defendant convicted of an infraction shall, at any time after the lapse of one year from the date of pronouncement of judgment, if he or she has fully complied with and performed the sentence of the court, is not then serving a sentence for any offense and is not under charge of commission of any crime, and has, since the pronouncement of judgment, lived an honest and upright life and has conformed to and obeyed the laws of the land, be permitted by the court to withdraw his or her plea of guilty or nolo contendere and enter a plea of not guilty; or if he or she has been convicted after a plea of not guilty, the court shall set aside the verdict of guilty; and in either case the court shall thereupon dismiss the accusatory pleading against the defendant, who shall thereafter be released from all penalties and disabilities resulting from the offense of which he or she has been convicted, except as provided in Section 12021.1 of this code or Section 13555 of the Vehicle Code.

(b) If a defendant does not satisfy all the requirements of subdivision (a), after a lapse of one year from the date of pronouncement of judgment, a court, in its discretion and in the interests of justice, may grant the relief available pursuant to subdivision (a) to a defendant convicted of an infraction, or of a misdemeanor and not granted probation, or both, if he or she has fully complied with and performed the sentence of the court, is not then serving a sentence for any offense, and is not under charge of commission of any crime.

(c) (1) The defendant shall be informed of the provisions of this section, either orally or in writing, at the time he or she is sentenced. The defendant may make an application and change of plea in person or by attorney, or by the probation officer authorized in writing, provided that, in any subsequent prosecution of the defendant for any other offense, the prior conviction may be pleaded and proved and shall have the same effect as if relief had not been granted pursuant to this section.

(2) Dismissal of an accusatory pleading pursuant to this section does not permit a person to own, possess, or have in his or her custody or control any firearm or prevent his or her conviction under Chapter 2 (commencing with Section 29800) of Division 9 of Title 4 of Part 6.

(3) Dismissal of an accusatory pleading underlying a conviction pursuant to this section does not permit a person prohibited from holding public office as a result of that conviction to hold public office.

(d) This section applies to any conviction specified in subdivision (a) or (b) that occurred before, as well as those occurring after, the effective date of this section, except that this section does not apply to the following:

(1) A misdemeanor violation of subdivision (c) of Section 288.

(2) Any misdemeanor falling within the provisions of Section 42002.1 of the Vehicle Code.

(3) Any infraction falling within the provisions of Section 42001 of the Vehicle Code.

(e) A person who petitions for a dismissal of a charge under this section may be required to reimburse the county and the court for the cost of services rendered at a rate to be determined by the county board of supervisors for the county and by the court for the court, not to exceed sixty dollars (\$60), and to reimburse any city for the cost of services rendered at a rate to be determined by the city council not to exceed sixty dollars (\$60). Ability to make this reimbursement shall be determined by the court using the standards set forth in paragraph (2) of subdivision (g) of Section 987.8 and shall not be a prerequisite to a person's eligibility under this section. The court may order reimbursement in any case in which the petitioner appears to have the ability to pay, without undue hardship, all or any portion of the cost for services established pursuant to this subdivision.

(f) A petition for dismissal of an infraction pursuant to this section shall be by written declaration, except upon a showing of compelling need. Dismissal of an infraction shall not be granted under this section unless the prosecuting attorney has been given at least 15 days' notice of the petition for dismissal. It shall be presumed that the prosecuting attorney has received notice if proof of service is filed with the court.

(g) Any determination of amount made by a court under this section shall be valid only if either (1) made under procedures adopted by the Judicial Council or (2) approved by the Judicial Council.



SHASTA COUNTY PROBATION DEPARTMENT PROCEDURE: ADULT DIVISION CAMERA PROCEDURE

1. Acquiring a camera for use
 - a. There are numbered cameras located in the Adult Division in a designated charging/storage area.
 - b. The Probation Officer will choose **one** of the available cameras.
 - c. No more than one camera should be checked-out per 2-person team.
 - d. The Probation Officer will fill out the check-out sheet attached to the clipboard which can be located next to the camera station.
 - e. The Probation Officer will include their first and last name, date of check-out, and will place an (X) under the appropriate box that corresponds with the camera they are checking out.

2. Proper use and care of cameras
 - a. Each Probation Officer will be permitted to carry the device on their person or in their field bags.
 - b. Cameras are not to be used for personal use, or to take photographs of anything unrelated to the nature of the officer's duties.
 - c. Video recording may be only per policy.
 - d. Cameras may not be stored anywhere other than the camera charging/storage area.
 - e. Cameras should not be left at an officer's desk overnight.

3. Charging and storage
 - a. Upon completion of duties or camera use, cameras are to be stored at the charging/storage area.
 - b. Use the camera sign-in/out sheet to sign the camera back in by placing an (X) under the "In" column that corresponds with the camera.
 - c. If the camera you used has half battery life or less at the time of storage, connect the charger to the camera before signing it out.

4. Photograph and video uploading for evidence
 - a. Do not remove the memory card from the device.
 - b. Once you have gathered evidence with your camera, remove the USB charging cable from the outlet (do not remove charging square) and connect the USB cable to a USB input in your computer. One end of the cable must be connected to the camera and the other must be connected to the USB input for it to work properly.
 - c. Once the device driver has installed, follow the on-screen instructions to upload your photos and/or videos.
 - d. Evidence photos will be saved in accordance with the investigative offense reports procedure section regarding photos.

- e. Once you are finished using the camera, remove the camera and cables from your computer and return them to the charging station. Return to step #3.
5. Loss or damage to cameras
- a. If camera is lost or damaged, it must be reported to a Supervising Probation Officer immediately.

Shasta County Probation Department

Flash Incarceration Procedure

See Appendix A for Flow Chart; Appendix B for Booking Form; Appendix C for checklists

The use of flash incarceration is one of the many medium to high level sanctions that can be utilized when offenders are in violation of their grant of Post Release Community Supervision (PRCS), Mandatory Supervision (MS) or Probation. Per medium level guidelines, a flash incarceration period may range from one to five days in jail. High level flash incarceration periods will be between five and ten days in length. All approvals for flash incarceration of offenders must be granted by a SPO or DD. An offender must agree to each imposition of flash incarceration and sign a waiver for each imposition; therefore, after hours calls will be handled in the normal course.

Imposing Flash Incarceration:

Probation Officer must ensure it is a part of the offender's Judgement and Sentencing and there is a signed waiver and agreement for Formal and Mandatory Supervision. Probation Officer must ensure there is a signed 1515 in PRCS file. This is a part of the orientation process and will be scanned into the offender's file. Additionally, officer will need to obtain signed Waiver of Imposition of Flash Incarceration for each flash incarceration and file it by the end of the next working day.

If the matrix determines a medium to high level response option and flash incarceration is considered by the probation officer and the supervisor to be an appropriate sanction, then the offender is notified of the alleged violation, the imposition of flash incarceration is explained, to include the specific length of time in custody and release date, and he/she is arrested and transported to the Shasta Co. Jail for booking.

Complete the Shasta Co. Jail Pre-Booking Form and present to jail staff upon booking (Sample in Appendix A.) The form should have the Flash Incarceration noted and must identify the type of supervision the offender is under (ie: PRCS with 3454(c) and MS and FP with 1203.35(b)). The PC must also note both the booking date and release date. It is noted that offenders do NOT receive conduct credit during a period of flash incarceration confinement; therefore, it is considered "straight time" and the dates on the booking form should reflect that. However credits do apply for any person booked on a flash incarceration pursuant to Penal Code Section 1203.35(b) if their grant of Mandatory Supervision and/or Probation is revoked. It is also reminded that the PO will need to verbally direct the offender to report to probation within 24 hours of release from custody. Fax the notification of flash incarceration to the jail. This is the FFI event to create the document for MS and Formal. CFI event code to create the PRCS document

A SAT event will be entered in the offender's JALAN case noting the number of days given of flash incarceration and what the violation was that resulted in the use of flash incarceration.

The offender will sign the Waiver of Imposition of Flash Incarceration prior to being booked into the jail on a Flash Incarceration. This document is filed with the court. This will inform court partners of the utilization of flash (1203.35(4)) and also allow the court partners to note that previous flash incarceration(s) has been used.

To create the Waiver of Imposition of Flash document:

Go to the offender's Master Case

From the File Master Update, select "2. Program Information"

Select Record F10 to create new record.

Enter Event Type "FI".

Type "P" in the Print line. Waiver Document will create in file documents

Officer will enter all actively supervised Case Numbers on the Waiver.



Once the offender is released from custody on the flash incarceration the SA completion code, completed date along with the number of days the offender actually served should be entered into the FI program.



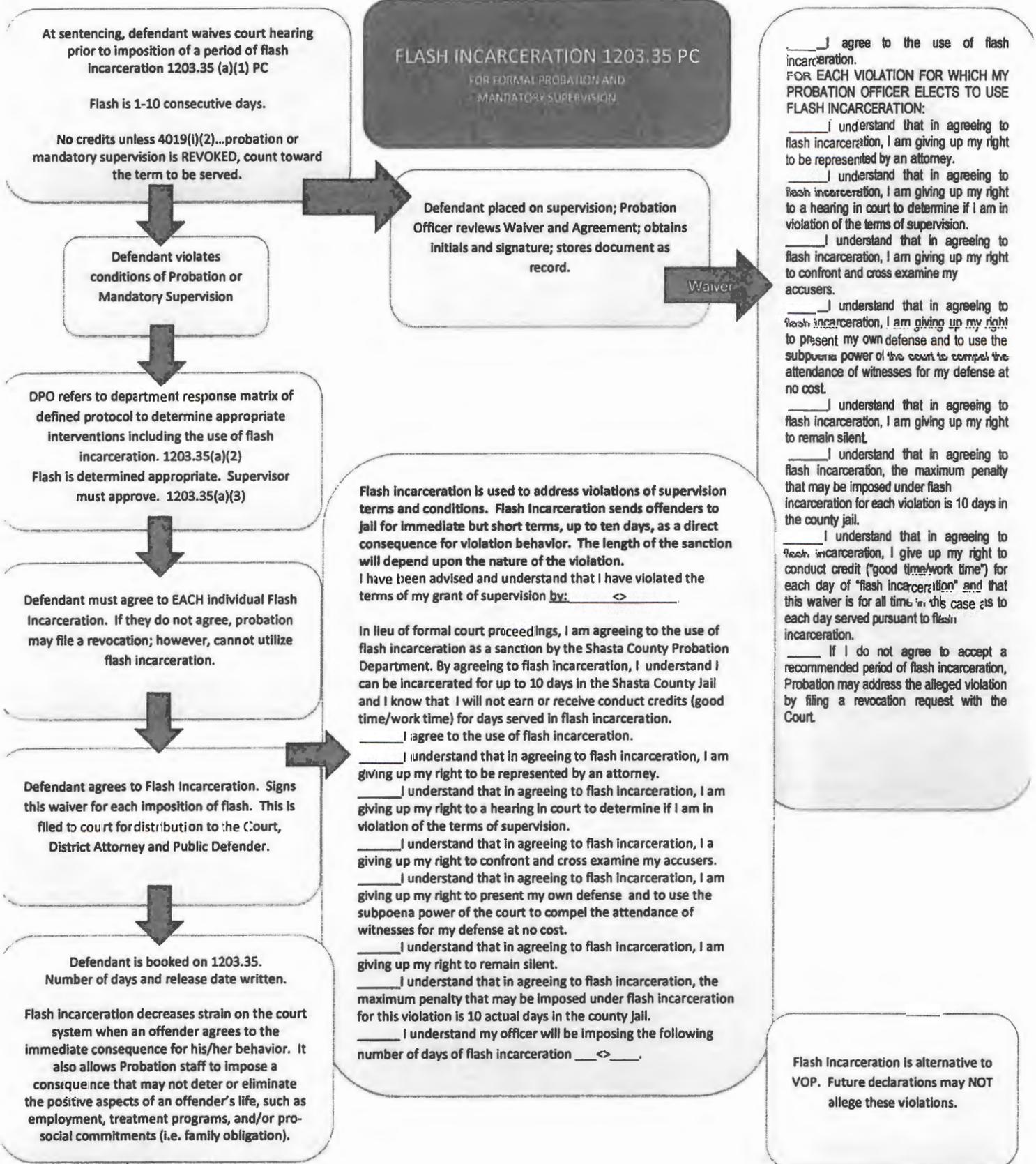
If the offender denies he/she committed the violation and/or refuses to accept the recommended period of flash incarceration, it MAY NOT be imposed. A petition may be filed with the Court, to address the violation.

Post-Flash Incarceration Follow Up:

Flash Incarceration is seen as an alternative to a VOP declaration; therefore, once a period of jail time is served and the offender is released, any future declarations may NOT allege those previous violations. It is further noted that on PRCS cases, the 6 month termination date will need to be adjusted. However, *all* offender behavior can still be considered when using the Matrix and may direct future responses used by the probation officer.

Review case plan and make referrals as appropriate to support behavior change from what caused the utilization of the Flash Incarceration.

APPENDIX A: Flow Chart



APPENDIX C: CHECK LIST FOR FLASH

FORMAL AND MS FLASH

- Ensure part of J and S (began 3/01/18)
- Ensure Waiver and Agreement signed (will be scanned in electronic file)
- Obtained supervisor approval to utilize Flash
- Offender agrees to individual Flash and signed Waiver of Imposition of Flash (FI Program)
- Signed Waiver of Imposition is filed
- Booked on 1203.35(b). Booking form has PO name authorizing and # of days of Flash
- Notice of Flash faxed to the jail. (Event code FFI)
- SAN event entered
- Plan/referral to support future behavior change

PRCS FLASH

- Ensure 1515 signed
- Obtained supervisor approval to utilize Flash
- Offender agrees to individual Flash and signed Waiver of Imposition of Flash (FI Program)
- Signed Waiver of Imposition is filed
- Booked on 3454(c). Booking form has PO name authorizing and # of days of Flash
- Notice of Flash faxed to the jail. (Event code CFI)
- SAN event entered
- Plan/referral to support future behavior change



Shasta County Probation Department Adult Division Assessment Business Rules

Background

The SRNA [Static Risk and Needs Assessment] is an evidence-based, risk/needs assessment implemented by the Shasta County Probation Department, in conjunction with Noble Software Group to assist Shasta County Probation to accomplish the following objectives:

1. Determine an offender's level of risk for re-offending as a way to provide targeted case management that focuses resources on higher risk offenders.
2. With targeted case management in mind, the distribution of caseloads based upon the risk to re-offend.
3. Identify the risk and protective factors linked to criminal behavior so that rehabilitative efforts can be tailored to address the offender's unique assessment profile.
4. Implementation of an automated case plan system focused on reducing risk factors and increasing protective factors using SMART goals and interventions.
5. Allow managers to determine if targeted dynamic risk factors change as a result of criminal justice system interventions.
6. Data collection to determine the need to modify current treatment programs or the need to create additional treatment resources.
7. Allow managers to utilize factors associated with the division's logic model to determine whether supervision and treatment efforts are successful in reducing recidivism.

Philosophy

The use of the SRNA enables the Shasta County Probation Department to reduce recidivism and enhance community safety by assisting offenders under their supervision to increase personal accountability and make positive changes in attitudes and behavior, thereby promoting the vision of Safer Communities – Better Lives.

The Mission of the Shasta County Probation is to Serve the Courts, Protect the Community, Assist Victims and Enhance Lives through Investigation, Intervention, Prevention and Enforcement.

Role of the STAFF

The SRNA supports the role and responsibilities of the staff from that of monitoring sanctions to that of a person who encourages pro-social behavior and works with the offender and the offender's support system to reduce the offender's risk to re-offend. These efforts blend with the officers' roles to mitigate risk to the community and enforce court ordered conditions. Officers will utilize Motivational Interviewing skills, in conjunction with other skills and experience, to enhance offender motivation through the case plan process and directed skill practice to make positive behavioral changes.

Protocols for Training

1. All staff are to participate in SRNA training and training updates as required. The level of training will be determined by staff assignment. Additional training such as Motivational Interviewing training and case plan training will also be provided to increase staff proficiency.
2. Newly hired or transferred staff will receive the formal MI, SRNA (SRA & ONA) and case plan training within six months of hire or transfer, with every effort made to have the training started by the third month. Staff will be exposed to the SRNA by liaisons as a part of their initial orientation, which will include shadowing during the assessment process.
3. Staff are encouraged to utilize department liaisons for ongoing assistance regarding the SRNA, motivational interviewing, and case planning.
4. Staff who have not been trained per their specific job classification will not complete any portion of the ONA or the case plan.

