


<p align="center">SOLANO COUNTY CALIFORNIA PROBATION DEPARTMENT</p>	<p>POLICY NUMBER: 110</p>	<p>EFFECTIVE DATE: May 20, 2019</p>
	<p>SUPERSEDES October 5, 2015</p>	
<p>APPROVED BY:</p>  <p align="center">CHIEF PROBATION OFFICER</p>	<p>TITLE: ADULT PROBATION CLIENT CASE NOTES</p>	

1. **Policy** – An electronically maintained chronological record of all cases activities will be maintained for each pre-trial, presentence, and post-conviction case that is referred to the Solano County Probation Department.

2. **Definitions** – (*Attachment A*)

3. **Procedures** – All case notes shall be maintained in the Case Management system as follows:
 - A. **General**
 - (1) The dropdown box shall reflect the actual contact date.
 - (2) The appropriate contact type (e.g., face-to-face office, face-to-face field, telephone) shall be entered following each contact.
 - (3) The client's next reporting date and time shall be entered at the end of the case note. *Note location if different from assigned work site.
 - (4) Each case note shall reflect the nature and outcome of the event or activity, the means by which the information is acquired and the person or agency who initiated the contact.
 - (5) Case notes shall be accurate, concise, and professionally written with regard to content.
 - (6) Case notes shall be recorded in a timely manner, and as soon as practical after the event or activity has occurred, but normally no more than two (2) business days from the date of the event.
 - (7) Any case note entry that includes information obtained from an identifiable individual other than the client, shall include that individual's name, title, and phone number, if known.

- (8) A supervisor may make entries into the case notes that provide case specific direction to the Probation Department employee, but will not enter commentary regarding the employee's performance.
- (9) Case notes shall be subject to confidentiality per Probation Department policy and only accessed by authorized Probation Department employees for legitimate Probation Department business.
- (10) Any changes in contact information or employment should be updated in the appropriate node

B. Supervision Case Note Entries

- (1) Case note detail may vary depending on the type of client contact interaction, but they are intended, when reviewed holistically to capture pertinent events, client conversations, and rehabilitative services.
- (2) The Deputy Probation Officer (DPO) responsible for client supervision shall record case note information that should include, dependent upon the type of client interaction, but is not limited to:
 - a. The date the case was assigned to the DPO.
 - b. All case activities, events and circumstances, whether initiated by the DPO, the client, or any person or agency having an interest in the client.
 - c. A summary of each client contact and case activity.
 - d. Barriers/issues/struggles/lack of insight/low motivation towards positive change and possible solutions
 - e. Letters and reports mailed, received, or returned.
 - f. Messages left on voicemail.
 - g. Office, field and home visits.
 - h. Discussion of drug test results and/or use, action plan if any, and further testing directives.
 - i. Discussion/documentation of law enforcement contact.
 - j. All fees, fines, and restitution related activity including payments and balances.

- k. Client's response/participation when a supervision tool is implemented (Carey Guide, Journals, Co Model, Cost Benefit Analysis).
- l. Information related to the progress of court conditions.
- m. Completion of any Assessments and feedback provided.
- n. Any classification overrides or reclassifications.
- o. Any reclassifications to include presumptive reclassifications.
- p. All program referrals to include an explanation in cases when the Program Referral Guide (P-100 Attachment R) was not followed.
- q. A summary of the initial My Change Plan and any My Change Plan progress.
- r. All program / treatment progress or lack thereof to include discussion of skills learned and/or applied.
- s. All significant contacts with or from the client's treatment provider, CPC Caseworker, or client case manager, to include a brief summary of any client progress reports.
- t. Application of positive affirmations and/or any client incentives.
- u. Any client non-compliant behavior and any actions taken whether formal or informal.
- v. Documentation of missed or rescheduled appointments and steps taken to contact / locate clients who miss a probation appointment.
- w. At termination, ways for client to be successful and remain crime free when supervision ends.

C. Pre-sentence Investigation Report Case Note Entries

- (1) The DPO responsible for the preparation and investigation of the pre-sentence investigation report shall record case note information that includes, but is not limited to:
 - a. Date file received and reviewed for completeness by DPO conducting the investigation.
 - b. Date and description of each contact and case activity including:

- i. Telephone calls, Field / Office Visits, and Letters / Correspondence for:
 - 1. Offender
 - 2. Victim
 - 3. Collateral Contacts
 - 4. Attorneys
 - ii. All restitution activity.
 - (2) Contact information such as telephone numbers, address and name of contact shall be included.
 - (3) A case note may contain a summary of several contacts attempted / completed rather than individual contacts.
4. **Exceptions** Any exceptions to the provisions set forth in this policy shall require prior written approval from the Chief Probation Officer.