

**TRANSFERRING CASES TO ADULT FIELD MONITORED
AND ADULT ADMINISTRATIVE CASELOADS**

- AUTHORITY:** Administrative Directive
- RESCINDS:** New
Memo Interim Directive Date 03/03/20
- FORMS:**
- | | |
|---|-------------------------|
| Initial Assessment Chrono | (Automated Risks/Needs) |
| Reassessment Chrono | (Automated Risks/Needs) |
| Termination Chrono | (Automated Risks/Needs) |
| Field Monitored Kiosk Reporting Letter (English) | F057-2300.1(A)AF |
| Field Monitored Kiosk Reporting Letter (Spanish) | F057-2300.1(A)AF (SP) |
| Field Monitored Kiosk Reporting Letter (Vietnamese) | F057-2300.1(A)AF (V) |
| Kiosk System-Quick Reference Guide | (Prob-Net) |
| Kiosk User Manual | (Prob-Net) |
| Transfer to Administrative Status Letter | (Automated/Word) |
| <u>List of Serious and Violent Offenses</u> | |
- PURPOSE:** To provide guidelines for transferring cases to the Adult Field Monitored (Adult FM) and/or Adult Administrative (Adult Admin) caseloads.

I. GENERAL INFORMATION

- A. Adult FM Caseload: Supervision by way of Report Verification Forms and/or the KIOSK system for those individuals whose charges, case dynamics and risk scores qualify them for FM supervision; and who still have Court orders that need to be monitored (volunteer community service, classes, etc.). FM caseload supervision is considered a step-down from active supervision.
- B. Adult Admin Caseload: Monitoring at the lowest level of supervision only by mail or telephone for adherence to court orders, directives and laws. Administrative supervision does not require personal Deputy Probation Officer (DPO) contact and there are no court orders to monitor. Administrative caseload supervision is considered a step-down from FM supervision.
- C. If a case meets the criteria for transfer to Adult Admin, the case may be transferred directly from field supervision to Adult Admin. It is not required for the case to be transferred to FM supervision prior to being transferred to Adult Admin.

II. Adult FM Supervision

- A. The following cases shall be transferred to FM supervision unless the assigned Supervising Probation Officer (SPO) approves them to remain on active supervision:
1. Cases with low risk scores on the department's risk/needs assessment with outstanding court orders needing monitoring (i.e. volunteer community

service, treatment program participation/completion, etc.). Case cannot have any pending court dates.

2. Regardless of risk score, cases that have had no formal PV petitions requiring a custodial commitment or flashes for either a new law violation (NLV) or technical violation after two reassessment periods or any time after 12 months of field supervision with outstanding court orders to monitor (i.e. community service, treatment program participation/completion, etc.).
- B. The following is a list of additional criteria to consider when determining if a case is appropriate for transfer from field supervision to Adult FM:
1. Cases with a medium risk score on the department's risk/needs assessment with outstanding court orders needing monitoring (e.g. community service, treatment program participation/completion, etc.)
 2. Cases must have a minimum of three months remaining on supervision.
 3. Cases must have no new law violations or formal technical violations within the three months prior to transfer. However, cases, which have incurred de minimis technical violations addressed informally by the DPO are eligible for transfer to FM.
 4. Individuals with sex offenses must meet the following requirements to be eligible for transfer to FM caseloads:
 - a) Do not require registration pursuant to 290 PC.
 - b) Do not score as high on the Department's Risk/Needs Assessment.
 - c) Do not score as "high risk" sex offenders on the Static 99, Stable 2007, or the LSCMI.
 5. Individuals with misdemeanor domestic violence offenses, including child abuse, elder abuse, and intimate partner abuse, must meet the following requirements to be eligible for transfer to FM caseloads:
 - a) The supervised individual has completed all court ordered programs.
 - b) The supervised individual is not living with the victim.
 6. Individuals who have successfully completed a Cognitive Behavioral Treatment (CBT) approved by their DPO are eligible for transfer to FM regardless of risk score.
 7. Cases with outstanding court orders such as DUI classes, Community Service, etc., as long as progress is satisfactory, verified, and clearly documented. The transfer chrono and ECR note must provide the outstanding order, program/organization where the supervised individual is attending/working, and expected completion date.

8. Interstate Compact (also referred to as Courtesy Supervision) cases being supervised in the field and eligible for FM supervision should be transferred back to the 1203.9 Unit. However, there can be no outstanding court orders or conditions to monitor.
 9. Supervised individuals meeting all eligibility requirements for transfer to FM supervision and wishing to relocate to another county within the state may be transferred to FM. However, the DPO shall staff the case with the assigned SPO to determine if case dynamics would support submitting a petition to transfer jurisdiction to the county wherein the individual is relocating.
 - a) Any unusual or concerning case dynamics should be staffed with the 1203.9 SPO.
 - b) Cases being considered for jurisdictional transfer must have fifteen (15) months of supervision remaining at the time of submission.
 - c) Please see PMI 2-3-007 Transfer of Adult Cases in California Pursuant to Section 1203.9 PC for further information.
 10. Cases including serious offenses enumerated in PC 1192.7 or violent cases enumerated in PC 667.5 are not eligible for transfer to FM unless approved by the division's Assistant Division Director (ADD) or Division Director (DD).
- C. Preparing a Case for Transfer to Adult FM Supervision:
1. Review the case for suitability.
 2. The following casework/documentation must be completed and documentation in file and/or in the Integrated Case Management system (ICMS) prior to transfer:
 - a) Current address, employment, and vehicle information shall be entered in ICMS.
 - b) Residence verification and search completed.
 - c) Drug test completed (if warranted)
 - d) Current PICS photo taken and uploaded into ICMS.
 - e) Submit, receive, and review a record check within 45 days of transfer. Copy of record check to be in file or automated (IDMS).
 - f) Update victim information in ICMS and verify all victim notification letter(s) have been sent (if applicable). If no victim, chrono should indicate there is no victim.
 - g) Field DPO shall review the Orange County District Attorney's Case Management System and the Superior Court VISION system for any cases that would be a violation of probation.

- h) Verify the need for DNA testing and confirm the supervised individual has submitted a DNA sample. Update ICMS regarding DNA.

D. Requirements to transfer to Adult FM

1. The field supervision DPO shall complete the following:
 - a) Indoctrinate the supervised individual of the transfer to the Adult Admin caseload and reinforce that all court orders and terms of probation remain in full force. Complete ECR note indicating the indoctrination and note any outstanding court orders or noteworthy case dynamics.
 - b) Inform the supervised individual of the FM caseload requirements and reporting instructions via the KIOSK system. Have the supervised individual sign and initial the FM KIOSK Reporting Letter and upload into IDMS.
 - c) It is the responsibility of the field DPO to enter and indoctrinate the supervised individual into the FM KIOSK system. Further, the field DPO must enter the supervised individual into the FM KIOSK system. Please refer to the KIOSK System-Quick Reference.
 - d) Complete an assessment/reassessment transfer-terminate from field supervision-send to FM chrono. All relevant information should be included in the chrono including outstanding court orders.

III. ADULT ADMIN Supervision

- A. The following cases shall be transferred to an Adult Admin caseload unless approved by the assigned SPO to remain on a Field Supervision or Adult FM caseload:
 1. Cases with low risk score on the department's risk/needs assessment with no pending court dates or outstanding court orders.
 2. Regardless of risk score, cases that have had no formal PV petitions requiring a custodial commitment or flashes for either a new law violation (NLV) or technical violation after one assessment period on FM supervision or any time after six (6) months of FM supervision.
- B. The following is a list of additional criteria to consider when determining if a case is appropriate for transfer to Adult Admin:
 1. Cases must have a minimum of three months remaining on supervision.
 2. Cases should not have any pending court dates or outstanding court orders (e.g. community service, program participation/completion, etc.) that require monitoring.
 3. Terminal disposition cases in which defendants are incarcerated in the Orange County Jail and the Court has ordered probation to terminate upon

completion of sentence are eligible for Adult Admin. If the individuals has less than 90 days remaining on their custodial commitment, the case shall remain in the field.

4. Cases with custodial commitments greater than 90 days can be transferred to an Adult Admin caseload. Immediately preceding the individual's release from custody (30 days or less), the case shall be transferred to active supervision.
 5. Cases involving supervised individuals in a locked psychiatric hospital or residential drug rehabilitation residence/program will remain on an Adult Admin caseload. Immediately preceding release (30 days or less), the case shall be returned to field supervision.
 6. Interstate Compact (also referred to as Courtesy Supervision) cases eligible for Adult Admin supervision should be transferred back to the 1203.9 Unit. The case can have no outstanding court orders with the following exceptions:
 - a) Volunteer community service hours with the supervised individual enrolled and making progress toward completion.
 - b) Financial obligations with a pattern of regular payments.
 7. Supervised individuals meeting all eligibility requirements for transfer to Adult Admin supervision and wishing to relocate to another county within the state may be transferred to Adult Admin. However, the assigned DPO shall staff the case with the assigned SPO to determine if case dynamics would support submitting a petition to transfer jurisdiction to the county wherein the individual is relocating.
 - a) Any unusual or concerning case dynamics should be staffed with the 1203.9 SPO.
 - b) Cases being considered for jurisdictional transfer must have fifteen (15) months of supervision remaining at the time of submission.
 - c) Please see PMI 2-3-007 Transfer of Adult Cases in California Pursuant to Section 1203.9 PC for further information.
 8. Cases with sex offenses and/or domestic violence offenses (including child abuse, elder abuse, and intimate partner abuses) shall not be transferred to an Adult Admin caseload without Division Director approval.
 9. Cases with serious offenses enumerated in PC 1192.7 or violent cases enumerated in PC 667.5 committed are not eligible for transfer to Adult Admin unless approved by the division's Assistant Division Director (ADD) or Division Director (DD).
- C. Preparing a Case for Transfer to Adult Admin Supervision:
1. If the case is going directly from field supervision to Adult Admin, the DPO must complete all requirements listed in Section II.C. of this PMI.