Protocols for JALAN password

With the integration of the JALAN and Noble assessment system it is important that you change your JALAN password in accordance with the designated rules.

1. You must change your JALAN password before your Windows password, failing to do this causes your JALAN access to be disabled and your access denied. Your JALAN and Windows password must be the same.
2. Do not wait until the "last" day when the system begins to give you password reminders. This can also cause your JALAN access to be disabled.
3. JALAN does not recognize capital letters so do not use capitals as part of your password.
4. When you change your password follow these rules:

Password Rules

- Cannot use any of the previous 18 passwords.
- Must be between 8 and 10 characters in length.
- The 1st character must be an alpha (a-z) character.
- All alpha characters must be lower case (ensure Caps Lock is off).
- Must contain at least 1 numeric (0-9) character somewhere in the password, except for the 1st position.
- Must contain at least 1 of three special characters; @, #, or \$, except for the 1st position.
- Password cannot contain repeated consecutive characters (example – aa, 22, etc...).

Protocol for the Virginia Pre-Trial Risk Assessment Instrument (VPRAI)

The adult division will also utilize the Virginia Pre-Trial Risk Assessment Inventory (VPRAI) for the Supervised Own Recognizance Program (SOR). The purpose of this tool is to guide the Court to a determination of which offenders should be released from custody and to accurately predict the level of supervision needed for offenders placed on the program.

1. SOR staff assigned to the jail will complete a VPRAI on qualifying inmates scheduled for arraignment.
2. All offenders assessed for the SOR Program will be entered into the JALAN system.
3. A VPRAI will be completed per the Supervised Own Recognizance (SOR) procedure.
4. A VPR person alert will auto-generate in the JALAN system indicating the offender's risk level for this assessment.

Protocols for the Static Risk Assessment (SRA)

1. Staff will ensure the offender's entire criminal history including juvenile felony offenses and out of county and out of state offenses are entered into the offender's charges screen. All adult convictions from Shasta County will auto-populate from the JALAN system. All offenses (including local crimes) shall be verified for accuracy with the offender's rap sheet. When reviewing the rap sheet/charge page information ensure that cases that are transferred to Shasta County are not entered twice into the system.

2. If the elements of the crime(s) entered on the offender's charges screen is related to domestic violence, you must check the DV box.

3. After all the offender's criminal history is entered, staff will create the SRA. There is no need to print the SRA; the JALAN system will enter a risk level person alert onto the offender's JALAN profile. This person alert (RSK) will reflect risk level and numerical scores.

4. Static Risk Assessments will be completed on all new offenders under any type of formal supervision in order to determine the appropriate level of supervision.

5. A Static Risk Assessment will be completed in one of the following ways:
 - a. The Investigations Unit will complete a SRA on all offenders where a formal supervision recommendation is made (stipulated sentences) or terms and conditions are provided to the Court. The SRA will be completed prior to determining the type of pre-sentence report to be written (short form or full PSI).

 - b. The clerk assigned to process PRCS cases will complete the SRA on all PRCS cases released or transferred to Shasta County from CDCR. The officer assigned to processing the PRCS packets from CDCR will ensure the SRA has been completed accurately.

 - c. Staff assigned to the Supervision Units will complete a SRA for every offender under supervision when a SRA was not previously completed (i.e. cases where a prison recommendation was made but probation was granted, cases transferred to Shasta County, interstate compact cases, cases where probation was summarily granted).

 - d. Clerical staff who have been trained to complete the SRA may also assist with the completion of this assessment.

6. The Supervision Unit DPO III/SPO in charge of caseload assignment will verify the creation of the SRA prior to caseload assignment. If not, the DPO III/SPO will ensure the information is entered and the SRA is completed prior to case assignment. Once the SRA has been completed the DPO III/SPO will assign the case per established protocol.

7. Static Risk Assessments will be completed on all offenders currently under supervision upon the conviction of a new felony/misdemeanor offense (regardless of how recently the last SRA was completed) or if a risk level is unknown for the offender. When completing the SRA upon the conviction of a new offense, choose option #1 in JALAN (SRA new offense).

8. Static Risk Assessments will be completed on all offenders currently under supervision upon the resentencing of cases per Proposition 47. These will be considered reassessments and option #2 in JALAN (SRA reassessment) should be chosen when

processing these assessments. The changes in grade of offense from felony to misdemeanor per Prop 47 must be made manually (changing the charge from felony to misdemeanor) and then the SRA needs to be created. If there is a reduction in risk level from high to moderate or low, the case must be staffed with the SPO and supervision level determined based upon protocol.

9. No changes to the charges profile will be made nor will a new SRA be created when a charge is reduced per 17(b) PC, cases are dismissed per 1203.4 PC or are given a pardon.
10. All criminal charges must have a severity score in the assessment system in order to accurately assess risk. Currently, all charges that have been processed in the JALAN system have been entered into the Noble database and given a severity score. When a new charge is encountered, it will be noted that the assessment cannot be processed due to lack of information in the Noble system. The members of the I-team have access to an email address to assist with adding the severity information as needed. Should you encounter this issue, contact an I-team member.
11. The following acronyms will appear on the risk level person alert when a SRA is created:

Complete Description	Suggested Acronym
Risk Level Score	RLS
Social History Score	SHS
Criminal History Score	CHS
Property & Violent Score	PVS
Violent Score	VS
Felony Score	FS
Risk Category Score	RCS
Risk Score	RS

Protocols for Professional Discretion and Override

1. All offenders who assess at low or moderate risk to re-offend based on the SRA will be placed on the banked caseload, unless there are articulated reasons that warrant supervision.
2. When the probation officer believes an offender needs to be supervised beyond what the SRA score indicates, the classification level may need to be overridden. Approval for an override must be staffed with the unit supervisor.

