

**SAN BERNARDINO COUNTY  
PROBATION DEPARTMENT PROCEDURE**

**Community Corrections Bureau Procedures #97-05-019-A – Case Closing Process**

**Authority:** Chief Probation Officer

Purpose

To specify the steps necessary for the orderly and proper closing of case files which have been terminated under various circumstances. While most details described below will be performed by the unit clerk, the unit supervisor has the overall responsibility to see that the work is completed properly and in a timely manner.

Specific Provisions

A. Normal Expirations

Each month, the unit clerk will access the Probation Adult Caseload System (PACS) and generate a printout of all cases expiring within the next two months. These cases will be cross-referenced with the Sheriff's County Name Index (CNI) to check for active warrants and with the Central Collections database to determine any unpaid restitution or fines. See Section B and if revocation/warrant proceedings are to be initiated. In cases where jurisdiction expires without further court action, the Probation Officer will accomplish the following procedures as appropriate:

1. Forward a financial order modification form to Central Collections, if needed and enter this action on the event screen (F10) in PACS. A copy of the financial order modification form will be retained on the back inside cover. (Section 4) of the file.
2. If the case involved interstate or courtesy supervision, forward correspondence to the appropriate State or County agency indicating our department's interest has been closed. A copy of this correspondence will be filed in Section 4 of the file.
3. Enter a brief synopsis of the probationer's performance on the event screen (F10) in PACS. Detailed closing statements may also be entered in the file on the case history sheet. The unit clerk will then prepare the file for closed status as indicated on Attachment "A" and complete the appropriate sections of the "To Files" PACS case data screen (F6) using the correspondence reason off code (Attachment C). It should be noted that the legal clerks are responsible for posting all court actions and closings except cases involving expired probation grants, which are the responsibility of the unit clerk. The unit supervisor will then approve the case for closed status and route the file to closed files storage.

B. Revocation/Bench Warrants

Revocation and/or request for bench warrant usually occurs in response to the Probation Officer's Petition for such action as a result of a violation of probation terms and conditions. The resulting court action is then entered on the case history sheet and entered into PACS case data screen (F6) by the legal clerk. The assigned Probation Officer will then take the following action as appropriate.

1. Forward a financial order modification form to Central Collections and enter this action on the event screen (F10) in PACS. A copy of the financial order modification form will be retained on the back inside cover (Section 4) of the file.
2. Mail an updated Flash Notice to the Department of Justice. (See Attachment D).
3. If the case involves interstate or courtesy supervision, forward correspondence to the appropriate agency indicating the status of the case. A copy of this correspondence will be filed in Section 4 of the file.

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4. Enter a brief synopsis of the current status of the case on the event screen (F10) in PACS. A more detailed statement may be entered in the file on the case history sheet.

The unit clerk will then prepare the file for closed status as indicated on Attachment A and complete the appropriate sections of the "To Files" form (Attachment B). The unit supervisor will then approve the case for closed status and route the file to closed files storage.

Note, in cases where Bench Warrant is recalled at some future date and a State Prison sentence (felony case) or terminal disposition (misdemeanor case) is imposed, the legal clerk will enter the court action on the case history sheet and in the PACS case data screen (F6). The file will then be forwarded to the unit clerk where final closing procedures will be accomplished as described in Section 6, early terminations.

In cases where probation is reinstated, modified, or extended, the unit supervisor will then follow the guidelines described in Section #08-50.

### C. Early Terminations - \$60.00 Fee

Following court action ordering early termination, the legal clerk will make the necessary entries on the case history sheet and PACS case data screen (F6). The file will then be returned to the assigned Probation Officer, who will then take the following action as appropriate.

1. Forward a financial order modification form to Central Collections and enter this action on the event screen (F10) in PACS. A copy of the financial order modification form will be retained on the back inside cover (Section 4) of the file.
2. Mail an updated Flash Notice to the Department of Justice. (See Attachment D).
3. If the case involved interstate or courtesy supervision, forward correspondence to the appropriate agency, indicating the status of the case. A copy of this correspondence will be filed in Section 4 of the file.
4. Enter a brief synopsis of the current status of the case on the event screen (F10) in PACS. A more detailed statement may be entered in the file on the case history sheet.

The unit clerk will then prepare the file for closed status as indicated on Attachment A and complete the appropriate sections of the "To Files" form (Attachment B). The unit supervisor will then approve the case for closed status and route the file to closed files storage.

### D. Diversion

1. Following court action ordering successful completion of diversion or reinstatement of criminal proceedings including Bench Warrant, the legal clerk will update the case history sheet and the PACS case data screen (F6) using the correspondence reason off code (Attachment C) and return the file to the unit clerk.
2. The unit clerk will then prepare the file for closed or bench warrant status (as appropriate) as indicated on Attachment A and complete the corresponding sections of the "To Files" form (Attachment B).

The unit supervisor will then approve the case for closed or bench warrant status. Closed files will be forwarded to closed files for storage. Active bench warrant files will be returned to the legal clerk for storage.

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**E. Miscellaneous**

The Department receives a variety of other types of court referrals, i.e., credit for time served memos, restitution memos, misdemeanor convictions resulting in a grant of conditional revocable release (Court Probation), etc. In some instances, the referral is withdrawn prior to the Court hearing or as part of some other disposition.

The legal clerk will make the appropriate entries on the case history sheet and on the PACS data screen (F6) and forward the file to the unit clerk. The unit supervisor will assign a Probation Officer or clerical staff to review the file and ensure the department has satisfied the intent of the initial court referral.

1. Unit staff will forward a financial order form or financial order modification form as needed to Central Collections.
2. Unit staff will then enter a brief synopsis of the current status of the case on event screen (F10) in PACS. A more detailed statement also may be entered in the file on the case history sheet.

The unit clerk will then prepare the file for closed status as indicated on Attachment A and complete the appropriate sections of the "To Files" form (Attachment B). The unit supervisor will then approve the case for closed status and route the case to closed files for storage.

Issued by: \_\_\_\_\_

Date: 11-1-97 signed

Revised: \_\_\_\_\_

Policy : \_\_\_\_\_

Attachment A

ADULT OPEN/CLOSED FILE DESCRIPTIONS

Open Case File

Section 1 - Inside Front Cover

Adult Court Referral form - TOP sheet  
(initial and subsequent)  
Victim's name and address

Section 2 - Front of Divider

Case History Sheet (Chrono) - TOP sheet  
File copy of all original and  
supplemental reports (Keep copy that  
includes Court Officer's notes)  
File copy of all non-appearance  
supplemental reports (Keep copy that  
includes Judge's response)  
Informational memos to Court  
File copy of all Petitions to Revoke or  
to Initiate Proceedings to Revoke  
Probation  
Application for 1203.4 P.C., etc.  
Minute Orders

Section 3 - Back Divider

Latest BI and/or FBI rap sheets - TOP  
Driver Record Information  
CORI release forms  
Classification RISK/NEEDS

Section 4 - Back Inside Cover

Any field contact notes not contained  
in PACS - TOP  
Reports from CRC  
Reports from the Diagnostic Facility  
One copy of any psychological, psychiatric  
commission or other medical  
report  
Final performance report from Drug  
Diversion Program  
Mail Report Forms  
Financial Order  
Copy of Flash Notice  
Registration  
Probation Officer's notes  
Child Abuse Reports  
Everything else

Stripped and Closed Case File

Section 1 - Inside Front Cover

Adult Court Referral form - TOP she  
(initial and subsequent)

Section 2 - Front of Divider

Completed TO FILES form - TOP  
Case History Sheet (Chrono)  
File copy of all original and  
supplemental reports (Keep copy t  
includes Court Officer's notes)  
File copy of all non-appearance  
supplemental reports (Keep copy t  
includes Judge's response)  
Informational memos to Court (STRIP O  
memos)  
File copy of all Petitions to Rev  
or to Initiate Proceedings to  
Revoke Probation  
Applications for 1203.4 P.C., etc.  
Minute Orders

Section 3 - Back of Divider

Latest BI and/or FBI rap sheets -  
Driver Record Information  
CORI release forms  
Classification RISK/NEEDS

Section 4 - Back Inside Cover

Any field contact notes not contain  
in PACS - TOP  
Reports from CRC  
Reports from the Diagnostic Facili  
One copy of any psychological, medi  
psychiatric, medical commission  
other medical report  
Final performance report from Drug  
Diversion Program  
Copies of original Financial Order  
and Modification

