

CHRONOLOGICAL FILING IN ADULT CASE FILES

- AUTHORITY:** Administrative Directive
- RESCINDS:** Procedure Manual Item 1-5-303, dated 12/04/18 (Major Revision)
- FORMS:** None
- PURPOSE:** To outline the responsibility for maintaining complete and chronological case file information and to provide guidelines for the location and order in which documents are to be filed in adult case files.

I. GENERAL INFORMATION

It shall be the responsibility of the unit supervisor to make certain that:

- A. Deputized or clerical staff working on a case properly files all loose documents in the case file as soon as possible.
- B. Before a case is transferred from a unit or sent to the File Room, it should be reviewed to assure proper order.
- C. Documents received after a case has become inactive are forwarded to the File Room with the proper file number in the upper right-hand corner.

II. PROCEDURE

A. Adult Case Files

1. Case files with double fasteners:

- a. Documents are to be filed in chronological order, with the earliest date on the bottom, as follows:

<u>Left Side</u>	<u>Right Side</u>
<ul style="list-style-type: none"> -Field book sheet -Chronological History Sheet (Automated), as needed. -Probation orders (active cases) (Automated), as needed. -Signed probation instructions (Automated), as needed. -Legal documents (see below) (Automated), as needed. 	<ul style="list-style-type: none"> -Most recent Integrated Case Management System (ICMS) Risk/Needs Assessment (top) -Earlier ICMS Risk/Needs Assessments. (Automated), as needed. -All other documents (Automated), as needed.

(All documents can be sent to document imaging and scanned to IDMS.)

b. Examples of legal documents: (Left Side)

- (1) Probation Violation Reports
- (2) Warrant Petitions
- (3) Signed Modification Petitions
- (4) Progress and Monitor Reviews
- (5) Probation Orders
- (6) Protective Orders
- (7) Complaint
- (8) Tahl form
- (9) In instances of multiple formal grants of probation, all cases are filed individually, in chronological order, and clearly identified as separate Court cases.

c. Example of other documents (Right Side)

- (1) Most recent Integrated Case Management System (ICMS) chrono Risk/Needs Assessment (top) Earlier Risk/Needs Assessments can be removed if completed in ICMS.
- (2) Most recent record check (Last document in file, Automated) as needed.
- (3) Police reports (Automated) as needed.
- (4) Summary grant (Automated) as needed
- (5) Monthly Report Forms
- (6) Proof of DNA provided (Automated) as needed
- (7) Program certificates, progress reports, proof of enrollment/completion
- (8) Birth Certificate, Social Security Card, Identification

2. Case files with three fasteners:

Supervised Electronic Confinement (SEC), PARS, Prob 63, and Financial paperwork scanned and uploaded to IDMS.

III. Procedure to close out case file/transfer/terminate

- A. Upon termination of field supervision or expiration of probation supervision, all documents otherwise located on IDMS should be removed from case file and destroyed.
- B. It is the responsibility of the Deputy to confirm documents are located on IDMS prior to destruction.

REFERENCES:

Procedures: 2-1-104 Chronological History Sheet – Adult

Policies: B-1 Case Confidentiality – Clients’ Right to Privacy
 B-3 Case File Management and Security

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APPROVED BY: