

# PROBATION DEPARTMENT ADULT MANUAL

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<b>Issue Date:</b>	<b>Unknown</b>
<b>Revised:</b>	<b>12/11/19</b>

## Notes and References

### CORRESPONDENCE, REPORTING AND DOCUMENTATION

#### I. General

- A. One method by which a Deputy Probation Officer (DPO) is able to evaluate the success or failure of treatment, rehabilitation programs and current supervision for a particular client is accurate recording of contact with the client and collateral parties. This also includes the client's reporting instructions.
- B. Case notes in IMPACT Events serve as the legal foundation for many of the actions taken by and required of the assigned DPO.
- C. The expectation for frequency of client contacts varies based on the supervision level assigned to the client. (See chapter 3213 of this manual for caseload descriptions and task priority guidelines.)
- D. All contacts with the client and with collateral persons involved with the client's case, including but not limited to, Law Enforcement personnel, treatment providers, Court personnel, attorneys, victims or family members are to be documented in IMPACT. Contact information such as telephone numbers and/or addresses with collateral contact persons will also be documented in IMPACT.

#### II. Client Contacts

There are a variety of methods by which the assigned DPO can maintain contact with the client.

##### A. Reporting in person (office visit)

Based on the client's supervision level some clients will be required to report in person to the Probation Office, where a complete discussion of the client's progress may occur. The case plan should be reviewed and discussed with the client, as to progress and any needed modifications. This may include updating required information and case plans, referrals to appropriate treatment and any other discussion the client may wish to have with the assigned DPO.

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**Correspondence, Reporting and Documentation (continued)**

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**B. Field Contacts/Home Visits**

Safety is always an issue no matter what type of contact the DPO has with the client; however, safety is paramount during out of office contacts and officer safety practices are to be used during all field contacts and home visits.

Contacts in the field are those contacts between client and DPO, which can occur at any time or place. Contacts in the field may be short and informal, or they can be longer depending on the client's current progress and/or issues that require resolution.

Home and field visits are a valuable supervision tool and are imperative for high risk cases involving spousal battery, child abuse, sales of narcotics, aberrant sexual behavior, alcohol abuse, weapons possession and cases in which a large amount of restitution is owed. First hand knowledge of the client's activities, as well as contact with the family, increases the DPO's ability to provide appropriate supervision and services to the client.

**C. Court contacts**

The DPO may take advantage of the opportunity to contact a client when they appear in court. Courtroom etiquette will be observed when engaging in conversation in this setting, and will be done in a manner that protects the client's confidentiality and privacy rights and does not interfere with the court proceedings.

**D. Telephone contacts**

Telephone contacts are to be documented in IMPACT Events, but will not be a substitute for face to face contact.

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E. Written reports (Monthly Report Forms)

1. Clients assigned to a Bank caseload will be required to submit a written Monthly Report Form (MRF) if they live outside of Santa Barbara County. The assigned DPO will instruct the client to complete the MRF in full. Instructions will also be given as to how often a MRF is to be completed and submitted. These instructions will be recorded in IMPACT Events.

Upon receipt, the MRF will be scanned into IMPACT and the hardcopy can be destroyed. The assigned DPO/Probation Assistant (PA) is to note any changes of contact information or other issues the client includes on the MRF.

Pro-41  
Pro-41 (SP)

F. Kiosk reporting

Monthly reporting via Kiosk is the required method of reporting for all clients who live in Santa Barbara County, regardless of the client's supervision level.

1. The Kiosk reporting system is not intended to replace face-to-face contact with the DPO if the client is classified as Medium or High Risk.
2. The Kiosk reporting system is designed to be used for standard information gathering or confirmation of prior reported contact information, employment, treatment and payments as reported by the client.
3. Failure to report via the Kiosk, or intentionally entering incorrect information, will be treated as if the client failed to report or had recorded incorrect information on a written report.

III. Travel Permits

- A. Travel Permits are to be requested by clients who are supervised on felony cases, and some misdemeanor cases, that have the condition that they not leave the County of Santa Barbara or State of California without the permission of the probation officer.

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1. Similar to the Monthly Report Form (MRF) process, the client is to check in at Reception, where they will be given a PIN to use to sign in to the kiosk. The Travel Permit request is submitted electronically, at least three business days in advance of the requested travel date. After the information is submitted, the client/offender is told to return in three business days to learn if their travel pass was approved unless they hear otherwise from their probation officer.
2. Upon travel permit submission, the assigned officer receives an email alerting them that there is a travel pass for them to review. Electronically the officer reviews the travel permit, adds any necessary comments and either approves or denies it. To view the travel pass request the officer can click on the link that is in the email alert, or they can access it under the Adult tab on the Probation Intranet via the Travel Permit Manager.
3. If the travel permit request is denied, the officer is to contact and inform the client. This notice, and/or related attempts to notice, must be documented in IMPACT. If travel is approved, it should be approved in the Travel Permit Manager and it is recommended that the details of the trip be documented in IMPACT. The approved pass is then available to Reception electronically and can be printed out when the client reports to Probation to pick it up.
4. In the event the client needs an emergency pass and cannot wait three business days, they are directed to complete the travel permit request electronically and remain in the lobby until the assigned officer, partner officer, Senior officer or Officer of the Day can review and respond to it.

### IV. Correspondence

- A. The assigned DPO or PA should promptly initiate and answer all necessary correspondence.

Correspondence with the client is to be reviewed, with the DPO noting any changes in the client's status or reported issues. All correspondence is to be scanned into IMPACT.

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## Correspondence, Reporting and Documentation (continued)

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1. All documents scanned are automatically dated via IMPACT, and it is recommended the scanned document be identified/described appropriately in the “Comments” section. If further action is required, the assigned DPO will make an IMPACT Event entry outlining the issue and how it was handled.
2. Correspondence concerning closed cases received in the various department offices should be answered by staff in those offices, and copies scanned into IMPACT.
3. Email to or from the client or collateral parties will be copied and pasted into IMPACT using the designation “email,” unless the emails include a “Privacy Notice” at the bottom asserting that to review, distribute, etc, the information in the emails would violate confidentiality, in which case only a summarization of the emails should be entered into IMPACT.
4. As a means to expeditiously manage cases in court, email correspondence can occur when appropriate or necessary. This is an approved manner of keeping the “team” apprised of progress, issues and violations. When emailing these judicial officers, the Supervising Probation Officer (SPO) and/or manager will be cc’d in all email correspondence. This allows the SPO to be aware of issues as they arise and responses/direction that is given.

Emails, such as those to/from a judicial officer in the various treatment courts, a treatment provider, a victim or the client, will be copied and pasted into IMPACT as soon as possible.

### IV. Reporting Incidents at Sober Living Homes (SLH)/Residential Treatment Programs (RTP)

- A. When a Probation Officer becomes aware of an incident or concern regarding a SLH or RTP, the following steps should be taken to ensure that the matter is properly investigated. An incident or concern includes, but is not limited to, a complaint made against a SLH/RTP staff member by a resident, an allegation made by a third party regarding inappropriate activities occurring at a SLH/RTP, or allegations made by residents of unsanitary or unsafe conditions at a SLH/RTP. Please note that if the

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allegation involves a criminal act or threat to the safety of a resident, a Supervising Probation Officer (SPO) should be notified immediately to determine whether law enforcement should be notified and/or the residents should be removed from the facility.

1. Document the conversation with the client in IMPACT and/or Pro 313.
2. Request that the client provide a written statement of the event or concern.
3. Contact the SLH/RTP and speak with House Manager. Request a written incident report regarding the matter.
4. Verify and list all Probation clients currently residing in the SLH/RTP.
5. Forward all of the above to the SPO and any Sr. DPO designated to program oversight within 24 hours.
6. Circumstances to be staffed with a Manager or Deputy Chief.
7. After a review of all documentation, further instruction or follow-up will be given.
8. Follow-up with the House Manager and client to ensure the concern has been properly handled and no further issues have arisen.