Possible Override Criteria for increased supervision:

- Instant offense contains serious physical violence/harm
- Instant offense includes a 186.22 PC charge or gang terms and conditions of supervision

- Instant offense includes use of a firearm or other deadly weapon
 - History of sexually motivated crimes
 - Dangerously Mentally Ill Offenders
 - Explicit threats of physical harm against specific individual(s)
 - Stalking and/or harassing behavior
 - Ritualistic, bizarre, and/or irrationally violent behavior
 - Is accepted into a specialized court program
3. Only a supervisor (SPO), division director (DD), Assistant Chief Probation Officer (ACPO) and/or Chief Probation Officer (CPO) has the authority to override the level of supervision based upon the SRA score. A case note must be entered in JALAN by the overriding authority that articulates the reason for the override.
 4. Cases where an override is used will have a case plan created with measurable, attainable goals addressing the top criminogenic needs specific to the cause for the override. Case plans will be created within 30 days of a completed ONA. Case plans will be reviewed every 6 months with the SPO to determine if the override is still valid, with the ultimate goal of returning the offender to the level of supervision based on the assessed risk level.
 5. An override also occurs when a staff member requests a high-risk case be transferred to the bank caseload. This may occur when the staff can articulate reasons for the transfer, including a change in risk and protective factors that warrant a modification of supervision level. High-risk cases will typically be supervised a minimum of 6 months before a transfer to the bank caseload is considered. All transfers to the bank caseload will require approval from the SPO prior to the transfer. Staff will complete an ONA reassessment, case review, and fill out the transfer form prior to the transfer. Staff must enter a case note in the offender's JALAN file documenting the override.

Protocols for Offender Needs Assessment (ONA)

1. The completion of ONA's on a significant number of offenders is a Departmental goal. However, this goal must be weighed against available resources. The rules regarding which offenders will receive an ONA are located in the divisions supervision standards. The following section lists the process for how an Offender Needs Assessment will be implemented on those offenders who qualify for such.
2. Those offenders requiring an ONA will have an ONA completed within 30 days of the offender's general instructions regarding their supervision terms or case assignment (whichever occurs last). An offender's AWOL status suspends this requirement.
3. Prior to administering the ONA, staff will explain the following to the offender:
 - a. The purpose of the assessment, which includes:
 - i. Identifying risk factors that make the offender more likely to reoffend.
 - ii. Identifying protective factors that help the offender from reoffending.
 - iii. Developing an individual case plan based on the offender's risk and protective factors to help the offender succeed while on supervision status.

- b. That notes will be taken during the interview to ensure correct information is gathered.
 - c. That collateral information will be collected to verify information provided.
 - d. That the results will be shared and used to develop a case plan.
4. Collateral information should be gathered as soon as practical. Sources of collateral information may include, but are not limited to: school, employment, other family members, other court agencies and staff and community social service agencies. The PSI is a valuable resource for criminal history and general social history information and should be consulted before an interview.
5. When the Offender Needs Assessment is completed, a follow-up meeting will be scheduled within 30 days with the offender to discuss the results of the assessment, including a verbal summary of the major need and protective factors as indicated in the assessment. A case plan to address the offender's needs will also be developed and signed by the offender. This 30 day time frame may be altered at the discretion of the officer due to significant case circumstances which make the defendant unavailable. A case note should always be entered to explain the situation. A follow up meeting which has been extended should be completed as soon as feasible.
6. To keep track of statistics involving ONA's the "Note Types" of "ONA – Initial", "ONA – Re-assessment", "ONA – Final", "ONA – Case Plan" and "ONA – Case Plan Cannot Complete" will be used. These note types should be selected upon completion of the appropriate assessment or follow up meeting. At no time will an ONA not be labeled.
7. If an offender qualifies for an ONA pursuant to these business rules; however, is pending transfer out of county, the officer shall have discretion to not complete the ONA process if it appears likely the transfer will be granted and completed in a timely manner. A case note should be made in such a case. The ONA process should proceed if the transfer is unlikely or if it will take an extend amount of time.
8. Staff may use the provided ONA interview guide to prepare for the ONA assessment; however staff are encouraged to develop their own interview style that allows for the best use of their MI skills to obtain the needed information.

Protocols for EDITING the ONA

The function of "editing" exists when there is an input/data entry error when completing the ONA. However, an ONA may only be edited if you immediately note the error and no decision has been made using the results of that assessment. Once a decision has been reached based on assessment results, corrections/additions must be made by creating a new ONA and labeling it as an amended assessment.

Protocols for Case Plans

1. Case Planning is designed to be a collaborative process. The officer should review the risks and needs identified through the ONA with the offender, as well as any other identified family members, and work together to develop agreed-upon goals. Staff should address any stabilization factors (as noted in the summary report) first with the offenders in order to increase the offender's ability to be successful with the case planning process.
2. Case Plans should generally address the top three criminogenic needs of the offender. Staff should remember that addressing the top 4-6 needs is the best way to develop change with high risk offenders.
3. The officer will have discretion to tailor the case plans to fit the case circumstances. When a top three criminogenic need is not addressed in a case plan the officer should make a case note as to why. The case plan should include appropriate goals and interventions to help the offender address his areas of need.
4. Case plans will be created per supervision standards. The offender's case plan will be signed by the offender and the officer/probation assistant.
5. Case plans will be updated upon any change in the offender's criminogenic need(s), completions of goals/interventions, and at each office visit. The plan will be reviewed and signed by the offender and officer/probation assistant upon each update.

Protocols for Re-Assessments

1. An ONA re-assessment will be completed every six (6) months or upon a significant change (arrest, substance abuse, death, divorce, behavior change, mental health, disruption in living arrangement and/or employment issues, etc.) in the offender's life. Staff should consider collateral information available from the family, employment, and treatment, in completing the re-assessment.
 - a. The six (6) month re-assessment period requires that at least three-and-a-half months be spent in the community.
 - b. An Offender Needs Assessment person alert (ONA) will automatically be entered on the offender's profile when an ONA is completed. The reassessment date will be tracked in the JALAN system using the "ONA" person alert. The ONA alert should be checked on a weekly basis by all supervision staff. Each time an ONA is completed the old alert will automatically close and a new alert will be set for 6 months.
 - c. If you are unable to complete a reassessment for any reason, that should be noted and a "cannot complete" reassessment label should be reflected in the offenders profile. The ONA person alert will be set for 30 days in these incidences.
2. When the Re-Assessment is completed, a follow-up meeting will be scheduled within 30 days with the offender to discuss the results of the assessment, including a verbal summary of the major need and protective factors as indicated in the assessment. An

on-going case plan to address the offender's needs will be developed and signed by the offender. Progress notes will be included on the case plan when appropriate.

3. At no time should a reassessment be completed without an interview with the offender.
4. Cases may be staffed at Treatment Team or What Works meetings to determine eligibility for supervisory re-classification (transferring cases to the bank caseload). When staff believe supervisory re-classification is appropriate, the case must be staffed with the supervisor for final approval.
5. A Final Assessment is required on a case in which supervision status does not terminate, however, is transferred to a banked caseload or a caseload where the offender is no longer supervised.
6. An ONA Final Assessment will be completed to assess the offender's progress from initial assessment to Final Assessment. For cases still being supervised when the case is set to terminate, an ONA final assessment will be completed within 8 weeks prior to case closure to assist in gauging the offender's progress from initial assessment to final assessment. Important factors to analyze include any changes in risk to re-offend, or in areas of highest criminogenic need, for example, progress in reducing risk factors or increasing protective factors. A face to face interview is not mandatory to complete a Final Assessment. No follow-up meeting is required following a Final Assessment.
7. The Final Assessment is required regardless:
 - a. Of when the previous Re-Assessment was completed.
 - b. Of the nature of the case's final disposition.
8. No Final Assessment should be completed if a supervision status terminates when that offender is on another supervision status and an ONA is required under these business rules. This rule would also apply to an offender terminated from Felony Probation and sentenced to Mandatory Supervision.
9. No ONA Final Assessment is needed to close out a case if no initial ONA was required pursuant to these business rules.

Protocols for Use of Alcohol/Drug Assessment

1. Prior to making a recommendation or referral for residential treatment or sober living staff are required to complete the Texas Christian University drug screening (TCUSD V-TCU Drug Screen V). This assessment can be found on the intranet under adult supervision. It is a paper assessment tool that is required to be submitted with any referral for inpatient residential treatment or sober living.
2. The TCUSD V-TCU Drug Screen V is scored in the following fashion:

1. Assign 1 point to each "yes" response to items 1 through 9.
2. For items 10 and 11,
 - a. assign 1 point if respondent answers "yes" to either 10a or 10b;
 - b. assign 1 point if respondent answers "yes" to either 11a or 11b.
3. Sum 1-point "yes" responses for items 1 through 11, yielding a total score ranging between 0 and 11.
4. Note that items 12 through 17 are not included as part of the total TCUDS V score; they provide additional information that may be useful in guiding treatment decisions.

Interpreting Scores. Interpretation of the TCUDS V score corresponds with the *Diagnostic and Statistical Manual of Mental Disorders (DSM-5)* criteria, and is based on a single disorder measured on the following continuum from mild to severe:

Mild disorder:	Score of 2-3 points (presence of 2-3 symptoms)
Moderate disorder:	Score of 4-5 points (presence of 4-5 symptoms)
Severe disorder:	Score of 6 or more points (presence of 6 or more symptoms)

Protocols for Supervision

1. All offenders who assess at low or moderate risk to re-offend based on the SRA should be placed on the banked caseload, unless there are articulated reasons to warrant supervision. All cases that warrant an override will be staffed with a supervisor. Only a supervisor, division director, ACPO and/or CPO has the authority to override the level of supervision based upon the SRA score.
2. All offenders who assess at high risk will be assigned to a supervision caseload unless approved by the SPO or DD to be placed on a banked caseload.
3. When staff believes an offender's classification level may need to be modified, (to either a higher or lower level), approval for modification must be obtained from the supervisor and documented by the officer in the offender's case notes.
4. The completion of the needs assessments and case plan is determined by the division's supervision standards.

Assessment Transition Plan

1. The switch from Assessment.com to Noble Software occurred on February 9, 2015, and all rules related to SRA's became effective on that date.
2. There will be a 6 month transition period for the Offender Needs Assessments and case planning beginning March 1, 2015. The Protocols for the ONA transition will be re-evaluated periodically.
3. During this transition period, for all caseloads which require an ONA pursuant to our supervision standards a minimum of 5 new ONA's will be completed per month. The minimum number is satisfied even if an ONA case was transferred from the officer's caseload.

4. For those offenders who currently have an ONG assessment, staff will complete an ONA, beginning with those offenders who are currently assigned to a treatment program, within 90 days of implementation.

Protocols for Record-Keeping/Reports

1. Once the ONA has been completed, staff is required to destroy informal notes taken during the interview process.
2. A signed copy of the offender's case plan will be maintained in the case file.
3. A full history of SRNA Assessments is maintained by Noble and is available for review on both an individual and aggregate basis.
4. All staff with access to Noble will have all reports available; however, they should only access the reports for which they have a justifiable need. Staff is expected to use this resource in a professional and legal manner.
5. Reports will not be attached to documents sent to the Courts, the District Attorney, or defense counsel. When the Courts become more familiar with the SRNA, they may request copies of the reports. At that time, this rule may need to be reconsidered.

Protocols for Confidentiality

1. The results of the SRA and ONA are subject to confidentiality requirements. They will be treated as part of the case file and subject to all rules and regulations attached to other parts of the case file.

Protocols for Quality Assurance, Program Fidelity and Sustainability

To ensure quality assurance, implementation integrity, and sustainability of the SRNA assessment process, the following steps will be taken:

1. A team of "Liaisons" is established to encourage proficiency among all staff in the use of the SRA, ONA, case plans and MI. A liaison is a staff member who is a subject matter expert in the application of the SRNA, motivational interviewing, and case planning techniques. The liaisons should be positioned strategically throughout the Adult Division to maximize their availability and usefulness.
2. The Department will provide liaisons with ongoing annual training in evidence based practices, motivational interviewing and other subjects pertinent to their role as liaisons.
3. The I-Team will establish a protocol for length of commitment to the SRNA process and provide protocols for succession planning which will include staff transfers, reassignments and promotions.
4. The following will be the responsibilities of Liaisons:

- i. Attend regularly scheduled meetings to address systemic issues and concerns related to the SRNA assessment tools.
 - ii. Provide ongoing coaching and mentoring of staff to encourage the consistency and integrity of SRA/ONA scoring and MI delivery.
 - iii. Participate in the weekly What Works meetings to ensure staff a safe environment for training, staffing cases, questions, and concerns. Concerns will be addressed with the I-team and the SPOs and DDs when necessary.
 - iv. Support the sustainability efforts of the department.
 - v. With the support of Management, will develop requirements for measuring inter-rater reliability. Noble has an online inter-rater reliability program which will be used for this purpose.
 - vi. Conduct an annual formal review of the SRNA Business Rules and revise as necessary.
 - vii. Liaisons will demonstrate the SRNA (SRA/ONA) Assessment to all new staff during the staff's initial orientation with the department/division.
 - viii. Liaisons will keep track of concerns and training issues regarding the business rules and/or help screens.
 - ix. Participate in conference calls and meetings to share information on systemic issues, raise issues and address concerns related to the SRNA, such as interview techniques, how best to increase awareness of the basic underlying evidence-based principles of the SRNA, alternative case management strategies, as well as changes to the SRNA Manual, the assessment process, or SRNA Business Rules.
5. If a liaison deems remedial training necessary for any staff member, such training will be provided by the liaison or others as necessary. The assigned officer's supervisor must be notified and provide input as needed.
 6. SRNA Business Rules will be formally reviewed annually and revised as necessary.

Protocols for Help Screens

1. An appointed liaison will be responsible for reviewing and updating the Help Screens every six months.

Protocols for Management

1. Management will ensure the information obtained in the assessments is utilized as part of the division's logic model to track success and areas where improvement is needed
2. Management will review the effectiveness of existing services. The review will measure changes, if any, in ONA scores for defendants participating in each program, from inception to completion. Management will review aggregate data from the initial ONA assessment and final assessments relating to changes in risk to re-offend, and changes in reducing dynamic risk factors and increasing protective factors. The result of which will be reported to the Department.

3. Management will identify gaps in existing services based on an analysis of aggregate criminogenic needs identified in the ONA assessments for which no, or inadequate, services exist. The analysis should emphasize evidence-based services, particularly cognitive-behavioral, social learning, community support and relapse prevention programs.

Shasta County Probation Department

SRNA Business Rules:

GLOSSARY

Case Plan A collaborative process that allows staff to identify specific goals and interventions based on the criminogenic needs and protective factors identified by the ONA producing a written document that serves as a road map for the offender's success.

CBT Cognitive Behavioral Therapy is a psychosocial (both psychological and social) therapy that assumes that faulty thought patterns (called cognitive patterns) cause maladaptive behavior and emotional responses.

CQI – Continuous Quality Improvement

Criminogenic Needs & the Big 8

Criminogenic needs are dynamic risk factors that when addressed have been clinically proven to affect the offender's risk for recidivism. Criminogenic needs should be prioritized so that services are focused on the top identified criminogenic needs.

The big 8 Criminogenic needs are:

- › Dysfunctional Family Relations
- › Anti-Social Companions
- › Low Levels of Education or Vocational Training
- › Lack of Pro-Social Leisure Activities
- › Substance Abuse
- › Low Self-Control
- › Criminal Temperament & Personality
- › Anti-Social Attitudes

Dynamic Factors Dynamic factors are circumstances or conditions in an offender's life that CAN potentially be changed.

EBP Evidence Base Principles
Interventions within corrections are considered effective when they reduce offender risk and subsequent recidivism and therefore make a positive long-term contribution to public safety. EBP implies that 1.) There is a definable outcome(s); 2.) It is measurable; and 3.) It is

defined according to practical realities (recidivism, victim satisfaction, etc.) There are 8 principles for effective intervention.

Inter-rater reliability A reliable instrument should produce the same assessment and result for the same offender, when done by different assessors.

MI Motivational Interviewing. A directive, client-centered counseling style for helping clients explore and resolve ambivalence about behavior change. MI uses the skills of active listening to engage the offender in the change process. Motivation emerges from the interpersonal interaction between the offender and the probation staff through building rapport and focusing on a “client-centered” approach.

ONA Offender Needs Assessment . 10 domain tool used to determine the offender’s criminogenic needs and protective factors in order to reduce recidivism through effective case management.

Override: When the level of supervision indicated by the SRA is changed based upon established criteria.

PEI (5) Principles of Effective Intervention.
RISK PRINCIPLE: Prioritize supervision and treatment resources for higher risk offenders.
NEED PRINCIPLE: Target interventions to criminogenic needs.
RESPONSIVITY PRINCIPLE: Be responsive to temperament, learning style, motivation, gender, and culture when assigning to programs.
TREATMENT PRINCIPLE: Integrate treatment into the full sentence/sanction requirements.
FIDELITY: Strict observance of duties, and adherence to fact or details to ensure validity and accuracy.

Protective Factors They are circumstances or events in the offender’s life that reduce the likelihood of the offender committing a crime, those positive things that help the offender overcome adversity. Examples: feelings of hope towards the future, functional family environment, etc...

Recidivism **Misdemeanor or felony conviction after the offender is placed under a term of supervision.**

SRA Static Risk Assessment. Used to determine the offenders risk to reoffend (low, moderate, high-property, high-violence, high-drug)

Static Factors Static factors are events in an offender’s life that are historic and CANNOT be changed.

SRNA 4th generation tool used to determine the offender’s risk to reoffend and identify risk and protective factors (SRA/ONA)

VPRAI

Virginia Pre-Trial Risk Assessment Inventory tool used to determine placement on the Supervised Own Recognizance Program (SOR)



SRNA Interview Guide

EDUCATION

How did you do in school? What is the highest level you completed?

Describe any times that you were expelled from school.

What are your educational goals at this time?

COMMUNITY EMPLOYMENT

Tell me about the job you have held the longest?

Describe your current job/vocational skills. What are your hours?

Explain any problems you have ever had while being employed

If unemployed—What things keep you from being employed?

Where does most of the money come from that you use to support yourself?

What is your monthly income?

Describe how you spend your money

What type of health insurance do you have?



SRNA Interview Guide

Describe the relationship you have with your employer and co-workers.

FRIENDS/ASSOCIATES

Tell me about your friends.

Have any of your friends been in trouble with the law?

What types of things do you do together?

Who usually decides what types of things you will do?

RESIDENTIAL

Where have you lived during the past 6 months?

Where do you currently live?

Who else lives with you?

What type of neighborhood do you live in? What type of social network do you have where you live?

FAMILY

Describe any marriages or equivalent relationships that you have had



SRNA Interview Guide

What was your longest marriage (or equivalent relationship)

How long have you currently been married?

Describe your spouse/partner; your communication; the type of influence he/she is, etc.

Describe any problems you have had with your partner.

What type of conflict occurs between you and your partner? How is it managed?

How supportive has your partner been of you during the past six months?

What other family members have been involved in your life during the past six months?

What type of conflict occurs between you and the relative you feel closest to?

How much support does your family member give to you? How?

How many children do you have? Where do they live? Describe your relationship with them.



SRNA Interview Guide

ALCOHOL AND DRUGS

What alcohol and drug use problems have you had during your lifetime?

Describe any alcohol problems.

Describe any drug problems you have had. What drugs have you used?

What have been the impacts of drug and alcohol use during your lifetime? In the past 6 months?

How have you supported your alcohol/drug use in the most recent 6 months?

Describe any participation you have had in a drug/alcohol treatment program? Have you ever been referred? Attended? Did you successfully complete the program?

What things have helped you stay clean and sober during the last 6 months?

MENTAL HEALTH

Describe any mental health issues that you have experienced during your lifetime?

Describe any time that you ever felt like harming yourself. Describe any plans or actions you have had to harm yourself.

Have you ever had an official MH diagnosis? If so, what? Were medications prescribed?

What type of treatment have you received for mental health issues? Have you ever been hospitalized for MH issues?

Have you ever received outpatient counseling or been prescribed medication for Mental Health issues?

Aggression

Describe how you react when you get angry? How often do you get angry?

How do you react when someone disagrees with you?

Tell me about any times you have hurt someone or something when you are angry.

Tell me what you are thinking about when you are angry? How are you feeling?

Describe any time you have used any type of weapon/gun to harm someone? What was the outcome?

Tell me about any times you have threatened to harm someone without actually going through with it.

ATTITUDES AND BEHAVIORS

What is usually going through your mind the very second before you commit a crime? Before you get angry? Before you hit someone? What do you tell yourself?

SRNA Interview Guide



How much control do you think you have over your behavior?

What types of emotions do you have other than anger?

What are your goals for the future? Where do you see yourself in 2 years? Five years?

How do you feel about people who tell you what to do such as your boss, police officers, or the court?

Why do you think there are rules and laws? How fair are they?

How do you feel about following rules and laws?

How do you think your victims feel about the crimes you committed?

Have you ever taken anything from someone else? How do you feel about that? When is it ok to take something without permission?

What are the conditions for your supervision? What do you think about meeting these conditions? Are they realistic? Can they be met?

COPING SKILLS

How much control do you think you have over your behavior?

SRNA Interview Guide



How do you react if someone tells you that you cant have something or you cant do something that you want to do? Give some examples.