San Bernardino County  
PROBATION DEPARTMENT

ATTACHMENT "B"

TO FILES:

\_\_\_\_\_ Closed 19

\_\_\_\_\_ B/W - Probation Revoked: TO B/W FILES 19 \_\_\_\_\_

\_\_\_\_\_ B/W - Probation Not Revoked: TO PROBATION OFFICER

\_\_\_\_\_ B/W FTA: TO B/W FILES 19 \_\_\_\_\_

\_\_\_\_\_ Criminal proceedings suspended

Diag. Fac. u/1203.03 PC  
CRC  
MDSO  
Insane

\_\_\_\_\_ Intake/Legal procedures have been completed.

\_\_\_\_\_ Unit procedures have been completed.

\_\_\_\_\_ Stripping procedures have been completed.

\_\_\_\_\_ Probation Accounting notified.

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 REASON OFF TABLE  
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ATTACHMENT "C"

CODE	DATA
BHI	BENCH WARRANT ISSUED
COJ	COUNTY JAIL
CPR	CRIMINAL PROCEEDINGS REINST
CRC	CALIF REHAB CENTER
CSN	CONDITIONAL SENTENCE
CSP	CALIF STATE PRISON
CTS	CREDIT TIME SERVED
CYA	CALIF YOUTH AUTHORITY
DDH	DIVERSION BENCH WARRANT
DEC	DECEASED
DIA	DIAGNOSTIC
DIS	DISMISSED
DVD	DIVERSION DENIED
DVS	DIVERSION SUCCESSFUL
DVU	DIVERSION UNSUCCESSFUL
ERT	EARLY TERMINATION
EXP	EXPIRED
FIN	FINED
FLP	FELONY LIMITED PROBATION
ICL	INTEREST CLOSED
MNC	MENTAL COMPETENCY
NAC	NOT ACCEPTED
PLH	PLEA WITHDRAWN
RBH	REVOKED AND BENCH WARRANT
REV	REVOKED
RFH	REFERRAL WITHDRAWN
RST	RESTITUTION
RVR	RESIDENCE VERIF REJECTED
SJP	SUPERIOR JUDGE PROBATION
TRA	PC1203.9 TRANSFER OUT
TRD	PC1203.9 TRANSFER DENIED
UNT	UNSUCCESSFUL TERMINATION
WSP	WORK SENTENCE PGM

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97-05-019-A  
San Bernardino County  
PROBATION DEPARTMENT  
PROBATION FLASH NOTICE

ATTACHMENT "D"

Date \_\_\_\_\_  
(of this notice)

TO: Chief  
Bureau of Identification  
P. O. Box 13417  
Sacramento, CA 95813

FROM: BARBARA J. FRANK  
Chief Probation Officer  
San Bernardino County Probation Department  
175 West 5th Street  
San Bernardino, CA 92415

It is requested that this office be notified of any additional arrests of this subject prior to \_\_\_\_\_  
\_\_\_\_\_, date of expiration of probation.

Name \_\_\_\_\_ BI No. \_\_\_\_\_  
*Last First Middle*  
(As given on fingerprint card)

FBI No. \_\_\_\_\_

Alias(es) \_\_\_\_\_  
*Any other name(s) by which subject is known*

Arresting Agency \_\_\_\_\_ Charge \_\_\_\_\_  
*Department which submitted prints to BI Original booking charge(s)*

Arresting Agency No. \_\_\_\_\_  
*Number on arrest print*

Arrest Date \_\_\_\_\_ Sex \_\_\_\_\_ Disposition \_\_\_\_\_  
*Date Court number*

Race \_\_\_\_\_ Hair \_\_\_\_\_ Eyes \_\_\_\_\_  
*Color Color* *Convicted charge(s)*

Height \_\_\_\_\_ Weight \_\_\_\_\_

Birthplace \_\_\_\_\_  
*Sentence*

Birthdate \_\_\_\_\_

Social Security No. \_\_\_\_\_

Driver's License No. \_\_\_\_\_

CURRENT STATUS:

- On Probation – Probation Dept. No. \_\_\_\_\_
- Probation Modified (See "Sentence" above)
- Probation Terminated \_\_\_\_\_  
*Date*

RIGHT THUMB PRINT

\_\_\_\_\_  
*Officer authorizing above information*