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**Notes and  
References**

## **CASE CLASSIFICATION AND SUPERVISION CASELOAD MANAGEMENT**

### **I. General**

Case classification is a method of establishing the level of supervision to be rendered by the Probation Department. It is a caseload management tool for supervision officers. Case classification provides a method for planning probation supervision programs based upon concrete goals and recurring performance measures, as derived from court orders and Probation Department objectives.

This section provides a case classification system to prioritize how the supervision officer implements court orders and how Probation Department objectives will be achieved.

### **II. Definitions**

#### **A. Supervision Caseload**

The total number of cases assigned to a supervision officer.

#### **B. Classification Level**

The service priority assigned to any particular client, according to case needs and the attention required and received.

1. The Adult Risk Initial Screening Tool (ARIST) is to be completed on all new investigations and intakes. A current CLETS is required prior to completing the ARIST. Any known juvenile arrests should be included in the assessment. Unless they are sex clients required to register pursuant to 290 PC, clients who score 3 or below will be considered low risk and will not receive additional assessment. Those cases will be directly assigned to a minimum supervision caseload unless an override is approved. Clients who score a 4 or higher will be assessed further using the COMPAS assessment tool.

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2. The COMPAS Risk of Violence and Recidivism tool (ROVAR) is used to determine the level of possible risk to re-offend and supervision levels as resources permit.

<u>Risk Score</u>	<u>Risk Level</u>
0-4	Low
5-7	Medium
8 +	High

A case can be considered for override to a higher or lower level of supervision than is indicated on the assessment. All overrides must be approved by the Supervising Probation Officer. Specific overrides must also be approved by the Manager. Officers should be familiar with override criteria; including when a mandatory override is required.

C. Case Service

Broadly defined as all services rendered by the assigned supervision officer to the client or anyone closely involved with him/her, in the process of meeting the conditions of supervision. The remainder of the supervision officer's time is involved with court report preparation, indirect service, field work, travel and unassigned time.

III. Classification

- A. Generally, supervision moves from high priority case service and frequent contact to the client being increasingly responsible for himself/herself as they move down the risk scale. To reflect such movement, and to provide for efficient and effective use of resources in supervision caseload management, the following case classification system and levels of supervision contacts are established in addition to the established caseload guidelines.

1. High Risk

Clients supervised on High Risk caseloads should be personally interviewed by the supervision officer once a month and should be seen in the field at least once a month.

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2. Medium Risk

Clients supervised on a Medium Risk caseload should be seen in the office at least once a quarter by the supervision officer and will be seen in the field as needed.

3. Low Risk

Clients supervised on Low Risk caseloads may be allowed to report to the Central Caseload supervision officer by written report only. Changes in address or employment, and any law enforcement contacts should be reported to the supervision officer immediately.

3. Specialty Caseloads

Some cases may be appropriate for assignment to a specialty caseload based on the offense and the needs of the client. Specialty caseloads may have unique responsibilities and focus as outlined in the Caseload Descriptions and Task Priority Guidelines (available on the Probation Portal). It is noted that these caseloads and guidelines may change based on funding and staffing.

IV. Initial Classification

All persons granted probation/mandatory supervision should be screened to determine the appropriate available level of supervision.

Upon receiving a new case for supervision, the supervision officer will review all active cases and associated reports, interview the client as soon as possible, reviews all records available to him/her, including the COMPAS assessment(s), completes a COMPAS Inventory of Needs (ION) if one had not yet been completed and creates or updates a Case Plan in COMPAS to address the client's needs and provides referrals to resources to address them.

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Periodic Review/Reclassification

- A. After the initial classification is established, cases are reclassified on a case-needs basis, or at least every eight months in COMPAS. As the client moves toward achievement of goals, he/she may be reclassified to a category which requires less frequent contact with the supervision officer. Such reductions in classification are accomplished using COMPAS Case Supervision Reviews (CSR). In like manner, if there is a violation (and the client remains on supervision), there may be a reclassification to a category requiring more frequent contact. This is also accomplished by completing a CSR. In all cases, reclassification to the category which most accurately reflects the level of supervision required and available should be completed, with approval by the Supervising Probation Officer (SPO) or a designated Senior Deputy Probation Officer (Sr. DPO) needed to complete the classification change.
  - 1. Special Handling cases should be reviewed on a regular basis to determine if that status continues to be required.
  - 2. Cases will be reviewed for reclassification as circumstances dictate.
- B. The supervision officer will record in IMPACT Events the client's progress and the reasons for the decision to (or not to) reclassify.

V. Supervision of Out Of County Clients

- A. This section applies to clients who are transient originating from another county and placed on supervised probation in our county.
  - 1. Probation orders should direct all clients to report in person to the Probation Department upon sentencing/release from custody. At this initial meeting, the supervision officer should collect all information in order facilitate a 1203.9 PC Jurisdictional Transfer.
  - 2. Should the client not have a stable residence, efforts to assist them with resources in Santa Barbara County should be made, to ensure that local supervision can be conducted.

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3. In the rare case the client asserts they have no ability to remain in Santa Barbara County and have supports/resources in their “home” county, but has no verifiable residence to process for a 1203.9 PC Jurisdictional Transfer, they must be instructed to report via Monthly Report Form (MRF), and the supervision officer must conduct due diligence to ensure the MRFs are being mailed from out of the county via a check of the postal stamp on the mailing envelope.
4. These cases will be assigned to the appropriate caseload based on supervision level, and should not be held in Intake or Investigations.

VI. Case Transfers

- A. When a case is transferred from one unit or area office to another, the receiving officer will adhere to the Case Plan in effect and accept the existing classification level until able to review the case and clear any changes in plan or classification with his/her supervisor.
- B. A Transfer Chrono must be made when transferring a case from investigations to supervision or from one supervision caseload to another.

The following additional tasks should be completed prior to transfer as well:

1. Complete IST and/or ROVAR, domestic violence assessment or sex client assessment as dictated by policy.
2. Ensure that the current police reports have been scanned or imported into IMPACT.
3. Ensure that the client has reported within the last 30 days prior to transfer from one supervision officer to another.
4. If an client is moving from active supervision in one area of the County to another, a residence verification should be completed prior to transfer (this does not apply to cases that are coming directly from Investigations).