D. Requirements to Transfer to Adult Admin

1. The sending DPO shall complete the following:
 - a) Notify the supervised individual of the transfer to the Adult Admin caseload and reinforce that all court orders and terms of probation remain in full force.
 - b) Provide a copy of the Adult Administrative letter.
 - c) Provide Adult Admin DPO's contact information.
 - d) Complete a termination from field supervision chrono, with scoring.

IV. General Duties of the Adult FM and/or Adult Admin DPO

- A. All files arriving for the FM/Admin caseload should be reviewed for suitability and checked for proper paperwork/information in the file or in ICMS.
- B. Send "Transfer to Administrative Status" letter to supervised individual informing them of their newly assigned DPO and on-going requirements.
- C. On cases with terminal disposition, determine/verify sentence ending dates.
- D. On cases with the individual serving extended commitments at the Orange County Jail or other detention facility, determine/verify sentence ending dates. Thirty days prior to sentence ending date, send Inmate Reporting Reminder to the supervised individual.
- E. On cases with individuals residing in psychiatric hospitals or other rehabilitative facilities/programs, verify the whereabouts of the supervised individual.
- F. Monitor the KIOSK reporting system via ICMS.
- G. Transfer Adult FM cases to Adult Admin cases when appropriate.

V. Handling Probation Violations

- A. If a probation violation is determined to have occurred prior to the supervised individuals transfer to the Adult FM/Adult Admin caseload, the case will be returned to the sending DPO to handle the violation.
- B. Cases with individuals who commit new law violations or technical probation violations within the initial sixty (60) days after transfer to the Adult FM/Adult Admin caseload will be returned to the sending field DPO to initiate appropriate probation violation proceedings.
- C. Supervised individuals who commit new law violations or technical probation violations after sixty (60) days of transfer will be processed by the Adult FM/Adult Admin DPO. The case may be returned to the field for supervision prior to final disposition on the violation.

- D. If the supervised individual is returned to field supervision, the Adult FM/Adult Admin DPO is responsible for removing the supervised individual from the KIOSK system via ICMS.
- E. At any time, the Adult FM/Adult Admin DPO can request a case be returned to field supervision if there is a reasonable belief that supervised individual is not abiding by the Adult FM/Adult Admin rules.

VI. Preparation for Closing Out Files

- A. Forty five (45) days prior to the probation expiration date, verify the supervised individual has completed all required court orders.
- B. Forty five (45) days prior to the probation expiration date, submit a record check. If a new law violation is discovered, immediately staff the case with the assigned unit SPO.
- C. Upon reaching the probation expiration date, complete a termination chrono.
- D. Adult FM/Adult Admin DPO to send letter to individual stating cases has been terminated or expired.
- E. Unassessed cases may be closed out with a termination chrono.
- F. The Adult FM/Adult Admin DPO is responsible for removing the individual from the KIOSK system, via ICMS.

REFERENCE:

Procedure:	1-1-103	Teletype Services
	1-2-303	Chronological filing in Adult Case Files
	2-1-104	Chronological History Sheet - Adult
	2-3-002	Probation Violations - Adult
	2-3-004	Adult Modification Petition
	2-3-007	Transfer of Adult Cases in California Pursuant to Section 1203.9 PC
	2-3-009	Change of Plea, Dismissal of Charges Under PC 1203.4, 17(b) Motions, and Certification of Rehabilitation
	2-3-016	Warrants of Arrest for Adults
	2-3-019	Preparing Probation Violation and Warrant Petitions- Adult (Allegations)
	2-3-021	Adult Risk/Needs Assessment and Reassessment Packet
	2-3-106	Transferring Mandatory Supervision (MS) and Postrelease Community Supervision (PCS) Cases to AB109 Field Monitored (FM) Caseload

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APPROVED BY: