

# Appendix I.1

## Charter or Strategic Plan

### *Juvenile Justice System Enhancement Strategy Charter Document*

Developed by the Juvenile Justice System, State of Pennsylvania

## Juvenile Justice System Enhancement Strategy Charter Document

### Statement of Purpose

We dedicate ourselves to working in partnership to enhance the capacity of Pennsylvania's Juvenile Justice System to achieve its balanced and restorative justice mission by:

- Employing evidence-based practices, with fidelity, at every stage of the juvenile justice process;
- Collecting and analyzing data necessary to measure the results of these efforts; and with this knowledge
- Striving to continuously improve the quality of our decisions, services and programs.

### Name of Committee/Initiative

Mission/Purpose: (Insert mission/purpose statement of committee/initiative)

Name	Title	Affiliation	e-mail
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Chair/Lead:

Support

Staff:

Committee

Member

### (Insert Committee/Initiative Work Plan)

#### Goal #1

(Insert Goal)

Activities	Responsibility	Target Date
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a)

b)

c)

#### Goal #2

(Insert Goal)

Activities	Responsibility	Target Date
------------	----------------	-------------

a)

- b)
- c)

**Goal #3**

(Insert Goal)

Activities	Responsibility	Target Date
------------	----------------	-------------

- a)
- b)
- c)

**Goal #4**

(Insert Goal)

Activities	Responsibility	Target Date
------------	----------------	-------------

- a)
- b)
- c)

**Goal #5**

(Insert Goal)

Activities	Responsibility	Target Date
------------	----------------	-------------

- a)
- b)
- c)

# Juvenile Justice System Enhancement Strategy

## Charter Document

### Statement of Purpose

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### Name of Committee/Initiative

**Mission/Purpose:**

To collaborate with Juvenile Justice stakeholders and others to develop a model aftercare system in Pennsylvania for youths leaving delinquency placements. To support every Pennsylvania county in developing a comprehensive aftercare system. These comprehensive and coordinated systems will adhere to best practice standards. A model system must ensure that county children and youth agencies and juvenile probation departments, each year in their Needs Based Budget request, include services to support youth returning from delinquency placements. A model aftercare system must ensure that public schools work with placement facilities, juvenile courts and juvenile probation to guarantee every interested youth a prompt and smooth return to an appropriate classroom.

**Name**

**Title**

**Affiliation**

**e-mail**

**Chair/Lead:**

**Support**

**Staff:**

**Committee**

**Member**

**Committee**

**Member**

### (Insert Committee/Initiative Work Plan)

#### Goal #1

Continue to support and provide Aftercare related Technical Assistance to Individual county juvenile probation departments and residential service providers

**Activities**

**Responsibility**

**Target Date**

a. Provide Educational Law technical support to individual counties and providers

b. Provide Aftercare related technical support to individual counties and providers

#### Goal #2

Create and distribute tools that support "best practice" aftercare practices

Activities	Responsibility	Target Date
a. Work in conjunction with the Provider Committee to update and distribute the Chief's Referral Checklist		
b. Ensure the implementation of the referral checklist within individual Counties		
c. Work in conjunction with the Mental Health committee to develop interfacing protocol for delinquent youth placed within RTFs and aftercare		

**Goal #3**

Create a report intended to give a comprehensive overview of Aftercare practice improvements over the past 5 years as a direct result of the Models for Change Aftercare Initiative

Activities	Responsibility	Target Date
a. Conduct a state wide Aftercare reassessment		
b. Compare and Contrast information gathered from the 2005-06 Aftercare Assessment with information gathered from the 2011 Aftercare reassessment		
c. Create a report from information gathered from both 2005-06 and 2011 assessments that shows system improvements and existing areas of needed improvement within aftercare.		

**Goal #4**

Data Collection

Activities	Responsibility	Target Date
a. track number of counties requesting aftercare technical assistance ( via phone, email and on-site visits)		
b. track number of counties requesting Aftercare related Educational reintegration assistance (via phone, email)		
c. develop and conduct Pre and Post Test at any Aftercare related training to determine if knowledge was gained from the training		

**Goal #5**

Train counties, providers and related juvenile Justice stakeholders in Aftercare Best Practices within Pennsylvania

Activities	Responsibility	Target Date
a. Upon request, conduct Aftercare related training		
b)		
c)		

# Juvenile Justice System Enhancement Strategy

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Striving to continuously improve the quality of our decisions, services and programs.

### Name of Committee/Initiative

#### Mission/Purpose:

The PACTT Alliance Mission is to improve the academic and career/technical training that adjudicated delinquent youth receive in out-of-home and/or community-based placement and to ensure that these gains are maintained as they transition to the community and out of the system. Young people should exit the Juvenile Justice system with the competencies necessary to pursue their education and/or family sustaining employment.

Name

Title

Affiliation

e-mail

Chair/Lead:

Support

Staff:

Support

Staff:

Support

Staff:

Committee

Member

Committee

Member

## Pennsylvania Career and Technical Training Alliance

### Goal #1

Ensure that delinquent placed (residential and Day treatment) youth receive and education aligned with state standards and that moves them closer towards a secondary and/or post secondary credential

Activities

Responsibility

Target Date

a. Train facilities in the PDE Standards Aligned System, and ensure that their academic program is guided by these standards

ongoing

b. Establish guidelines and provide training for various aspects of quality instruction, including (but not limited to ): relevant, rigorous and experimental teaching (integration with career/technical training); Literacy strategies; GED preparation; Computer-assisted learning

ongoing

c. Link schools for delinquent youth (residential or day treatment) to existing educational resources and professional development opportunities	ongoing
d. Ensure the speedy transfer of academic records from and back to the home school	ongoing
e. Establish pathways and supports for students who transition to post-secondary opportunities	ongoing
f. Work with school districts and community-based programs to increase and improve academic and career/tech training opportunities for youth discharged from placement	ongoing

**Goal #2**

**Ensure that delinquent placed (residential and day treatment) youth are trained for family-sustained employment**

Activities	Responsibility	Target Date
a. Disseminate the PACTT Employability and Soft Skills Manual, and ensure that providers use it as a guide to training		ongoing
b. Work with providers to ensure that youth leave placement with an Employment Portfolio		ongoing
c. Support facilities to develop, improve and expand career/technical training programs align with industry standards and in growth industries		ongoing
d. Support facilities to provide training leading to entry-level certifications such as OSHA-10, ServSafe, MOS, ICDL, etc.		ongoing

**Goal #3**

**Provide youth with subsidized and authentic work opportunities to hone their soft and technical skills**

Activities	Responsibility	Target Date
a. Partner with the Workforce Investment Boards to fund work opportunities within placement for youth to hone their skills		ongoing
b. Partner with Workforce Investment Boards and other public and private entities to provide subsidized work experiences at re-entry, for youth not ready to move directly into the job market		ongoing

**Goal #4**

**Establish relationships with employers to develop a job bank of opportunities for ex-juvenile offenders**

Activities	Responsibility	Target Date
a. Work with EARN Center providers, Career Link, union-employer partnerships and other employment supports to identify employment opportunities for ex-juvenile offenders		ongoing
b)		

**Goal #5**

**Develop a data collection and analysis process to assess improvements and best practices in academic and career/technical training programs in delinquent residential and community-based facilities and the impact of these improvements, in the areas of education and employment upon youth's return to the community**

Activities	Responsibility	Target Date
a. Expand the use of the Provider Affiliation process to include, monitor and collect data from facilities with respect to PACTT goals		ongoing
b. Develop access database		7/1/2011
c. Develop database and data collection process for probation and community partners		ongoing
d. Establish legal procedure for collecting data from multiple systems		12/31/2011
e. Prepare periodic report cards on the work of PACTT		ongoing

#### Goal #6

Improve the capacity of probation departments to monitor the academic and career/technical training that delinquent youth receive

Activities	Responsibility	Target Date
a. Provide training to probation officers as requested by the departments		ongoing
b. Expand reach of PACTT throughout the state through a probation affiliation process		ongoing

#### Goal #7

Identify and address legislative, procedural and funding barriers to improving the academic and career/technical training of placed youth

Activities	Responsibility	Target Date
a. Develop a working relationship with the Department of Education in order to assess and address barriers to PACTT progress, including the funding of placement education and career training and the funding of re-entry to home schools, as well as the monitoring of placement education		ongoing
b. Develop a working relationship with other PA departments, including DPW and Labor and Industry, in order to address monitoring and funding necessary training and job placement needs of delinquent youth		ongoing

# Juvenile Justice System Enhancement Strategy

## Charter Document

### Statement of Purpose

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Striving to continuously improve the quality of our decisions, services and programs.

### Family Involvement subcommittee of the BARJ Committee

**Mission/Purpose:** To develop a family involvement focus within Pennsylvania's Balanced and Restorative Justice model

Name	Title	Affiliation	e-mail
Chair/Lead:			
Chair/Lead:			
Support Staff:			
Committee Member			
Committee Member			
Committee Member			

### Family Involvement Committee

#### Goal #1

Develop a curriculum on family involvement for juvenile probation officers

Activities	Responsibility	Target Date
a) Pilot the curriculum at three county Juvenile Probation Officers		Jun-11
b. Group will review outcomes from the curriculum pilot sites, make any needed changes and edit curriculum where needed	Curriculum work group	Jul-11
c. Procure final approval of the Curriculum from ??		
d. explore having the curriculum become part of the Center for Juvenile Justice Training and Research trainings, and to be adapted for other audiences, including judges and attorneys.		



## Goal #2

Conduct 3 regional forums on family involvement in juvenile justice, introducing the monograph to the field, and providing a venue for review of the concepts

Activities	Responsibility	Target Date
a. Review the outcomes from the 3 statewide regional forums held in Chester, Mercer and Lycoming Counties	forum workgroup	1-Jul-11
b. Develop report from the 3 Family Involvement regional forums and develop recommendations for next steps implementing family involvement in Juvenile Justice for both the Family Involvement Committee work and the larger PA Juvenile Justice System e.g. changes to policies, programs, and rules/legislation		Oct. 2011
c. Submit report to Family Involvement Subcommittee, BARJ Implementation Committee and MacArthur Foundation	forum workgroup	Jul-11
d. Determine future activities of the Forum work group through analysis of the outcomes and recommendations gathered from the forums and committees	Family Involv. Committee	Sep-11

## Goal #3

Develop a guide for families on the PA juvenile justice system

Activities	Responsibility	Target Date
a. Review editing suggestions from the Family Involvement Committee and incorporate them into the draft Guide.		Jul-11
b. Review edited version of the Guide with Guide workgroup and Family Involvement Committee, and make final edits		Jul-11
c. Submit final edited version of the Family Guide to the BARJ Implementation Committee, Chief's Executive Committee and JCJC for editing Suggestions		Aug-11 Dec. 2011
d. Submit approved Guide to MacArthur for printing		
e. Distribute final product to county Juvenile Probation Departments; local and state police departments; local defenders; District Attorneys		ongoing

## Goal #4

Data Collection

Activities	Responsibility	Target Date
a. Conduct pre and post tests when conducting Family Involvement/Engagement JPO curriculum training. Use these test to determine if knowledge was gained.	trainers of the curriculum	ongoing
b) Track distribution of the Family Guides to all localities.		ongoing
c) Follow-up evaluation will be conducted with a random sample of guide recipients to determine if the guide was helpful guiding them through the JJ system.		ongoing

d. Develop and Conduct pre and post tests when conducting Family Involvement training to local, state and national entities, to determine if knowledge was gained.

Family Involv.  
Committee

**Goal #5**

Coordinate Family Involvement Committee Goals and Activities with the BARJ Implementation Committee per it's 2009 Strategic Plan

Activities	Responsibility	Target Date
a. Provide Technical Assistance and Training to local, state, and national efforts regarding family involvement in Juvenile Justice, including efforts ensuing from the Center for Juvenile Justice Research/OJJDP-SAMSHA Family Engagement Symposium	Family Inv. Committee	Ongoing
b. Develop Long range strategic Plan for Increasing Family Involvement Focus- in coordination with BARJ Strategic Plan Goals and the JJSES	Family Involvement Committee	ongoing

# Juvenile Justice System Enhancement Strategy

## Charter Document

### Statement of Purpose

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### Assessment/Case Planning Committee

**Mission/Purpose:** The mission of the Assessment/Case Planning Committee is to facilitate, with fidelity, the implementation of the YLS; including education, training and analyzing data from the Juvenile Probation Departments; as well as promoting the development of case plans that are based on the identified needs and strengths and which are consistent with the principles of balanced and restorative justice.

Name	Title	Affiliation	e-mail
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### Assessment/Case Planning Committee

#### Goal #1

Develop Policy and Best Practices regarding inter-county transfer YLS youth

Activities	Responsibility	Target Date
Review and analyze the survey results, compile the data and submit report to committee chairs	Case Plan/assessment	15-Jun-11
Develop Best Practice policy regarding inter-county transfer of YLS youth	Comm	Jul-11
Present policy draft to Chief's Executive Committee for approval		Jul-11
Distribute policy to all YLS counties		Aug-11

#### Goal #2

YLS

Activities	Responsibility	Target Date
a. Update all YLS toolkits with new policies and forms (interview protocols and questions, FAQ ect.); keep a log of revisions and revision dates on all forms		ongoing
b. Create a YLS Manual for the YLS toolkits and use by current and future YLS counties		Jul-11

c. Gather YLS usage numbers for fiscal year 2011/2012 from all Phase I and II counties; Usage numbers will be sent in to ???		Jun-11
d. Assure YLS departmental policy templates are kept current	Chiefs and JCJC consultants	ongoing
e. Monthly conference calls with all YLS counties		ongoing

**Goal #3**

**Case Plan**

Activities	Responsibility	Target Date
a. Pilot Case plan template with limited number of Phase I and Phase II YLS volunteer JPOs		June 2011- Sept. 2011
b. Review and analyze case plan pilot outcomes	Case Plan subcommittee	September
c. Make revisions to the case plan and submit for review and approval by the Chief's executive committee		October - Nov. 2011
d. submit final version to CJJT&R JCMS staff for integration into JCMS		Jan. 2012

**Goal #4**

**Research and Data Collection**

Activities	Responsibility	Target Date
a. Develop suggested data elements and reports to be included in future JCMS YLS updates	case plan/assessment committee; all YLS counties	ongoing
b. Analyze YLS data within JCMS and report out to the Chief's executive committee and the JCJC	???	ongoing

**Goal #5**

**Quality Assurance/Improvement**

Activities	Responsibility	Target Date
a. Develop state protocol for assuring counties are following their local quality assurance protocols	case plan/ assessment comm.	
b. Audit local YLS Quality Assurance activities	Chief's and JCJC consultants	ongoing
c. Plan and hold forum for county JJ administration and Master trainers on the YLS		Fall 2011

d. Conduct periodic county Inner-rater assessments/audits to assure fidelity to the YLS process	Chief's and JCJC consultants	ongoing
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**Goal #6**

**Training**

Activities	Responsibility	Target Date
a. Train YLS counties on the YLS 2.0 version		
b. Conduct a Master trainer certification training for Phase III county and consultants on the use of the YLS instrument	designated Master Trainers	June 2 & 3, 2011
c. Conduct future Master trainer certification trainings on the use of the YLS instrument	Chief's and JCJC consultants	ongoing
d. Conduct Booster Trainings for line staff and Master Trainers	Chief's and JCJC consultants	

**Goal #7**

Activities	Responsibility	Target Date
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a.

**Goal #8**

Activities	Responsibility	Target Date
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a.

## Appendix I.2a

# Memorandum of Understanding or Cooperative Agreement Solidifying a Partnership Example 1

### *Memorandum of Understanding*

Developed by: The University of Louisiana at Monroe, 4<sup>th</sup> Judicial District, Louisiana

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#### MEMORANDUM OF UNDERSTANDING

Between

The University of Louisiana at Monroe, Marriage and Family Therapy Programs

And

4<sup>th</sup> Judicial District Juvenile Drug Court

The University of Louisiana at Monroe, Marriage and Family Therapy Programs (ULM MFTP) 700 University Avenue, Monroe LA 71209 and the 4<sup>th</sup> Judicial District Court Juvenile Drug Court (4JDCJDC) 300 Saint John Street, Monroe, LA 71201, in order to facilitate treatment of clients of the 4JDCJDC, enter into this Memorandum of Understanding (MOU) for July 1, 2010 through June 30, 2011.

After the juvenile has been adjudicated delinquent (at his/her second court hearing) he/she is officially accepted into the program, and will be referred for a treatment assessment to be conducted within 2 days of the second court hearing. The ULM MFTP agrees to conduct the treatment assessment within 2 business days of the second court hearing, if at all possible, and to begin treatment within 2 business days of the treatment assessment.

The ULM MFTP agrees to develop, within 14 days of a client/family being accepted into the program, an individualized treatment plan. Treatment plans will be reviewed at 30 days after treatment begins, and then minimally at each phase promotion or every 90 days, whichever occurs earlier, and at additional stages on an as needed basis.

The ULM MFTP agrees that group therapy sessions will not exceed a maximum of 18 youth per group. In order to enhance the experience for youth in this group therapy setting, the ULM MFTP agrees to incorporate developmental and age-appropriate recreational therapeutic experiences into the group experience. Examples include: journaling, making "defense" masks, art therapy, music therapy, psychodrama, and recreational therapeutic experiences. Examples of

recreational therapeutic experiences include the group taking their therapeutic experience to arenas such as the bowling alley, movies, theatre, skating rink, museums, library, park, sporting events, cultural events, or University. Recreational activities will always have a therapeutic rationale, such as enhancing social skills, enhancing team building skills, enhancing cultural awareness, and expanding a youth's awareness of possibilities for positive recreation and enjoyment. Gender and age specific (chronological, emotional, and psychological ages will be taken into consideration) treatment will be incorporated into the program as a regular part of the educational and recreational components, to include such topics as: developmental issues, social maturation, peer relationships, dating relationships, sexual issues, and what it means to be a man/husband or woman/wife in today's society.

The ULM MFTP agrees to incorporate an adventure therapy/ropes course into the multi-family group therapy setting, in order to encourage team building, effective communication, and trust within families.

The ULM MFTP agrees to frequently communicate with the Court reporting briefly in writing on each client weekly, and reporting in an in-depth fashion on each client monthly. Reports must minimally address attendance, behavior while in treatment, and progress or lack thereof. Any non-compliance with program rules must be reported to the Court immediately via fax/telephone either the day of the non-compliance or at least the day after, if the non-compliance occurred after regular business hours.

THE 4JDCJDC will provide monthly payment (at the rate of total annual contract amount, \$00,000, divided by 12, resulting in 12 equal payments for the contract period July 1, 2010 – June 30, 2011 +/-) for treatment services within thirty (30) days of the ULM MFTP submitting invoices for services rendered.

The University of Louisiana at Monroe, Marriage and Family Therapy Programs (ULM MFTP) 700 University Avenue, Monroe LA 71209 and the 4<sup>th</sup> Judicial District Court Juvenile Drug Court (4JDCJDC) 300 Saint John Street, Monroe, LA 71201, in order to facilitate treatment of clients of the 4JDCJDC, enter into this Memorandum of Understanding (MOU) for July 1, 2010 through June 30, 2012.

After the juvenile has been adjudicated delinquent (at his/her second court hearing) he/she is officially accepted into the program, and will be referred for a series of screenings and assessments performed by the 4JDCJDC case manager and the ULM MFTP. The ULM MFTP agrees to conduct an individualized feedback report, treatment assessment, and treatment plan within the 1<sup>st</sup> Phase of the 4JDCJDC Program.

The ULM MFTP agrees to develop an individualized treatment plan, which will be reviewed periodically. Treatment plans will be reviewed and revised minimally at each phase promotion, and at additional stages on an as needed basis.

The ULM MFTP agrees to provide various forms of treatment, including, but not limited to: individual, family, group, psychoeducational, adventure/ropes course, and recreational therapies. The ULM MFTP agrees that group therapy sessions will not exceed a maximum of 18 youth per group. Gender and age specific treatment will be incorporated into the program as a regular part of the educational and recreational components.

**REMOVE THE FOLLOWING SENTENCE FROM CONTRACT COMPLETELY:** The ULM MFTP agrees to incorporate an adventure therapy/ropes course into the multi-family group therapy setting, in order to encourage team building, effective communication, and trust within families.

The ULM MFTP agrees to frequently communicate with the Court reporting on each client prior to their next court date. Reports must minimally address attendance, behavior while in treatment, and progress or lack thereof. Any non-compliance with program rules must be reported to the

Court immediately via fax/telephone/electronic-mail either the day of the non-compliance or at least the day after, if the non-compliance occurred after regular business hours.

THE 4JDCJDC will provide monthly payment (at the rate of total annual contract amount, \$000,000, divided by 24, resulting in 24 equal payments for the contract period July 1, 2010 – June 30, 2012 +/-) for treatment services within thirty (30) days of the ULM MFTP submitting invoices for services rendered.

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties. IN WITNESS THEREOF on this \_\_\_\_ day of \_\_\_\_\_, 2011, this amendment is signed and entered into and effective on the date indicated below:

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Date

The University of Louisiana at Monroe

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Date

The University of Louisiana at Monroe

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Date

Chief Judge

Judicial District Court



## Appendix I.2b

# Memorandum of Understanding or Cooperative Agreement Solidifying a Partnership Example 2

### *Memorandum of Understanding*

Developed by: Paul J. Frick, Ph.D., The University of New Orleans, New Orleans, Louisiana

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### *Department of Psychology*



UNIVERSITY of  
NEW ORLEANS

2001 Geology & Psychology Bldg, New Orleans, LA, 70148  
Ph: (504)-280-6291 Fax: (504)-280-6049

## MEMORANDUM OF UNDERSTANDING Between

The \_\_\_\_\_  
And

**The Board of Supervisors of Louisiana State University and Agricultural and  
Mechanical College, Acting on Behalf of the University of New Orleans**

This Memorandum of Understanding (MOU) is entered into by and between the  
\_\_\_\_\_ and the University of New Orleans, Department of  
Psychology (UNO).

### **PURPOSE**

This agreement outlines the terms under which \_\_\_\_\_ will release to UNO client-level data from \_\_\_\_\_ for the development and management of an integrated longitudinal data system and the protections imposed to ensure the continued confidentiality and privacy of the data released.

## STATEMENT OF MUTUAL BENEFITS AND INTERESTS

\_\_\_\_\_ collects and maintains aggregate and client-level data on the youth it serves. It is in the interest of \_\_\_\_\_ and the youth served to improve the use of this data to measure performance and the effectiveness of programs and practices in order to improve service outcomes and increase accountability for the effective and efficient management of \_\_\_\_\_ resources. Specifically, \_\_\_\_\_ has a vested interest in measuring the performance and effectiveness of the Louisiana Models for Change-Systems Reform in Juvenile Justice Initiative funded by the John D. and Catherine T. MacArthur Foundation.

To achieve this end, UNO has agreed to actively assist \_\_\_\_\_ by integrating, processing, linking these data with other state and local data bases, and analyzing these data in order to develop and manage an integrated longitudinal data system.

### TERMS AND CONDITIONS:

1. \_\_\_\_\_ shall retain ownership of all data that is provided to UNO.
2. UNO acknowledges that the data is confidential and shall exercise due diligence and all reasonable measures to protect confidentiality of the data and agrees not to disclose the data to third parties without written authorization from \_\_\_\_\_.
3. UNO shall provide and implement appropriate safeguards and procedures to prevent use or disclosure of data that is inconsistent with the purposes of this MOU.
- 4. UNO must provide \_\_\_\_\_ with a written description of the steps/security plan that UNO shall take to ensure the safety and confidentiality of \_\_\_\_\_ client-level data. \_\_\_\_\_ must approve the steps/security plan prior to releasing to UNO client-level data.**
5. Only qualified UNO personnel shall have access to \_\_\_\_\_ data.
6. If UNO has reason to believe that any client-level information has been disclosed to someone other than personnel authorized pursuant to this MOU, UNO shall immediately contact \_\_\_\_\_ to inform \_\_\_\_\_ of all facts concerning such disclosure or usage and immediately take steps to stop such disclosure or usage of information.
7. All reports, tables, electronic files, and other products generated from this data shall be in aggregate form. Extreme caution must be exercised if reports, tables, or other presentations contain fewer than five youth to insure that clients are non-identifiable.

8. No attempt shall be made to identify a client indirectly from the data.
9. No studies, research, or analysis using this data shall be conducted for profit.
10. Both parties agree to comply with relevant state and federal law.

**IT IS MUTUALLY AGREED AND UNDERSTOOD BY AND BETWEEN THE SAID PARTIES THAT:**

TERMINATION. This MOU may be terminated at any time with or without cause by either party. Termination shall be effective immediately.

DISPOSITION OF DATA IN EVENT OF TERMINATION. Upon termination of this MOU, UNO shall immediately destroy all \_\_\_\_\_ client-level data or, upon demand by \_\_\_\_\_, shall turn over any and all data, files, and information in any form which the information exists pertaining to data provided by \_\_\_\_\_.

COMPLETION DATE. This MOU is executed as of the last date shown below and will continue for a period of three years unless renewed by consent of both parties.

NON-FUND OBLIGATING DOCUMENT. This MOU is not a fiscal or funds obligating document. This MOU does not establish authority for non-competitive award for any contract or other agreement.

MODIFICATIONS. Changes to this MOU shall be accomplished by the execution of a bilateral amendment.

CONFIDENTIALITY. Notwithstanding the termination provisions stated above, UNO's obligations of confidentiality and use of this data as outlined herein shall survive the termination of this MOU.

**ADMINISTRATION**

This MOU shall be administered and monitored for compliance by the \_\_\_\_\_ and by the Department of Psychology of UNO. Responsible parties are:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Paul J. Frick  
Research Professor and Chair  
Department of Psychology  
2001 Geology and Psychology Bldg.  
New Orleans, LA 70148  
(504) 280-6012

**The University of New Orleans:**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix I.3

### Work Plan

#### *Model for Standardized Predisposition & Post-disposition Assessments*

Developed by: Office of Juvenile Justice, State of Louisiana

#### Office of Juvenile Justice

Work Plan Oct 08 – March 09

#### Model for Standardized Predisposition & Post-disposition Assessments



OBJECTIVES	TIMEFRAME (in weeks)								TARGETED COMPLETION DATE	Responsible Party (Lead is bold)	OUTCOME PRODUCTS
	Oct 16-31 2008	Nov 1-15 2008	Nov 16-30 2008	Dec 1-15 2008	Dec 16-31 2008	Jan 1-15 2009	Jan 16-31 2009	Feb 2009			
<i>Project Goal: Implement the SAVRY in probation offices across the state</i>											
<b>Objective 1.</b> Develop a work plan and agreement between NYSAP and OJJ	X								Nov 15, 2008	<b>NYSAP</b> Lead Entity	<b>Work Plan</b> <b>Data sharing agreement</b>
1.1 Work plan drafted	X									NYSAP	
1.2 Data sharing agreement between NYSAP & OJJ		X								<b>NYSAP</b>	

# Office of Juvenile Justice

Work Plan Oct 08 – March 09

## Model for Standardized Predisposition & Post-disposition Assessments

OBJECTIVES	TIMEFRAME (in weeks)								TARGETED COMPLETION DATE	Responsible Party (Lead is bold)	OUTCOME PRODUCTS
	Oct 16-31 2008	Nov 1-15 2008	Nov 16-30 2008	Dec 1-15 2008	Dec 16-31 2008	Jan 1-15 2009	Jan 16-31 2009	Feb 2009			
drafted											
1.3 Work plan & data sharing agreement approved					X	X				NYSAP	
1.3 Present pilot sites to Carolyn Lewis (Thibodeaux, Hammond, New Orleans, Baton Rouge)	X										
<b>Objective 2.</b> Develop a site agreement with the SAVRY test publisher for multiple electronic uses & manuals			X	X	X				<b>Dec 31, 2008</b>	NYSAP	<b>Signed site agreement with PAR</b>
2.1 Draft agreement					X					<b>NYSAP</b>	
2.2 OJJ review agreement					X						
2.3 Agreement to PAR						X				<b>NYSAP</b>	
2.4 Approval from PAR						X					
<b>Objective 3.</b> Developing an electronic case management system	X	X	X	X	X	X			<b>Jan 15, 2009</b>	<b>NYSAP OJJ</b>	SAVRY scoring forms on-line in OJJ system
3.1 Discuss with OJJ IT people to determine the steps involved in getting the SAVRY on-line with a database dump of SAVRY item scores	X										
3.2 Develop strategy for integrating SAVRY scoring forms on-line		X	X	X							
3.3 SAVRY scoring forms integrated					X	X					

# Office of Juvenile Justice

Work Plan Oct 08 – March 09

## Model for Standardized Predisposition & Post-disposition Assessments

OBJECTIVES	TIMEFRAME (in weeks)								TARGETED COMPLETION DATE	Responsible Party (Lead is bold)	OUTCOME PRODUCTS
	Oct 16-31 2008	Nov 1-15 2008	Nov 16-30 2008	Dec 1-15 2008	Dec 16-31 2008	Jan 1-15 2009	Jan 16-31 2009	Feb 2009			
3.4 Integrate Interview forms and revised ISP (see Obj 4 & 5)				X	X	X				OJJ workgroup	
<b>Objective 4.</b> Develop the proper assessment interview forms									Jan 15, 2009	NYSAP OJJ workgroup	SAVRY Interview forms completed & integrated
4.1 Review the new social history format and make recommendations that will work with OJJ and maximize feasibility	X	X								Workgroup	
4.2 Amend interview forms			X							Workgroup NYSAP	
4.3 Pilot the new interview and social history forms with a few staff				X	X						
4.4 Finalize interview forms and get approval from central office						X				NYSAP	
4.5 revise social history in electronic case management system						X	X				
<b>Objective 5.</b> Revise the Individual Service Case plan forms				X	X	X	X	X	Jan 31, 2009	NYSAP workgroup	New ISP developed and integrated
5.1 Revise ISP to incorporate all needs/services areas identified in SAVRY				X	X					NYSAP	
5.2 Get approval from Central office						X					
5.3 Revise the ISP in the						X	X				

# Office of Juvenile Justice

Work Plan Oct 08 – March 09

## Model for Standardized Predisposition & Post-disposition Assessments

OBJECTIVES	TIMEFRAME (in weeks)								TARGETED COMPLETION DATE	Responsible Party (Lead is bold)	OUTCOME PRODUCTS
	Oct 16-31 2008	Nov 1-15 2008	Nov 16-30 2008	Dec 1-15 2008	Dec 16-31 2008	Jan 1-15 2009	Jan 16-31 2009	Feb 2009			
electronic system											
<b>Objective 6.</b> Preparing POs and Central Office for SAVRY use									Feb. 15, 2008	<b>NYSAP Pilot Site regional managers</b>	<b>Presentations made to Staff at 4 pilot sites and Central Office to prepare for SAVRY use</b>
6.1 Short ½ day presentations to POs at all four pilot sites by NYSAP & Clement		X								<b>NYSAP</b>	
6.2 Short presentation to Central office						X				<b>NYSAP</b>	
6.3 Staff at each pilot site are given service referral matrix and will fill-in the services available in each need domain – finalized by regional managers and reviewed by Clement & NYSAP		X	X	X	X	X				<b>Regional managers at pilot sites NYSAP</b>	
6.4 Draft policy for SAVRY use at OJJ (include reassessment timelines, when it is completed, and how it is completed)		X	X	X	X					<b>Workgroup NYSAP</b>	
6.5 OJJ adopts draft policy						X					<b>Policy for SAVRY use integrated into OJJ's procedure manuals</b>
6.6 Develop Quality assurance and monitoring plan				X	X	X	X	X		<b>NYSAP</b>	
<b>Objective 7.</b> Training on the SAVRY at pilot sites									March 2009		<b>All PO's at Pilot sites trained on the</b>



# Office of Juvenile Justice

Work Plan Oct 08 – March 09

## Model for Standardized Predisposition & Post-disposition Assessments

OBJECTIVES	TIMEFRAME (in weeks)								TARGETED COMPLETION DATE	Responsible Party (Lead is bold)	OUTCOME PRODUCTS
	Oct 16-31 2008	Nov 1-15 2008	Nov 16-30 2008	Dec 1-15 2008	Dec 16-31 2008	Jan 1-15 2009	Jan 16-31 2009	Feb 2009			
											SAVRY & completed practice cases
7.1 Master trainer training from Bartel – 20 to 25 master trainers will be trained – 4 to 5 individuals per pilot site. This may include 2 Master expert trainers for the state.								X		Consultant NYSAP	
7.2 Training of front line staff at the 4 pilot sites by Master trainers								X		OJJ Master Trainers	
7.3 Complete a two SAVRY practice cases in each PO department with staff								X		NYSAP will provide cases	
<b>Objective 8.</b> Educate stakeholders about SAVRY use – including judges, Defense Attorneys and Prosecutors						X	X	X	March 2009	OJJ	
8.1 Develop a plan for educating stakeholders						X				OJJ NYSAP	
8.2. Provide short presentations to stakeholder groups										OJJ	
<b>Objective 9.</b> Full implementation of SAVRY at pilot sites – Begin Pilot Testing								X	Mid-Mar 2009		The SAVRY will be used by POs at four pilot sites

## Appendix I.4

### Job Description of Assessment Coordinator

#### *Statewide Coordinator – Risk Assessment and Case Management*

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

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#### POSITION DESCRIPTION

##### **STATEWIDE COORDINATOR – RISK ASSESSMENT AND CASE MANAGEMENT**

REPORTS TO: Juvenile Court Administrator

##### BASIC FUNCTIONS:

The Statewide Coordinator for Risk Assessment and Case Management functions as the primary point of contact for the State of Utah Juvenile Court Administrator and the Director for the Division of Youth Corrections for all matters pertinent to the implementation, use and practices related to the Risk Assessment and Case Management Assessment Process .

This position requires collaborative communication with the Juvenile Court Administrator, the Quality Assurance Committee, the Trial Court Executive, and the Region Chiefs for all Eight Districts with the state of Utah and the Division of Youth Corrections.

This position requires direct and technical communication with contracted professional consultants approved by the Juvenile Court Administrator regarding the development of curriculum and the providing of training to staff persons within the juvenile courts of the State of Utah.

##### PRINCIPLE DUTIES:

Report as directed to the Juvenile Court Administrator, Trial Court Executives, Region Chiefs, and the Quality Assurance Committee regarding program related matters.

Liaison with other professional consultants as approved regarding implementation issues of the Case Management Assessment Process and the development and implementation of intervention strategies for the Juvenile Courts.

Coordinate the Case Management and Assessment Process training for juvenile justice employees.

Coordinate training of trainers for the Case Management and Assessment Process.

Coordinate training curriculum development and revisions.

Support of trainers and local court quality assurance specialists.

Review and address implementation issues for the Case Management and Assessment Process.

Review and assist with the development of on-going quality assurance plans in each district.

Assist the courts in the development of policies and procedures with respect to the utilization and implementation of the Case Management Assessment Process and related intervention strategies.

Serve as a point of contact for disseminating accurate information among Juvenile Court Administrators, Trainers, Quality Assurance Committee, Quality Assurance Specialists, and anyone else deemed appropriate by the Juvenile Court Administrator.

Review and write grants pertinent to the development of staff and programs.

Prepare correspondence, memoranda, documents, and reports as required.

Maintain an updated copy of the Quality Assurance Plan from each court.

Perform other tasks as directed by the Juvenile Court Administrator.

#### MINIMUM QUALIFICATIONS:

A minimum of a Bachelor's Degree in behavioral science with an emphasis in criminal justice, social work, psychology, counseling or a related field from an accredited college or university.

Experience counseling youth.

An ability to communicate effectively orally and in writing.

An ability to establish effective working relationships with a variety of individuals.

An ability to work effectively under stress or in crisis situations.

An ability to work independently, yet is accountable.

An ability to maintain records.

Computer and data entry proficiency.

A valid Utah State Driver's License.

#### PREFERRED QUALIFICATIONS:

Thorough knowledge of juvenile rehabilitative philosophy about dealing with juvenile offenders.

A working knowledge of Juvenile Court systems and an ability to work with judges, Trial Court Executives, Region Chiefs, Probation Supervisors, and juvenile court line staff.

An ability to lead, motivate, supervise and instill in other professional employees a consistently fair attitude toward juveniles while exercising authority.

An ability to collaborate with others, to identify and resolve problems, and to make decisions in a positive fashion.

An ability to exhibit demonstrated skills in public speaking.

An ability to write, develop and teach the approved curriculum.

An ability to lead professional staff persons in the training and implementation of the Case Management Assessment Process and approved intervention strategies.

An ability to provide presentations to selected groups (judges, legislators, etc.) regarding the status of the Case Management Assessment Process and implementation of intervention strategies.

An ability to function away from the work site for extended (several days a week) periods of time (position requires extensive travel throughout the state).

# Appendix I.5


## Job Description of Quality Assurance Coordinator

### Case Management Assessment Process (CMAP) Quality Assurance Coordinator

Developed by: Washington Association of Juvenile Court Administrators

#### Administrative Office of the Courts

#### Career Opportunity

<b>Case Management Assessment Process (CMAP) Quality Assurance Coordinator</b>	
 <p><u>Where is AOC Located?</u></p> <p>The Administrative Office of the Courts is located in Olympia, Washington, on Interstate 5 between Seattle, Washington and Portland, Oregon. Olympia and the surrounding Thurston County area offer numerous social, recreational, educational, and cultural opportunities. Natural features include Puget Sound, the Olympic National Park to the west, and Mt. Rainier to the east. Mount St. Helens and the Pacific Ocean beaches are within a 2 hour drive of the city.</p> <p><u>AOC PROFILE:</u></p> <p>The Administrative Office of the Courts (AOC) is a department of the Washington State Supreme Court. Established by state statute in 1957, the mission of the AOC is to advance the efficient and effective operation of the Washington State judicial system.</p> <p>The AOC carries out its mission through formulation of policy and legislative initiatives, court technology development, educational programs, and program support for 428 Washington judges and their staff. The AOC draws its employees from a wide range of professions including legal, information technology, research, education, and judicial administration.</p> <p>The agency is administered by an executive team that is committed to maintaining a dedicated and diverse workforce that provides the highest quality of customer service and continuously develops strategies for improving the performance and effectiveness of the court system in Washington.</p>	<p><b>POSITION:</b> Case Management Assessment Process (CMAP) Quality Assurance Coordinator (Senior Court Program Analyst)</p> <p><b>LOCATION:</b> Olympia, Washington</p> <p><b>OPENS:</b> August 5, 2010</p> <p><b>CLOSES:</b> August 16, 2010</p> <p>This position works with Washington State Juvenile Courts to ensure they are adhering to the Case Management Assessment Process. This position requires moderate to heavy travel to visit each of the Washington State Juvenile Courts.</p> <p><u>Senior Court Program Analyst Job Overview</u></p> <ul style="list-style-type: none"><li>Responsible for planning, implementing, monitoring and evaluating program components involving significant impact on judicial programs, to include completion of complex or highly technical major projects and objectives, under the supervision of a designated manager in the Judicial Services Division. Work is performed at a professional level with the expectation of independent judgment and decision making as directed by management or executive level staff, and demonstration of appropriate mentorship, role modeling and technical expertise. May supervise and/or direct and review the work of other professional staff.</li></ul> <p><u>Key Responsibilities</u></p> <ul style="list-style-type: none"><li>Manages inter-jurisdictional, comprehensive programs and/or complex/highly technical major projects. Completes research, assessments, and provides recommendations to the designated Manager or executive level staff.</li><li>Works with the Quality Assurance Committee to develop standards, processes, and indicators for the Case Management Assessment Process (CMAP).</li><li>Trains Juvenile Court staff on the CMAP.</li></ul>

**Case Management Assessment Process (CMAP) Quality Assurance Coordinator**

**AOC Offers...**

- Ø A comprehensive benefits package;
- Ø Membership in the Public Employees' Retirement System; and
- Ø Opportunities to participate in the Deferred Compensation and Dependent Care Assistance Programs.

**Benefits:**

- Ø The state of Washington offers a comprehensive benefits package, including health, dental, life and long-term disability insurance
- Ø Vacation leave
- Ø Sick leave
- Ø Shared leave
- Ø Family – Medical Leave
- Ø Military and Civil leave
- Ø Eleven paid holidays per year
- Ø A state retirement plan
- Ø Deferred Compensation Program
- Ø Deferred College Tuition Program (GET)

**Key Responsibilities (continued)**

- Provides information, assessment, consultation, support and recommendations to AOC, courts, associations and boards and commissions within major operational areas (i.e., personnel management, contracting, performance management, budget development, court service delivery and/or judicial system policy and procedure) to achieve consistent, efficient, and effective programs and operations.
- Works with Juvenile Court Administrators and Probation Managers to ensure they are adhering to the standards, processes, and indicators set by the CMAP Quality Assurance Committee; and so they can provide reliable data to the Washington State Center for Court Research and the legislature.
- Performs other work as assigned.

**Key Competencies**

- Knowledge regarding design and implementation of the Washington Juvenile Court Assessment (delivered as the web-based Positive Achievement Change Tool, or PACT).
- Expert knowledge of:
  - Approaches to quality assurance and performance tracking
  - Risk of recidivism and criminogenic needs (what they are, how they are measured, and how to react to them)
  - Evidence-based treatment literature
  - Court process and probation case management
- Ability to work with:
  - Juvenile Court Administrators and Probation Managers
  - Quality Assurance Committee
  - Research and evaluation teams
  - Contractors (i.e., software)
- Expert ability to deliver training.
- Expert ability to manage and assess the performance of the CMAP Quality Assurance team of trainers and quality assurance specialists.

**Case Management Assessment Process (CMAP) Quality Assurance Coordinator**

*The AOC is committed to the practice of equal employment opportunity and non-discrimination for all persons without regard to race, creed, color, national origin, sex, marital status, sexual orientation, age, honorably discharged veteran or military status, or the presence of any sensory, mental, or physical disability or the use of a trained dog guide or service animal by a person with a disability. Persons of disability needing assistance in the application process, or those needing this announcement in an alternative format, please contact Erica Munro, AOC Human Resource Office, at (360) 705-5286 or fax (360)586-4409, or via email to [Erica.Munro@courts.wa.gov](mailto:Erica.Munro@courts.wa.gov)*

**SPECIAL NOTE:**  
All employees hired by the Administrative Office of the Courts are required to be fingerprinted for a criminal history background check with continued employment with the AOC contingent upon the results of this background check.

**Qualifications**

A Bachelor’s degree in court administration, public administration, political science, business administration or closely allied field **AND:**

- Five years of progressively responsible experience in court administration and/or program development, to include one year or more in a supervisory or lead role and/or managing or directing groups or teams.

**The preferred candidate will have:**

- Knowledge of the fundamentals of CMAP
- Experience with adult or juvenile probation
- Experience with quality assurance programs
- Experience with treatment programs
- Experience delivering training

Demonstration of relevant experience may substitute for education requirement.

**To be considered for this position, please submit:**

- A cover letter specifying how you meet the qualifications of the position (no more than two pages).
- A chronological resume including: dates and total months/years in each position held for each previous employer.
- [Completed AOC application form.](#)

**Send materials to:**

Submit materials by email, fax, or postal service to:  
Washington State Administrative Office of the Courts  
Attention Human Resources Office  
1206 Quince St SE  
P.O. Box 41170  
Olympia, WA 98504-1170

email: [erica.munro@courts.wa.gov](mailto:erica.munro@courts.wa.gov)  
or fax 360-586-4409.

Application materials will be screened for the purposes of determining who will be selected for an interview.

# Potential Benefits of Risk Assessment Tools

National Youth Screening & Assessment Project (NYSAP)

# What is a Risk Assessment Tool?

- ❏ Risk = risk for serious offending or violence
- ❏ *A risk for reoffending or violence assessment tool* is an instrument developed to help answer the question: **“Is this individual at relatively low or relatively high risk for reoffending or engaging in violent behavior?”**
- ❏ Some, but not all, risk assessment tools also address what is causing the individual to be at low or relatively high risk for reoffending (in other words, some identify ***crime-producing needs***)



# Research Evidence: Guiding Principles

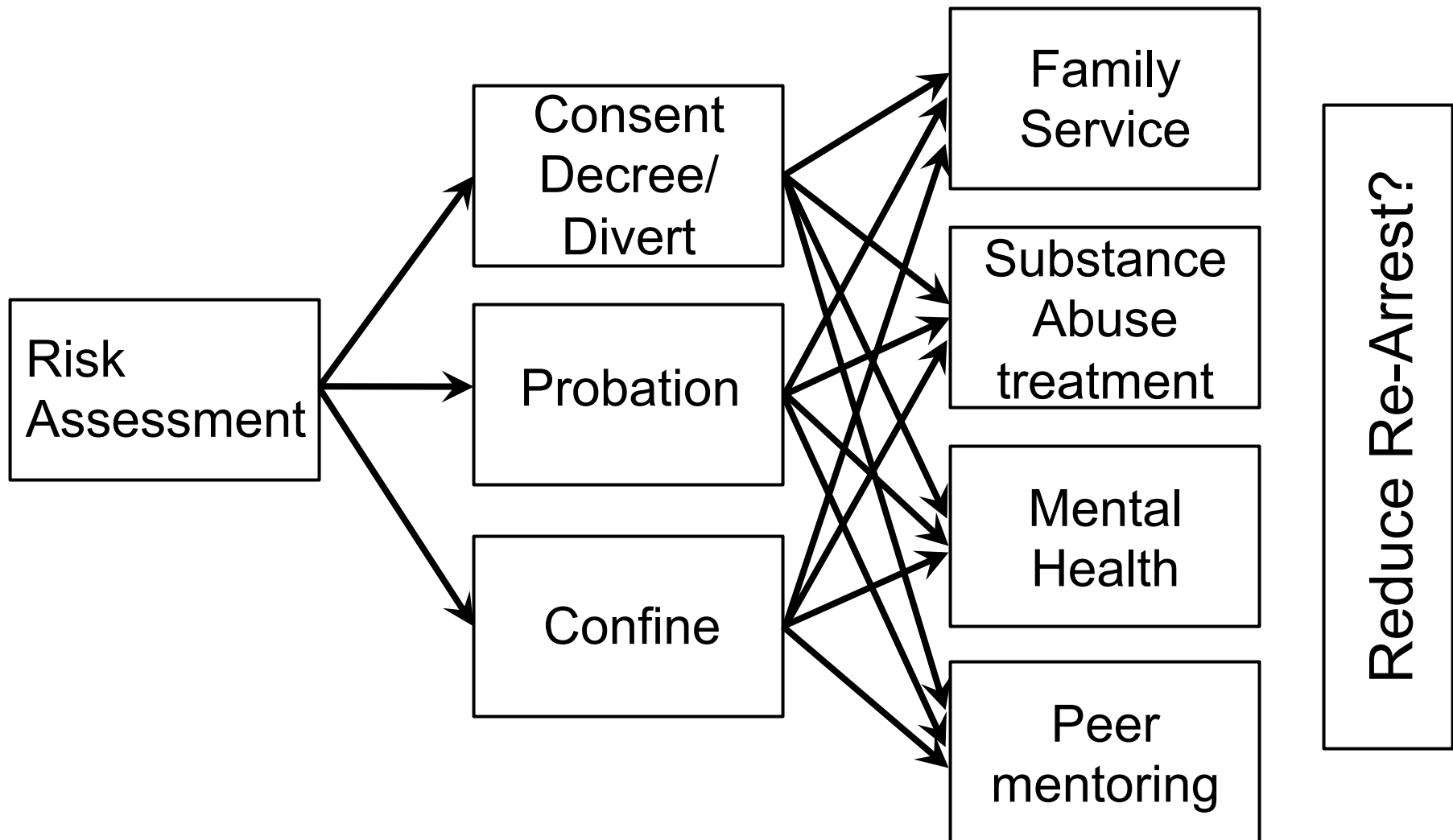
## There is emerging consensus on characteristics of effective programming for young offenders:

- ❏ Punitive sanctions without effective services **do not** have a significant effect on re-offending (Gatti et al., 2009).
- ❏ Most low-risk youth are unlikely to re-offend even if there is no intervention (Lipsey, 2009). But mixing them with high risk youth can make them worse.
- ❏ When services are **matched** to youth's "crime-producing" (criminogenic) needs, the lower the chance of repeat offending.
- ❏ The goal is to have the right services for the right

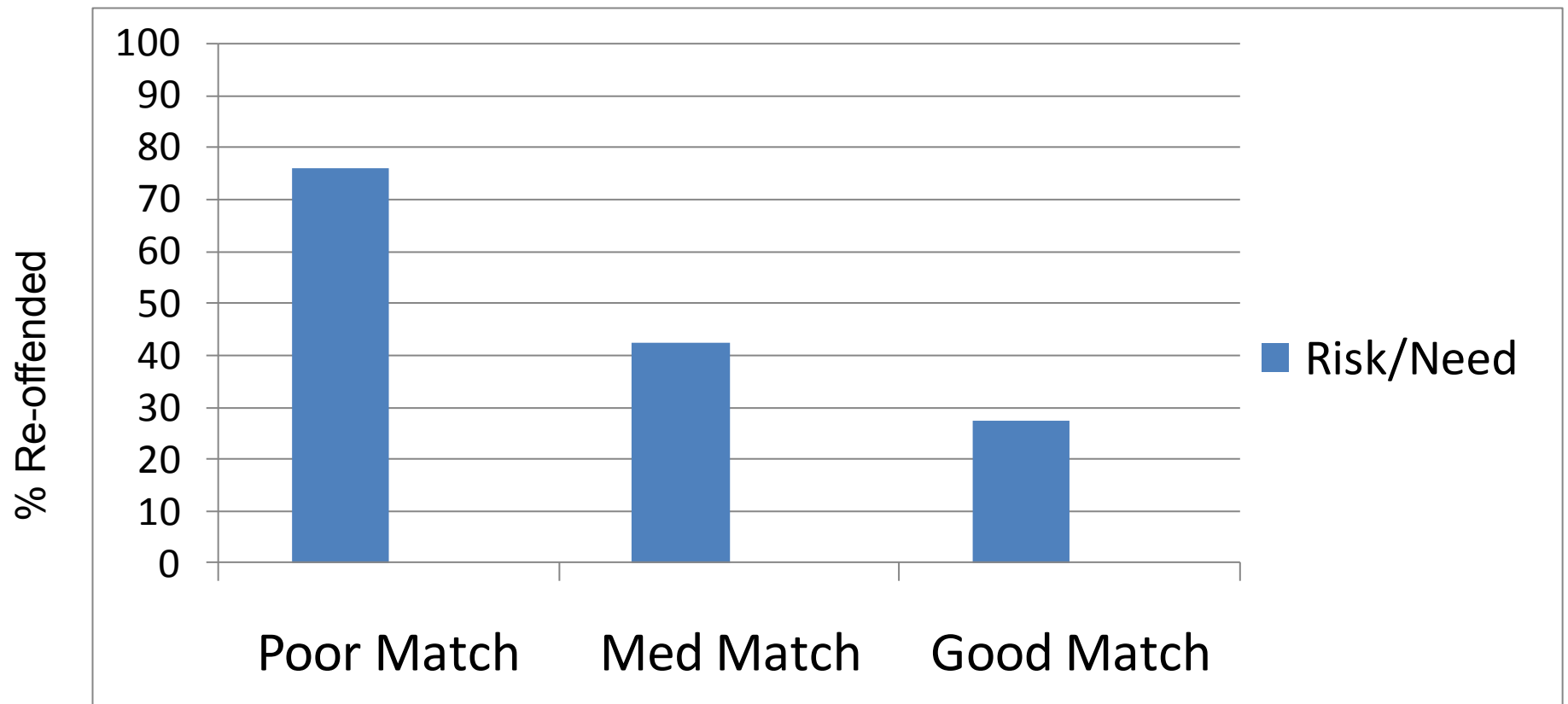
# Results of Cost/Benefit Research: Benefits Per Dollar Invested

- For every \$1.00 spent on the following services, you save:
  - Functional Family Therapy: \$28.34
  - Multisystemic Family Therapy: \$28.81
  - Multidimensional Treatment Foster Care: \$43.70
  - Adolescent Diversion Project: \$24.92
  - Juvenile Boot Camps: \$0.81
  - Scared Straight: **-\$477.75** (NET LOSS)

# Matching the Right Person to the Right Interventions and Services



# Matching Services to Criminogenic Needs Can Have a Large Impact (Vieira et al., 2009)

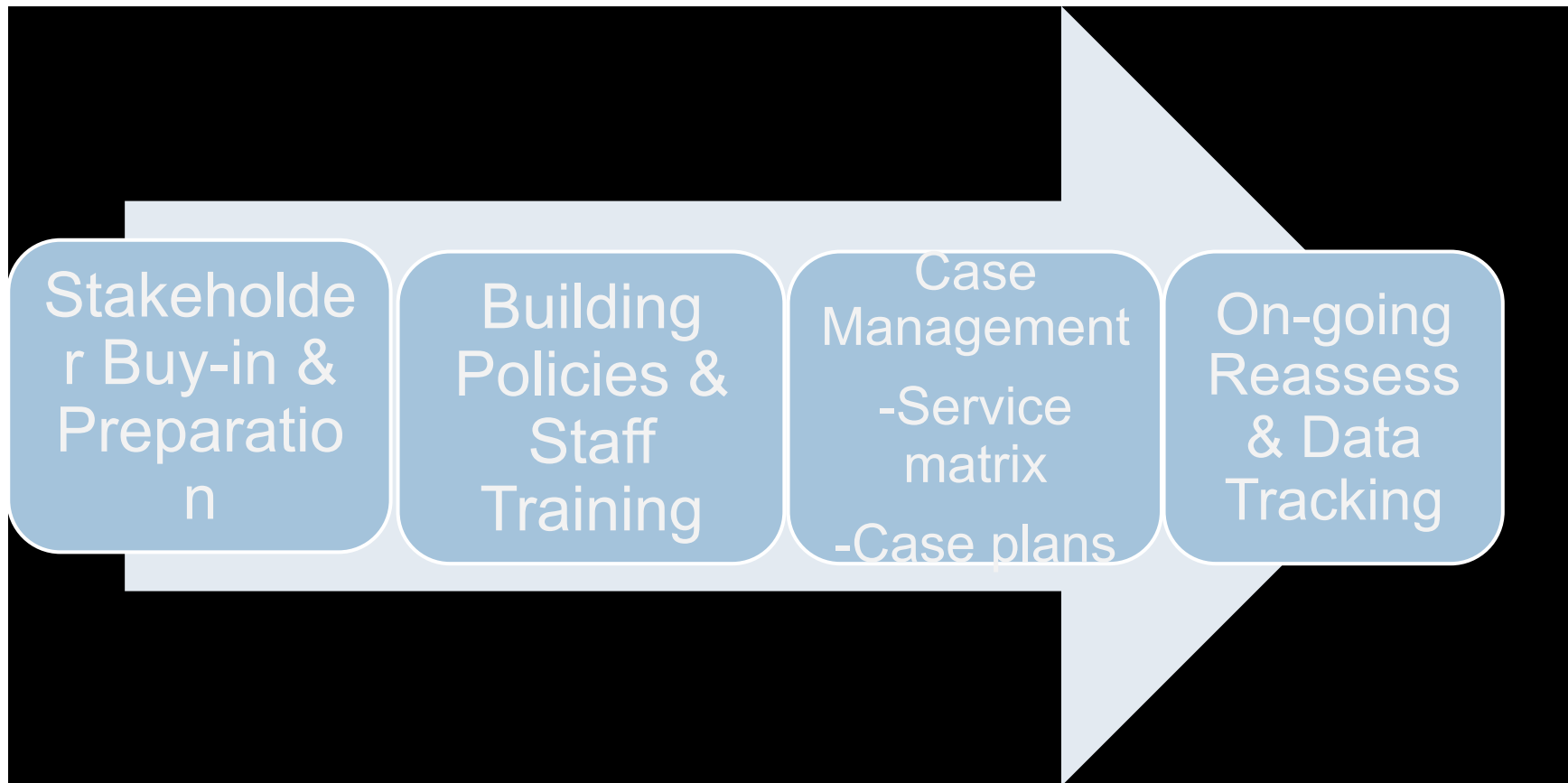


Match based on # of Services Given in Response to a Youth's Criminogenic Needs

# Case Management

- ❏ Risk - Match the intensity of the intervention with one's level of risk for re-offending
  - ❏ Tells us Who to target
  - ❏ Useful for level of supervision/intensity of services/ placement & disposition
- ❏ Need - Target *criminogenic needs* (or dynamic risk factors)
  - ❏ Tells us What to target
  - ❏ Provide only services for areas where youth have the highest needs
- ❏ Responsivity - Match the mode & strategies of services with the individual

# The Implementation Process is Crucial



# What General Reoffending and Violence Risk Assessments Do NOT Do

- ❏ NOT prescriptive for services
- ❏ Tools designed for general violence risk are NOT appropriate for identifying risk for sexual offending
- ❏ NOT mental health assessments
  - ❏ They also do not identify potential mental health problems in need of an assessment
- ❏ Typically do NOT include **items** that are unrelated to future offending, like “well-being needs” (e.g., special education, depression, trauma – other tools may be necessary)
- ❏ Do NOT prescribe legal decisions

# Cost-Savings

---

- ❏ Proper implementation of a risk assessment can save costs by:
  - ❑ Potentially diverting MORE arrestees from formal processing (the right arrestees),
  - ❑ Not recommending services for offenders who **do not** need them,
  - ❑ Reducing costly out-of-home placement & intensive supervision when either are unnecessary for addressing the risks and needs of the offender, and
  - ❑ Guiding case plans to reduce chances of re-offending



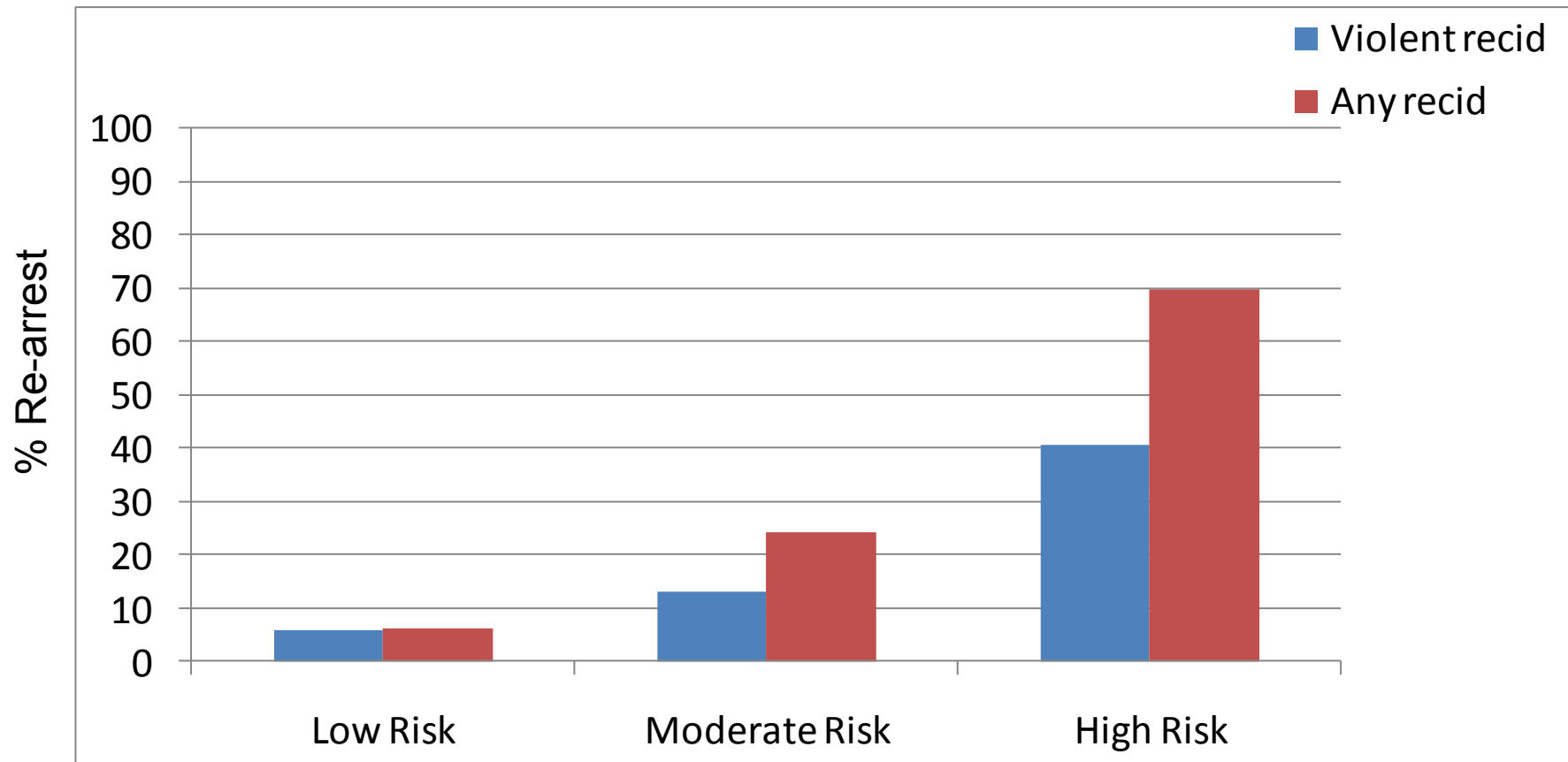
# HOW TO SELECT AN EVIDENCE-BASED RISK ASSESSMENT



# How to Pick an Evidence-Based Risk Assessment Tool (Vincent et al., 2009)

- ❏ Purports to assess “risk” for re-offending
- ❏ Has a test manual
- ❏ Was developed for, or validated on, juvenile justice youth in the right setting
- ❏ Is feasible
- ❏ If comprehensive - permits re-assessment
- ❏ Demonstrates reliability - two independent raters would reach similar conclusions
- ❏ Demonstrates a strong relation to re-offending (predictive validity)

# Illustration of Predictive Validity for Re-offending (SAVRY; Abramowitz & Gretton, 2002)



Summary Risk Rating

# Selection of the Risk Assessment is Dependent on the JJ Decision Point & Setting

## ☒ Pre-adjudication:

- ☒ Brief Risk Assessment Tool (doesn't contain many dynamic risk factors)
- ☒ Comprehensive Risk Assessment not recommended without information-sharing agreements in place – potential for self-incrimination and risk to validity

## ☒ Post-adjudication/Pre-disposition

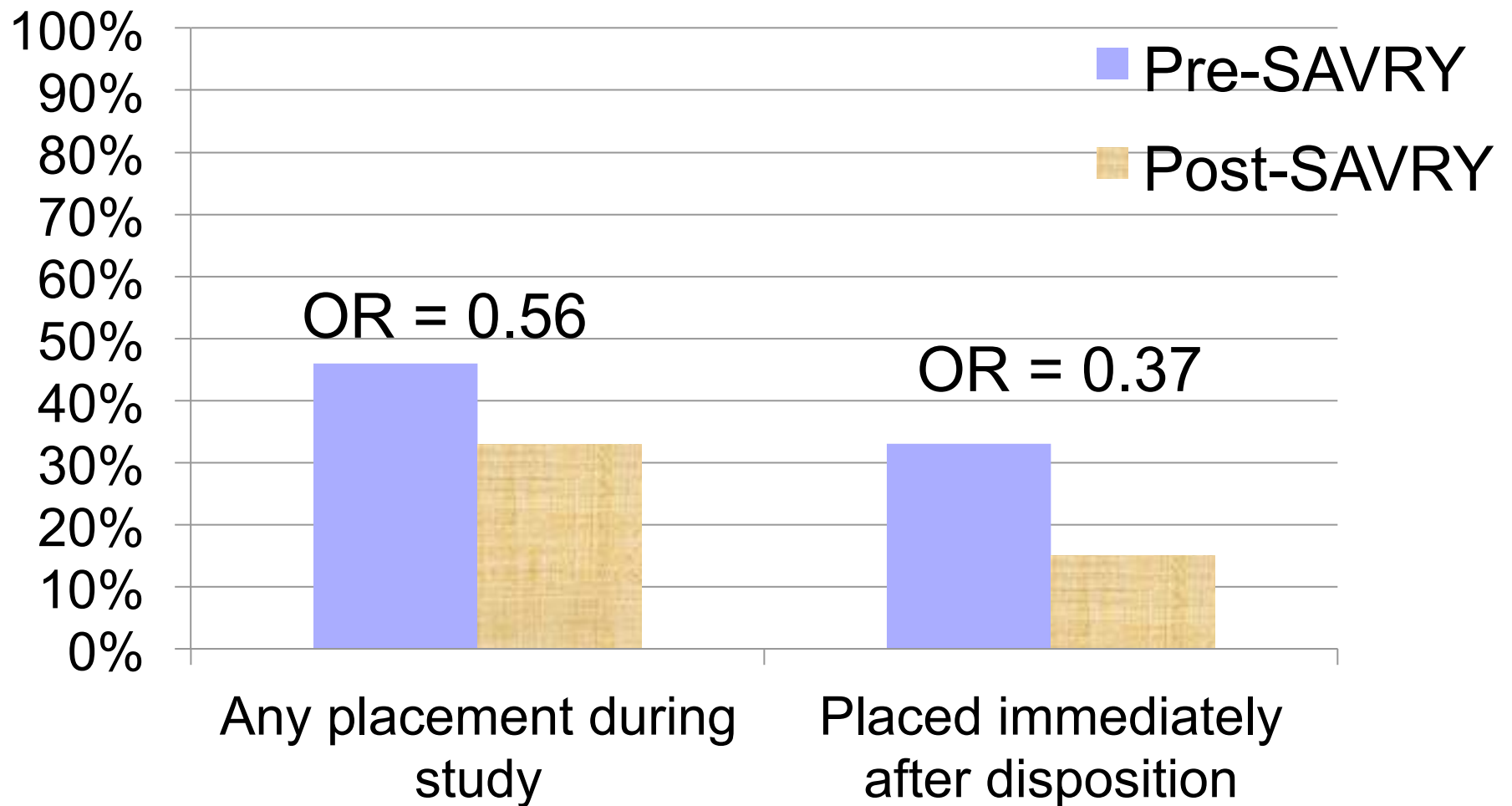
- ☒ Ideal use for comprehensive risk assessment

## ☒ Post-disposition or Re-entry

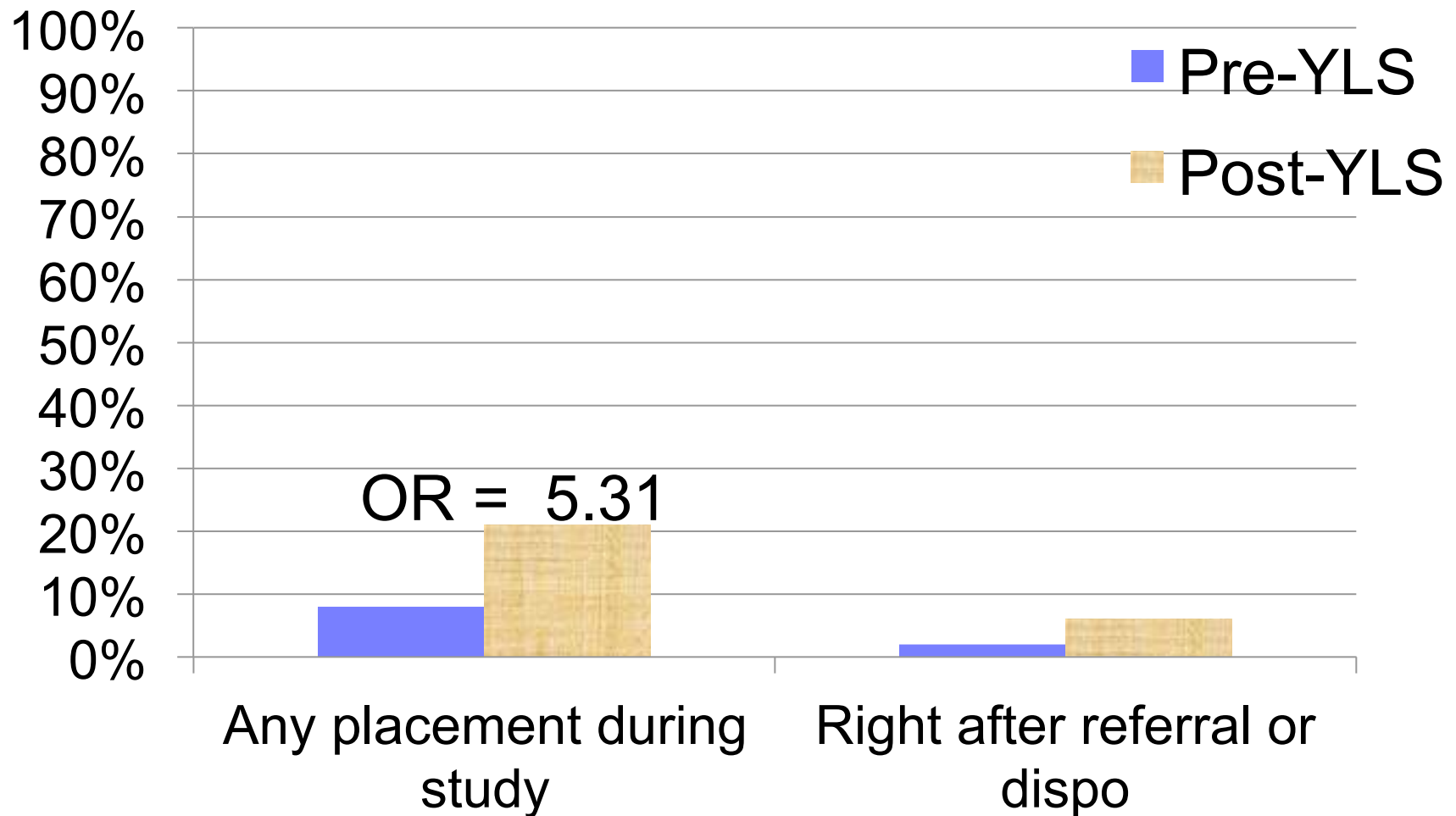
- ☒ Essential Use for comprehensive tool at admission and discharge

ANTICIPATED OUTCOMES:  
RESULTS OF THE *RISK  
ASSESSMENT IN JUVENILE  
PROBATION:  
IMPLEMENTATION STUDY*

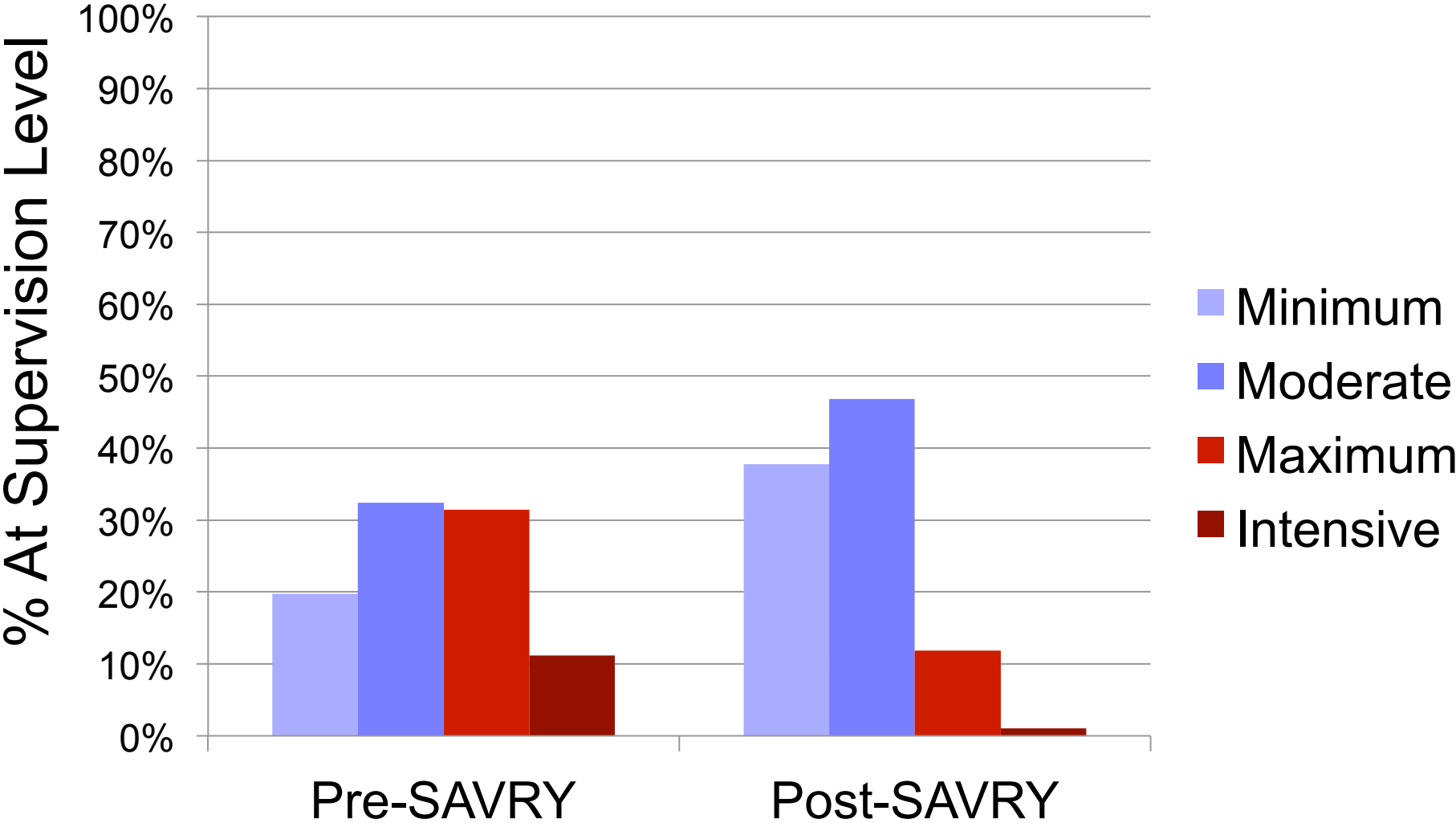
# EFFECT OF RNA implementation on placement rates in a high placement site



# Effect of RNA implementation on placement rates in a low placement site

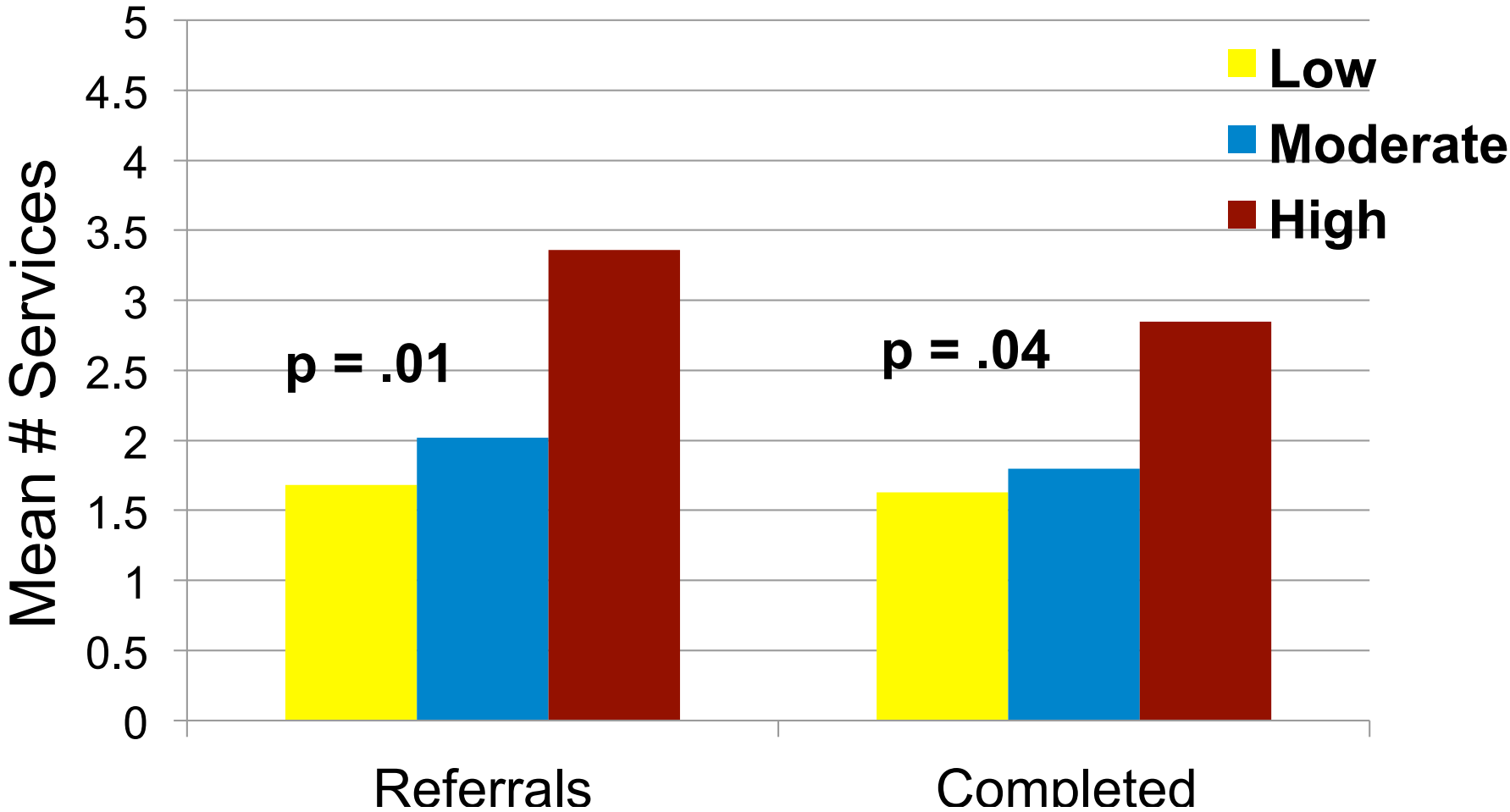


# Effect of an RNA on Assignment of Level of Supervision on Probation





# Services Referred and Completed by Probationers by Risk Level Post-SAVRY Implementation



# Summary: Benefits of Risk Assessment

- ❏ Risk assessment helps states to conserve resources and to improve outcomes for offenders
  - ❑ Improved chance of reducing risk = reduction in re-offending
  - ❑ Better use of services = improved functioning and cost-savings
- ❏ Risk assessment provides a means for data tracking to potentially
  - ❑ Evaluate changes in youths' risk (if using a dynamic assessment)
  - ❑ Evaluate services and decisions pertaining to out-of-home placement

**Conclusion:** The benefits are unlikely to be attained

# Contact Information & References

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- ☒ NYSAP website: <http://www.nysap.us>
- ☒ [Gina.Vincent@umassmed.edu](mailto:Gina.Vincent@umassmed.edu)

# Appendix II.1

## Legislation Delineating Use of Information Obtained Pre-adjudication with Mandated Protection

Act 109 of 2008; The General Assembly of Pennsylvania House Bill No. 1511,  
Session of 2007

Developed by: Pennsylvania Juvenile Court Judges' Commission

### ACT 109 OF 2008

Enacted: Oct. 9, 2008

Effective Date: Dec. 08, 2008

SENATE AMENDED  
PRIOR PRINTER'S NOS. 1866, 2559, 2656  
3764

PRINTER'S NO. 4439

THE GENERAL ASSEMBLY OF PENNSYLVANIA

## HOUSE BILL

No. 1511 Session of  
2007

INTRODUCED BY SHIMKUS, DERMODY, BELFANTI, BISHOP, BRENNAN,  
CURRY, CUTLER, HICKERNELL, JAMES, LENTZ, MAHONEY, MUNDY,  
SIPPROTH, MOUL, FABRIZIO AND CALTAGIRONE, JUNE 7, 2007

AS AMENDED ON SECOND CONSIDERATION, IN SENATE,  
SEPTEMBER 24, 2008

### AN ACT

- 1 Amending Title 42 (Judiciary and Judicial Procedure) of the  
2 Pennsylvania Consolidated Statutes, IN JUVENILE MATTERS, <—  
3 ADDING DEFINITIONS; further providing for notice and hearing  
4 in juvenile matters, FOR OTHER BASIC RIGHTS AND FOR <—  
5 ADJUDICATIONS OF JUVENILES.
- 6 The General Assembly of the Commonwealth of Pennsylvania  
7 hereby enacts as follows:
- 8 ~~Section 1. Sections 6336.1 and 6351(c)(1) of Title 42 of the~~ <—  
9 ~~Pennsylvania Consolidated Statutes are amended to read:~~
- 10 ~~SECTION 1. SECTION 6336.1 OF TITLE 42 OF THE PENNSYLVANIA~~ <—  
11 ~~CONSOLIDATED STATUTES, AMENDED DECEMBER 18, 2007 (P.L. 484,~~  
12 ~~NO.76), IS AMENDED TO READ:~~
- 13 SECTION 1. SECTION 6302 OF TITLE 42 OF THE PENNSYLVANIA <—  
14 CONSOLIDATED STATUTES IS AMENDED BY ADDING DEFINITIONS TO READ:  
15 § 6302. DEFINITIONS.
- 16 THE FOLLOWING WORDS AND PHRASES WHEN USED IN THIS CHAPTER  
17 SHALL HAVE, UNLESS THE CONTEXT CLEARLY INDICATES OTHERWISE, THE

1 MEANINGS GIVEN TO THEM IN THIS SECTION:

2 \* \* \*

3 "ASSESSMENT." AN INDIVIDUALIZED EXAMINATION OF A CHILD TO  
4 DETERMINE THE CHILD'S PSYCHOSOCIAL NEEDS AND PROBLEMS, INCLUDING  
5 THE TYPE AND EXTENT OF ANY MENTAL HEALTH, SUBSTANCE ABUSE OR CO-  
6 OCCURRING MENTAL HEALTH AND SUBSTANCE ABUSE DISORDERS AND  
7 RECOMMENDATIONS FOR TREATMENT. THE TERM INCLUDES, BUT IS NOT  
8 LIMITED TO, A DRUG AND ALCOHOL, PSYCHOLOGICAL AND PSYCHIATRIC  
9 EVALUATION, RECORDS REVIEW, CLINICAL INTERVIEW AND THE  
10 ADMINISTRATION OF A FORMAL TEST AND INSTRUMENT.

11 \* \* \*

12 "SCREENING." A PROCESS, REGARDLESS OF WHETHER IT INCLUDES  
13 THE ADMINISTRATION OF A FORMAL INSTRUMENT, THAT IS DESIGNED TO  
14 IDENTIFY A CHILD WHO IS AT INCREASED RISK OF HAVING MENTAL  
15 HEALTH, SUBSTANCE ABUSE OR CO-OCCURRING MENTAL HEALTH AND  
16 SUBSTANCE ABUSE DISORDERS THAT WARRANT IMMEDIATE ATTENTION,  
17 INTERVENTION OR MORE COMPREHENSIVE ASSESSMENT.

18 \* \* \*

19 SECTION 2. SECTION 6336.1 OF TITLE 42 IS AMENDED TO READ:

20 § 6336.1. Notice and hearing.

21 (a) General rule.--The court shall direct the county agency  
22 or juvenile probation department to provide the child's foster  
23 parent, preadoptive parent or relative providing care for the  
24 child with timely notice of the hearing. The court shall provide  
25 the child's foster parent, preadoptive parent or relative  
26 providing care for the child the ~~opportunity~~ right RIGHT to be ←  
27 heard at any hearing under this chapter. Unless a foster parent,  
28 preadoptive parent or relative providing care for a child has  
29 been awarded legal custody pursuant to section 6357 (relating to  
30 rights and duties of legal custodian), nothing in this section

1 shall give the foster parent, preadoptive parent or relative  
2 providing care for the child legal standing in the matter being  
3 heard by the court.

4 (b) Permanency hearings.--

5 (1) Prior to a permanency hearing under section 6351(e)  
6 (relating to disposition of dependent child), a child's  
7 foster parent or parents, preadoptive parent or relative  
8 providing care for the child may submit to the court a report  
9 in regard to the child's adjustment, progress and condition.

10 (2) The county agency shall notify the foster parent or  
11 parents, preadoptive parent or relative providing care for  
12 the child of the right to submit a report under this  
13 subsection to the court on a form under paragraph (3). The  
14 county agency shall provide the foster parent or parents,  
15 preadoptive parent or relative providing care for the child  
16 with information identifying the name of the judge or officer  
17 of the court, along with mailing address, to whom the report  
18 is to be submitted.

19 (3) The Department of Public Welfare shall develop a  
20 form for use by a foster parent or parents, preadoptive  
21 parent or relative providing care for the child, including, ←  
22 BUT NOT LIMITED TO, the following information:

23 (i) Date of completion.

24 (ii) Name and address of child.

25 (iii) Name and address of foster parent or parents,  
26 preadoptive parent or relative providing care for the  
27 child. THE INFORMATION UNDER THIS SUBPARAGRAPH SHALL BE ←  
28 CONSIDERED CONFIDENTIAL EXCEPT AT THE DISCRETION OF THE  
29 COURT.

30 (iv) Name of primary caseworker and agency.

1           (v) Description of child's adjustment in the home.

2           (vi) Description of child's interaction with foster  
3 parent or parents, preadoptive parent or relative  
4 providing care and with family members of individuals  
5 referred to in this subparagraph.

6           (vii) Description of child's interaction with  
7 others.

8           (viii) Evaluation of child's respect for property.

9           (ix) Description of physical and emotional condition  
10 of child.

11          (x) Description of child's interaction with the  
12 primary caseworker.

13          (xi) Description of caseworker's interaction with  
14 the child and foster parent or parents, preadoptive  
15 parent or relative providing care for the child and with  
16 family members of individuals referred to in this  
17 paragraph.

18          (xii) Description of educational status, grades,  
19 attendance and behavior of child in school or child's  
20 experience in a child day-care setting or early childhood  
21 development program.

22          (xiii) Description of child's experience involving  
23 visitation with birth parents, specifying if visitation  
24 is supervised or unsupervised and any significant events  
25 which occurred.

26          (xiv) Opinion on overall adjustment, progress and  
27 condition of the child.

28          (xv) Other concerns ~~or comments~~, COMMENTS OR           <—  
29 RECOMMENDATIONS.

30          (4) The report shall be reviewed by the court, ~~the~~           <—

1 ~~county agency, the child's guardian ad litem and court-~~  
2 ~~appointed special advocate, if appointed pursuant to section~~  
3 ~~6342 (relating to court appointed special advocates). The~~  
4 ~~court may release the report to the Department of Public~~  
5 ~~Welfare or another individual or agency if the court~~  
6 ~~determines it is in the child's best interests to do so. AND~~ ←  
7 IS SUBJECT TO REVIEW BY OTHER PERSONS AND AGENCIES UNDER  
8 SECTIONS 6307 (RELATING TO INSPECTION OF COURT FILES AND  
9 RECORDS) AND 6342 (D) (1) (RELATING TO COURT-APPOINTED SPECIAL  
10 ADVOCATES).

11 (5) A county agency or a private agency as defined under  
12 23 Pa.C.S. § 6303 (relating to definitions) shall not take  
13 any retaliatory action against a foster parent, preadoptive  
14 parent or relative for any information, comments or concerns  
15 provided in good faith in a report under this subsection.  
16 This paragraph shall not be construed to prevent any agency  
17 from taking any action if the report contains information  
18 that the foster parent, preadoptive parent or relative has  
19 engaged in any conduct that is contrary to any regulation or  
20 law or is not in the child's best interest.

21 ~~§ 6351. Disposition of dependent child.~~ ←

22 \* \* \*

23 ~~(e) Permanency hearings.~~

24 ~~(1) The court shall conduct a permanency hearing for the~~  
25 ~~purpose of determining or reviewing the permanency plan of~~  
26 ~~the child, the date by which the goal of permanency for the~~  
27 ~~child might be achieved and whether placement continues to be~~  
28 ~~best suited to the safety, protection and physical, mental~~  
29 ~~and moral welfare of the child. In any permanency hearing~~  
30 ~~held with respect to the child, the court shall do one of the~~



1 following:

2 ~~(i) Consult with the child regarding the child's~~  
3 ~~permanency plan in a manner appropriate to the child's~~  
4 ~~age and maturity.~~

5 ~~(ii) Ensure that the views of the child regarding~~  
6 ~~the permanency plan are ascertained and communicated to~~  
7 ~~the court by:~~

8 ~~(A) the guardian ad litem of the child;~~

9 ~~(B) the child's counsel, as appropriate to the~~  
10 ~~circumstances of the case;~~

11 ~~(C) the court appointed special advocate for the~~  
12 ~~child; or~~

13 ~~(D) another individual designated by the court.~~

14 \* \* \*

15 SECTION 3. SECTION 6338 OF TITLE 42 IS AMENDED BY ADDING A ←  
16 SUBSECTION TO READ:

17 § 6338. OTHER BASIC RIGHTS.

18 \* \* \*

19 (C) STATEMENTS AND INFORMATION OBTAINED DURING SCREENING OR  
20 ASSESSMENT.--

21 (1) NO STATEMENTS, ADMISSIONS OR CONFESSIONS MADE BY OR  
22 INCRIMINATING INFORMATION OBTAINED FROM A CHILD IN THE COURSE  
23 OF A SCREENING OR ASSESSMENT THAT IS UNDERTAKEN IN  
24 CONJUNCTION WITH ANY PROCEEDINGS UNDER THIS CHAPTER,  
25 INCLUDING, BUT NOT LIMITED TO, THAT WHICH IS COURT-ORDERED,  
26 SHALL BE ADMITTED INTO EVIDENCE AGAINST THE CHILD ON THE  
27 ISSUE OF WHETHER THE CHILD COMMITTED A DELINQUENT ACT UNDER  
28 THIS CHAPTER OR ON THE ISSUE OF GUILT IN ANY CRIMINAL  
29 PROCEEDING.

30 (2) THE PROVISIONS OF PARAGRAPH (1) ARE IN ADDITION TO

1 AND DO NOT OVERRIDE ANY EXISTING STATUTORY AND CONSTITUTIONAL  
2 PROHIBITION ON THE ADMISSION INTO EVIDENCE IN DELINQUENCY AND  
3 CRIMINAL PROCEEDINGS OF INFORMATION OBTAINED DURING  
4 SCREENING, ASSESSMENT OR TREATMENT.

5 SECTION 4. SECTION 6341(D) OF TITLE 42 IS AMENDED AND THE,  
6 SECTION IS AMENDED BY ADDING A SUBSECTION TO READ:

7 § 6341. ADJUDICATION.

8 \* \* \*

9 (B.2) EVIDENCE ON THE FINDING OF DELINQUENCY.--

10 (1) NO STATEMENTS, ADMISSIONS OR CONFESSIONS MADE BY OR  
11 INCRIMINATING INFORMATION OBTAINED FROM A CHILD IN THE COURSE  
12 OF A SCREENING OR ASSESSMENT THAT IS UNDERTAKEN IN  
13 CONJUNCTION WITH ANY PROCEEDINGS UNDER THIS CHAPTER,  
14 INCLUDING, BUT NOT LIMITED TO, THAT WHICH IS COURT-ORDERED,  
15 SHALL BE ADMITTED INTO EVIDENCE AGAINST THE CHILD ON THE  
16 ISSUE OF WHETHER THE CHILD COMMITTED A DELINQUENT ACT UNDER  
17 THIS CHAPTER OR ON THE ISSUE OF GUILT IN ANY CRIMINAL  
18 PROCEEDING.

19 (2) THE PROVISIONS OF PARAGRAPH (1) ARE IN ADDITION TO  
20 AND DO NOT OVERRIDE ANY EXISTING STATUTORY AND CONSTITUTIONAL  
21 PROHIBITION ON THE ADMISSION INTO EVIDENCE IN DELINQUENCY AND  
22 CRIMINAL PROCEEDINGS OF INFORMATION OBTAINED DURING  
23 SCREENING, ASSESSMENT OR TREATMENT.

24 \* \* \*

25 (D) EVIDENCE ON ISSUE OF DISPOSITION.--

26 (1) (I) IN DISPOSITION HEARINGS UNDER SUBSECTIONS (B)  
27 AND (C) ALL EVIDENCE HELPFUL IN DETERMINING THE QUESTIONS  
28 PRESENTED, INCLUDING ORAL AND WRITTEN REPORTS, MAY BE  
29 RECEIVED BY THE COURT AND RELIED UPON TO THE EXTENT OF  
30 ITS PROBATIVE VALUE EVEN THOUGH NOT OTHERWISE COMPETENT

1 IN THE HEARING ON THE PETITION.

2 (II) SUBPARAGRAPH (I) INCLUDES ANY SCREENING AND  
3 ASSESSMENT EXAMINATIONS ORDERED BY THE COURT TO AID IN  
4 DISPOSITION, EVEN THOUGH NO STATEMENTS OR ADMISSIONS MADE  
5 DURING THE COURSE THEREOF MAY BE ADMITTED INTO EVIDENCE  
6 AGAINST THE CHILD ON THE ISSUE OF WHETHER THE CHILD  
7 COMMITTED A DELINQUENT ACT.

8 (2) THE PARTIES OR THEIR COUNSEL SHALL BE AFFORDED AN  
9 OPPORTUNITY TO EXAMINE AND CONTROVERT WRITTEN REPORTS SO  
10 RECEIVED AND TO CROSS-EXAMINE INDIVIDUALS MAKING THE REPORTS.  
11 SOURCES OF INFORMATION GIVEN IN CONFIDENCE NEED NOT BE  
12 DISCLOSED.

13 \* \* \*

14 Section 2 5. This act shall take effect in 60 days. <—

## **Appendix II.2a**

### **Office Policy for Using Specific Tools / Conducting Risk Assessments**

#### **Example 1**

##### ***Youth Level of Service/Case Management Inventory™ (YLS/CMI) Assessment Protocols***

Developed by: Lehigh County, Pennsylvania

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#### **Lehigh County Youth Level of Service/Case Management Inventory™ (YLS/CMI) Assessment Protocols (10/5/09)**

The Youth Level of Service/Case Management Inventory™ (YLS/CMI™) is a risk/needs assessment and a case management tool combined into one convenient system. The YLS/CMI forms reside in the Pennsylvania Juvenile Case Management System (JCMS). The YLS/CMI Assessment (Part I, II, and III) will be done on every new allegation/referral that comes into the Lehigh County Juvenile Probation Office. The YLS/CMI is not utilized solely to determine disposition. The YLS/CMI will assist in determining the risk of re-offending, the strengths and needs of youth, as well as appropriate services.

Written policy, procedure, and practice shall require that designated intake or community-based probation officers use the Youthful Level of Service/Case Management Inventory (YLS/CMI) for all juveniles who voluntarily submit to the intake process (willing to provide social history information) or are under court-ordered supervision. The use of the YLS will begin with our Intake unit on all new referrals or re-opened cases within our department beginning on June 1, 2009. Community based Probation Officers will begin use on July 13, 2009.

Every effort should be made to corroborate the information gathered from the juvenile and parents during the interview. Whenever possible all relevant collateral information should be obtained (school records, employment history, legal history, and child welfare records). If parts of the information gathered for the YLS/CMI at time of intake interview are deemed to be incorrect a follow up re-assessment can be done with approval of Supervisor. If information gathered is not enough to significantly alter the scoring, the PO should make notes indicating the noted errors and attach to the YLS/CMI which is located in the file.

Other assessment tools may be used in addition to the YLS/CMI, but not in lieu of it. The YLS/CMI shall be scored and documented in the Juvenile Case Management System (JCMS) within five (5) business days of completion of the YLS/CMI Assessment. Supervisors will review any new assessments when an Intake is submitted and during caseload evaluations. The supervisor should indicate that the YLS was reviewed in their entry of a "Supervisor Review" on the Juvenile Calendar..

The YLS/CMI **will** be completed in the following instances:

- § When there is an admission to any or all of the charges at the intake.
- § When a client has a new allegation filed or a case is re-opened.
- § When a client has violations filed **AND** a prior YLS/CMI was completed three months ago or longer **AND** the recommendation at time of commitment meeting or court will be for a placement of three months or longer.
- § At six months from time of initial assessment if one has not been done due to re-offending or violations being filed.
- § At time of case closing if one was done previously.
- § At time of case closing if one was not done within the past three months.
- § Three months after being discharged from placement.
- § When **disposition** is being **received** from another county following a finding of fact or adjudication of delinquency.
- § A new YLS must be completed prior to placing a juvenile on any Inactive status unless one was done within the last three months.
- § Whenever a juvenile is reactivated from an Inactive status, a YLS must be completed within three months.

The YLS/CMI **will not** be completed in the following instances:

- Non-payment of Costs and Fines cases; however will be taken into consideration for scoring purposes (as a prior record).
- On any client from out of state; whether it is a client coming to us for **Courtesy Supervision**, or our County is requesting it through Interstate Compact.
- On any client transferred from another County OR transferred to another County for **Courtesy Supervision**.
- When **disposition** is being transferred to another county following a finding of fact or adjudication of
- While a client is in placement unless closing the case while in placement. It doesn't matter if the placement was done for delinquency, dependency or mental health reasons.

**Exceptions or clarification** to using the YLS/CMI are as follows:

- When there is a denial at the intake interview, the YLS/CMI Assessment will be done following a finding of fact or adjudication of delinquency but prior to disposition.
- If the case is a denial when assigned to a part time Intake Officer they will complete the Intake and a hard copy of the YLS. This will be placed into the file and after disposition the full time Intake PO will input the information into JCMS.
- If the YLS/CMI has been done prior to a juvenile being placed, the YLS/CMI shall be sent to the placement along with the referral packet. If the placement completes their own YLS assessment that will be entirely up to the facility however they should recognize the need to not re-assess too frequently. Further if they chose to do a YLS/CMI prior to discharge that will be acceptable; however the PO will complete a re-assessment as noted above

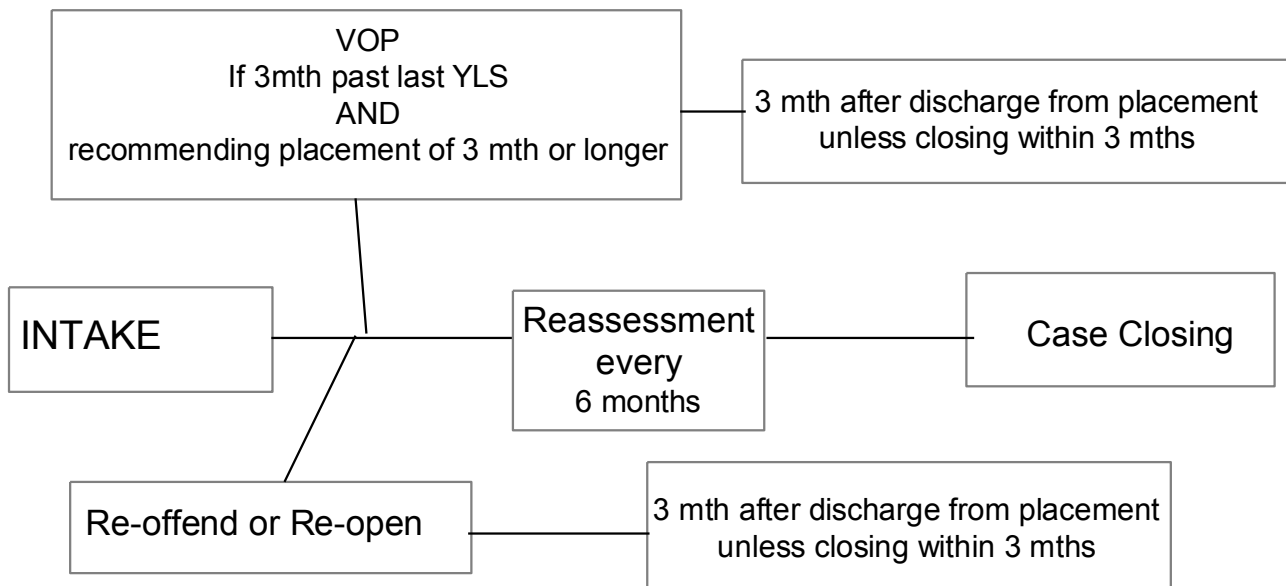
**TRAINING ON THE YLS/CMI**

The office will have a minimum of two (2) Master trainers on the YLS/CMI who attend a training workshop with a YLS/CMI training expert. The Master Trainers should complete master trainer certification on the YLS/CMI, which involves completing an exam and standardized cases following the training workshop. Probation staff should only perform YLS/CMI Assessments once they have completed office training with a certified Master YLS/CMI trainer. Booster training may be required at various times.

**Special Notes:**

- ∅ Once the YLS/CMI Assessment form has been submitted and scored it cannot be edited. Every effort should be made to verify the information used to complete the YLS/CMI Assessment is accurate and documented
- ∅ The YLS/CMI Assessment will be used, in part, to assist in the development of the Supervision Plan.
- ∅ The Weekend Program should not be counted as 'being in custody' for section I of the YLS.
- ∅ Nonpayment charges that are disposed via an Informal Adjustment are scored as a prior offense in the first section of the YLS.
- ∅ Probation Officers should always be cognizant of recognizing the strengths of the juvenile and adjusting the supervision plan accordingly.
- ∅ Supervision Levels are a part of the YLS/CMI. At this time Lehigh County is not applying the scoring to supervision levels. In the future this policy will be updated at necessary and may include areas related to supervision levels and overrides.

## YLS FLOWCHART



## Appendix II.2b

### Office Policy for Using Specific Tools / Conducting Risk Assessments

#### Example 2

### ***Administration and Use of Risk/Needs Assessment Structured Assessment of Violence Risk in Youth (SAVRY) Juvenile Probation Office Policy***

Developed by: the Office of Juvenile Justice, Louisiana

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The SAVRY is an evidence-based assessment designed to assist professionals in making judgments about a juvenile's risk for future general re-offending and violence and for identifying a juvenile's needs for case planning. This assessment comprises 24 risk/needs items that were identified from a review of existing research on adolescent development and on delinquency and aggression in youth. Six protective factors are included in the SAVRY that also have been identified by current research as potentially mitigating the risk of future violence and delinquent activity. The SAVRY utilizes a structured professional judgment method of assessment, meaning the individual completing the assessment rates the juvenile on a number of evidence-based factors and then considers all the information to come to a final judgment that the juvenile has a relatively Low, Medium, or High risk for future violence and/or general recidivism.

The SAVRY is intended for use post-adjudication ONLY, for disposition recommendations, and post-disposition case planning.

The following guidelines should be followed when administering the SAVRY for youth on probation with Caddo Parish Juvenile Services.

#### **Time of Initial Assessment**

The SAVRY must be administered within ten working days of case assignment to the probation officer. It should be administered within that time frame **for every case** under the following circumstances:

- Pre-disposition (for disposition and case management planning)
- Whenever a PDI is ordered (in which case it must be completed pre-disposition)
- Post-disposition (for case-management only in cases where no PDI is ordered but the youth is sentenced to probation)

The Parent Interview Social History form and Youth Interview Social History form must be completed prior to scoring the SAVRY.

#### **Time of Reassessment**

- The purpose of the reassessment is to monitor changes in risk and service/supervision needs. As a general guideline, each probationer should be re-assessed with the SAVRY no later than 180 days from disposition and no later than every 180 days thereafter until the probation period is concluded. In addition, the SAVRY should be administered before any major changes in placement, monitoring, or supervision.
- The SAVRY also should be administered when a major life-changing event occurs (e.g., commission of re-offense; major trauma experience; drug overdose). In such circumstances, the SAVRY would not be required again until six months following the most recent assessment. *Exception: Each probationer must be assessed immediately prior to case closure for the purposes of posttest data collection regardless of the timing of the previous assessment.*
- All reassessments will be done with supervisory approval to ensure that the coordination of the reassessment is consistent.

#### **Responsible Party**

The person responsible for administering the SAVRY is the probation officer who is assigned immediately following adjudication.

## **Training Requirements and Qualifications for Use**

- Each office should designate at least two master trainers who receive extensive training on use of the SAVRY in the form of a two-day workshop with a SAVRY training expert. Master trainers also should complete a minimum of two additional standardized practice cases. More master trainers may be needed depending on the size of the office. More than one is essential due to potential turnover of master trainers.
- Probation officers should only administer the SAVRY after completion of formal training in use of the instrument. Training should be received from an author of the SAVRY, another qualified trainer, or a designated master trainer. Generally, initial training involves a one to two day workshop that covers some of the research on delinquency (e.g., trajectories of offending, risk factors, needs factors) and two practice scoring cases.
- Staff should complete scoring on a minimum of two additional standardized practice cases following the training and should receive feedback on their rating/scoring. Typically this is done in groups. This should occur prior to staff using the tool. Staff with more “incorrect” responses than average should receive individual feedback from a master trainer.
- All staff who are responsible for completing a SAVRY assessment should receive additional training in the office about the following: 1) the office policy regarding when and for what cases the initial assessment and subsequent re-assessments are to be conducted, 2) how the results of the assessment are to be communicated in pre-disposition and post-disposition reports and used to make recommendations to the court, 3) how the results of the assessment should be used to select appropriate service referrals, level of supervision for case planning, and ongoing case management.
- Booster trainings should be conducted in the office twice a year (generally every six months). Booster trainings can be accomplished in two ways: 1) using another standardized practice case that all staff complete and then receive feedback on from the master trainers, or 2) have a case presentation during a staff meeting where all staff rate the case and there is discussion about the most appropriate ratings. Following the case presentation and discussion, the booster training should include a discussion about how the results of the assessment should be used for case management in that particular case, including the disposition recommendation, service referrals in the supervision or case plan, and appropriate level of supervision on probation.
- Staff who have more than an acceptable number of “incorrect” item ratings at a booster training should receive individual feedback from the master trainers and should complete an additional case to discern whether there has been improvement.

## **Method of Implementation**

- The probation officer administering the SAVRY must follow the guidelines as described in the SAVRY Professional Manual. This includes basing ratings on a review of file information, face-to-face interview with the youth, and usually an interview with the parent/guardian. In the event that the parents/guardians cannot be interviewed, documentation of the circumstances must be provided. The probation officer must utilize the Parent Interview Social History form and the Youth Interview Social History form to guide the interview and ensure that all the proper information is gathered. The youth should be interviewed **separately** from the parent/guardian to gather at least some of this information – particularly in regards to the home life and past aggressive behavior.
- In general, the probation officer should review the juvenile record and other documents prior to interviewing the youth, and the sources of information should be documented. Examples of useful sources of collateral data include information from professionals, prior reports (school records,



employment, legal history, child welfare records), and other records with information pertinent to the SAVRY assessment. **Every effort should be made to complete the SAVRY with more information than the youth interview only – some collateral information should be obtained.** A thorough review of all available information, verification of self-reported information (including that pertaining to residence, school and/or training, and employment) and frequent reference to the scoring instructions will help ensure rating accuracy. It also is helpful to consider the evidence both “for” and “against” each item before assigning a rating.

- In circumstances where a probation officer is not able to obtain all of the information to accurately rate the SAVRY during the initial assessment, it should be corrected within 30 to 60 days after the assessment as new information accumulates. The appropriate supervisor must approve any corrections. It is important to correct the original SAVRY ratings if these were incorrect, rather than to wait for the first re-assessment to correct this information.

### Use of Information

- **Pre-Disposition Reports:** Results of the SAVRY must be included in the Pre-Disposition Report, if ordered, or in oral dispositional recommendations in the absence of a written report. This should include the probation officer’s judgment as to whether the juvenile is at relatively Low, Medium, or High risk for general re-offending; and Low, Medium, or High risk for violence. Reports also should include a summary of the juvenile’s risk/needs factors that contribute to their risk for delinquency and/or violence; these are the factors that should be addressed in disposition and service planning. The pre-disposition report template can be followed as a guide. **Pre-Disposition Reports should NOT include any total scores on the SAVRY or specific item scores.**
- **Service Plans (aka Case Plan or Supervision Plan):** Results of the SAVRY also must be utilized to develop the Service Plan. This involves consideration of risk/needs factors where the youth was rated Medium or High, and all factors that the probation officer rated as being ‘critical.’ The service matrix should be used to identify proper services based on these risk/needs factors - possibly using a version of the *SAVRY Needs Worksheet* produced for Louisiana. The probation officer shall address a **maximum of three** (this is not a minimum – if there are not 3 moderate to high need areas do not assign 3 services) most problematic SAVRY domains on the juvenile’s supervision plan and make service referrals in accordance with these areas. The youth’s level of risk and need in those areas should be considered in the assignment of services. Higher need and higher risk youths should receive more intensive services whenever possible. Lower risk youths often do not require services.
- **Reassessments:** If a reassessment indicates needs have changed (e.g., some initially high risk needs have improved) the probation service plan should be adjusted accordingly (e.g., once the particular service is completed it should not be replaced with a new service).

### Supervision per Risk Level

- The minimum number of face-to-face contacts required for the three risk levels as assessed by the SAVRY is as follows:

Low:	one face-to-face contact every 60 days
Medium:	one face-to-face contact every 30 days
High:	one face-to-face contact every two weeks
- Minimum requirements do not relieve the probation officer from the responsibility of responding to the youth’s needs as they arise.

- The minimum requirement of a Low supervision level for Low risk youth should not be superseded unless there is very good reason. More is not better.
- Supervision levels will be adjusted either up or down based on the progress of the case and a SAVRY reassessment following supervisory approval.

### **Quality Assurance: Supervisors**

- Supervisors should complete the same training on the SAVRY as the staff in order to supervise the quality of their staff's assessments.
- Staff members are responsible for notifying their supervisor of all completed SAVRY forms. Supervisors should check that the SAVRY was completed for all required cases as per the office policy.
- A supervisor or master trainer will review the forms and ensure the assessment meets a sufficient level of quality before signing off on the assessment. This review will include ensuring that staff made efforts to obtain appropriate collateral data and considered all available information when rating the SAVRY. At a minimum this should include all existing file information and an interview with the youth. Should staff decide to assign a risk rating that deviates substantially from what might be expected based on what is indicated by the item ratings, the supervisor should ensure the staff member's written justification for the deviation is appropriate.
- A supervisor must approve any major changes to SAVRY assessments.
- Supervisors should also sign the proposed service plan by ensuring the service referrals are reasonable given the results of the assessment.

### **Quality Assurance: Data Checks**

- There should be an individual(s) assigned to quality assurance and data tracking.
- Check the data periodically (e.g., every 6 months) to ensure that the correct classes of youth are being assessed with the SAVRY (i.e., in Caddo, all youth for whom a PDI is ordered, all youth sentenced to probation when no PDI is ordered, and every six months for youth on the probation case load).
- Check the data periodically (e.g., every 6 months) by obtaining a print out of assessment ratings by probation officer/staff person. Query any probation officers who are routinely assigning a single risk category (e.g., all of their youth come up as "Low Risk", all youth come up as "Moderate Risk", or all youth come up as "High Risk").
- Periodically check a sample of youth or generate an aggregate data print out to see whether youth are receiving the appropriate level of supervision given their overall risk rating.
- Periodically check the ratings for a sample of youth to see if they actually received the appropriate service referrals from staff according to the facility's/office's service matrix.

### **Feedback Loop**

- Establishment of a feedback mechanism between the master trainers, probation officer supervisors, and quality assurance personnel is essential. The supervisors should be notified about any staff members who require individual feedback for a number of "incorrect" ratings in order to adjust their monitoring of those staff accordingly. Likewise, the supervisors must see the QA reports.

## Appendix II.3

### Supervision / Case Plan Policy

#### *Lehigh County- Supervision Plan Policy and Procedure*

Developed by: Lehigh County, Pennsylvania

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#### Lehigh County- Supervision Plan Policy and Procedure

Effective November 2, 2009, the Lehigh County Juvenile Probation Department will begin to utilize a new supervision plan. This plan will replace our current goal sheets and at some point may replace our Family Service Plan.

The purpose of this plan is to outline a set of obligations and activities that are designed to:

- 1) Protect the community,
- 2) Hold the client accountable for the offense(s) they committed
- 3) Help the client acquire skills that will assist them in becoming a productive citizen.

The Supervision Plan was developed based on an assessment of the clients' needs, risks, and strengths. The Supervision Plan also considers the needs of the victim and community.

The Supervision Plan is part of the Case Management Essentials. This process reminds us that juvenile probation case management is the sum of all activities in which probation officers engage in order to assist our clients in becoming law abiding, productive and connected citizens. This process does the following:

- Ø Assess the risk, needs and strengths
- Ø Determine disposition options
- Ø Plan activities
- Ø Facilitate juvenile participation
- Ø Monitor progress and performance
- Ø Make adjustments as needed
- Ø Enforce compliance
- Ø Collaborate with service providers

The supervision plan, as part of the case management essentials process helps provide structure, consistency and transparency to what we do on a daily basis. It will help facilitate individual and system accountability, emphasize 'best practices' and establish a foundation of good practice. Supervision Plans assist in collecting and recording detailed information about clients and services. It helps ensure consistency in decision making, assists in allocating resources within the agency and provides quality information for auditing and funding purposes.

Probation Officers perform these case management tasks to varying degrees for as long as the case remains open. The decisions that are made in this plan guide supervision, placement, reentry and aftercare and at all times should reflect on the juvenile justice goals.

## **Procedures for the Supervision Plan**

### **A. Completion of the Plan**

- ∅ At time of the Intake, the YLS will be completed. A dispositional recommendation will be made and suggested activities will be noted in the Intake report. The terms and conditions of Probation will also be signed at this time.
- ∅ A supervision plan will be completed by the Community Based Probation Officer within 45 days of case assignment. A plan should be developed after reviewing the Intake report and take into consideration the risk, needs, and strengths of the client.
- ∅ The Supervision plan should be reviewed with the client and family and whenever possible should engage the client and family in preparation. The plan should be signed by all parties. An initial copy should be provided to the juvenile/family. A copy of the plan should be printed and kept in your casebook.
- ∅ In development of your plan please remember the importance of the strengths of your clients. Make every effort to consider methods to hold the youth accountable in ways that incorporates their strengths.
- ∅ Focus of the plan should be on the top three (3) needs. Please also remember to review the "Assessment of Other Needs and Special Considerations" (referred to as "page 3") which is completed along with the YLS.
- ∅ Goals and activities should be clear and understandable. Whenever possible estimated dates for completion of these activities should be included.
- ∅ The plan is to initially complete the plan electronically and ultimately it will be attached to JCMS. Once completed it should be printed out and put in your casebook as noted above. Please see below for procedures for changes in the plan.
- ∅ The initial plan needs to be signed by your supervisor within one week of client and family signature.
- ∅ If a client is placed at time of Intake, then the Intake Officer will complete the plan before case assignment.
- ∅ Be sure to include in the Supervision Plan any conditions ordered by the court or included in the Consent Decree or Informal Adjustment.
- ∅ A Supervision Plan is NOT needed for cases requesting Courtesy Supervision.

### **B. Updates and revisions to the Supervision Plan**

- ∅ It is expected that the plan will be adjusted as needed as it is a fluid, working document.
- ∅ After printing the hard copy for your case book, any **"updates"** (additions, deletions) can be handwritten on the plan.
- ∅ In preparation for the quarterly case reviews it is anticipated that this will be the time to deliberately review the progress and status of the plan. At that time any updates that were handwritten should be added electronically. Monitoring and progress should be tracked on the Plan using the "Progress scoring" noted on your reference sheet. Dates an activity was completed should be noted. Dates an activity was added should be noted as well. Print an updated case plan at that time. The Supervisor will review the Plan at the same time as they are reviewing your case notes.
- ∅ As is current policy, when a change in conditions of probation or activities occur, it is expected that at least verbal notification is provided to the parent. This is still expected. You should be discussing these changes with your client as well.
- ∅ A **"revision"** is triggered by the completion of the YLS. At designated times when an updated risk-need assessment is completed, based on the YLS policy (violations, new charges, placement, case closing etc) a revision of the Plan is to be contemplated. Most of the time there will be revisions necessary although not in every case. If there are changes to the plan at this time, the date of this revision should be noted on the cover sheet of the plan. As noted above, notification to parent and child should be made but it is not necessary to acquire signatures.
- ∅ The difference between a revision and an update is that a revision is triggered by the completion of an updated YLS and requires a deliberate formal review of the Plan.

### **C. Juvenile's non compliance with plan**

- ∅ When a juvenile has violations or receives new charges and another assessment is completed it is anticipated that you will also review the plan and make adjustments accordingly. (see Updates and Revisions above)
- ∅ Probation Officers are responsible for holding youth accountable for achieving objectives outlined in the supervision plan and when a youth is not progressing the PO must determine if the juvenile is unwilling or unable to comply. Keep in mind that inadequate progress should not automatically be blamed on the youth; it may be the result of an inadequate plan or possibly inadequate service delivery. If lack of compliance is intentional, the PO is expected to have some form of a sanction but if the goal is unrealistic, a review of the plan is needed. Probation Officers should use rewards for compliance and sanctions for lack of progress or non compliance. Rewards and sanctions should be delivered with consistency, immediacy and certainty.

### **D. Placement decisions and the Plan**

- Ø At time of placement the plan should be reviewed completely. Activities and goals expected in placement and upon discharge should be taken into consideration and outlined in the plan. Prior to discharge adjustments for aftercare should be made if not already outlined. Remember Probation “drives the bus”.
- Ø Prior to a placement recommendation a proper referral (referral packet and checklist) should be completed and appropriate documentation is to be sent to facility. Probation Officers must adhere to department expectations while the juvenile is in placement and appropriate aftercare requirements upon the juveniles return to the community.

#### **E. Discharge from supervision and the Plan**

- Ø Many factors are taken into consideration when you are contemplating the discharge of a client from supervision, one of those being the completion of activities. When a decision has been made that the client has completed the required conditions an end date should be completed for each activity.
- Ø All updates and revisions should be entered electronically so that the most updated plan is in the system. That plan should be completed along with the remaining paperwork, progress and case closing form. Print out the final supervision plan for the file. (Once JCMS is active, the supervision plan will be a document attached to the juvenile’s case.)
- Ø Efforts should be made to have accuracy when completing case closing forms. Departmental and state outcomes are determined by these forms. If you remain unclear of what constitutes or defines a specific area please see a supervisor.

## Appendix II.4a

### Quality Assurance Plan

#### Example 1

##### *P.O. Career Track Quality Assurance Guidelines and Documentation Requirements*

*Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah*

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### **P.O. Career Track Quality Assurance Guidelines and Documentation Requirements**

#### **LEVEL I: FIRST YEAR**

**1. Training Requirements:** Training is to be completed in sequential order. The series of training should be started within the first five months of hire date and completed prior to the end of the probationary period. Following each training, staff will take a quiz based on key concepts and terminology learned in training. The trainers will review the answers to each quiz at the training.

##### **Quality Assurance / Documentation:**

- Supervisor documents training completion dates.
- Supervisors discusses the quizzes and concepts learned in training with staff.
- Supervisor signs off on CP 1, 2 and 3 objectives form from the training sessions.
- Supervisor establishes performance plan goals with staff on applying the case planning concepts in case work.

**2. Case Planning Core Concepts Exam:** The probation officer completes an exam demonstrating the knowledge and understanding of case planning terminology and concepts learned in training. The exam is **Agraded@** on the scale of Needs Improvement / Meets Requirements (below 80% accuracy is considered Needs Improvement).

##### **Quality Assurance / Documentation:**

- To prepare for the exam, supervisor reviews with staff previously completed CP 1, 2 and 3 objectives and Knowledge, Skills, Abilities (KSAs) forms.
- Supervisor provides the exam to staff within 30 days of completing the CP 1, 2 and 3 training.
- Staff complete the exam without consulting other staff or training materials.
- For staff in the **AMeets Requirement@** category or higher:
  - Supervisor documents the date of completion on the P.O. Certification form.
- For staff in the **ANeeds Improvement@** category:
  - Supervisor determines training needs and assists staff in learning the terminology and concepts from the training
- Staff can repeat this requirement every 30 days until successful completion.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

**3. Risk Scoring:** The probation officer is expected to complete a Delinquency History domain with 100% accuracy on five cases.

**Quality Assurance / Documentation:**

- Supervisor randomly selects 5 cases from the Assessment Tracking report in CARE and reviews the delinquency history scoring as compared with the PSRA / PRA Delinquency History Scoring report in CARE.
- If all cases are accurate, supervisor documents the completion of the requirement on the P.O. Certification form.
- If any cases are inaccurate:
  - Supervisor meets with staff, discusses inaccuracies, and determines training needs. If numerous mistakes or patterns are found, supervisor may review past assessments for accuracy.
  - Supervisor selects another 5 cases within 30 days for a review.
- The process is repeated every 30 days until successful completion. Supervisor should provide individual training and/or provide an opportunity for district / state training for staff who continue to have difficulties in completing accurate Delinquency Domains.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

**4. Videotape:** A video of an interview is a very effective training tool as it ensures consistency in grading, gives validity to the process, and makes the process more effective and efficient for the supervisors in explaining and supporting feedback given to staff.

The video should be, at a minimum, a PSRA interview. The length of the videotape should generally be between 20 to 40 minutes. Districts have flexibility in accepting shorter or longer video tapes as long as the length of the tape is sufficient to demonstrate the skills being evaluated. The videotape is Agraded@ on the scale of Needs Improvement / Meets Requirements / Exceeds Requirements. A completed PSRA assessment should be submitted along with the video tape.

**Knowledge, Skills, Abilities:** For specific KSAs evaluated, refer to the grading form. In general, a P.O. should demonstrate:

- KNOWLEDGE:** - PSRA Assessment Tool
  - Effective styles and interview techniques
- SKILLS:** - OARS interviewing skills
  - Assessing risk
- ABILITY:** - Complete the assessment tool on CARE accurately
  - Interpret risk score accurately
  - Utilize effective styles with youth
  - Use interview skills to gather information as applied to specific items on the PSRA

**Video Tape Quality Assurance / Documentation:**

- It is recommended that probation officers complete and review several videotapes in order to become more comfortable with the process and to identify areas where improvement may be needed prior to submitting their final videotape to their supervisor.
  - Supervisor meets with staff and prepares them for the videotaping. The preparation may include: discussing the purpose of the video tape and specific KSAs that must be demonstrated, reviewing practice tapes, providing individual/team training, watching and grading other available video tapes, reviewing the grading form, and staff evaluating and grading their own video.
  - Supervisor assures that an appropriate release for video taping is signed.
  - Supervisor, chief, and other district designated persons (minimum of two) review the submitted videotape and rate the probation officer based on the grading form (provided in the Education Manual).
  - Supervisor meets with staff and provides detailed feedback regarding the interview.
- For staff in the AMeets Requirement@ category or higher:
  - Supervisor documents the date of completion on the P.O. Certification form.



- Supervisor creates a plan of action with staff regarding the on-going skill evaluation and further skill development.
- For staff in the **ANeeds Improvement@** category:
  - Supervisor determines training needs and provides opportunities for staff to attend team/ district / state training.
- Staff can submit a new tape every 30 days until successful completion.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.
- All submitted videotapes will be kept by the employee's immediate supervisor or designated District person(s) in a secured location. Videotapes will only be used for training purposes if written permission is given by the probation officer.

## **SECOND YEAR:**

**1. Training Requirements:** There are no mandatory assessment or case planning training requirements during the second year of employment. Based on the plan of action for further skill development created with the supervisor at the end of first year, staff may be expected to attend individual training with the supervisor or attend team / district /state training if available.

**2. Written Case Scenarios:** Each probation officer is expected to demonstrate proficiency in understanding and applying the case planning model terminology and concepts in their case work. This requirement consists of reviewing the presented case scenario, completing a conceptualization form and a case staffing form, and presenting the case to the supervisor. Written case scenarios are **Agraded@** on the scale of Needs Improvement / Meets Requirements / Exceeds Requirements.

### **Knowledge, Skills, Abilities:**

**KNOWLEDGE:** - What Works Principles (Risk, Need, Responsivity, Program Integrity)

- Risk (Static, Dynamic, Specific to the POE)
- Stages of change
- Conceptualization concepts and need principles
- Criminogenic needs

**SKILLS:** - Present a conceptualized case in a staffing format

**ABILITY:** - Accurately complete the conceptualization worksheet utilizing the need principle

- Ability to apply What Works principles to the Case Planning model
- Ability to staff cases while emphasizing risks and criminogenic needs

### **Quality Assurance / Documentation:**

- Supervisor meets with staff and prepares them for the written case scenarios. The preparation may include discussing use of case planning concepts in case work, practicing staffing cases using the staffing form, and reviewing the purpose and specific expectations of the case scenario requirement.
- Supervisor provides the case scenario to staff. Staff have up to two hours to review the scenario and complete the conceptualization and staffing forms. Staff should work alone and complete the forms based only on the information presented in the scenario. To assure consistency and standardized evaluations, staff cannot use one of their **Areal@** cases to complete this assignment.
- Supervisor meets with staff to review the completed case scenario assignments and provides feedback to staff.
- For staff in the **AMeets Requirement@** category or higher:
  - Supervisor documents the date of completion on the P.O. Certification form
- For staff in the **ANeeds Improvement@** category:
  - Supervisor determines training needs and provides an opportunity for staff to attend team/district / state training.
  - Supervisor assists staff in improving their skills by regularly discussing and staffing cases.
- Staff can retake this requirement every 30 days until successful completion. For the subsequent attempts, the components remain the same, but the case scenario is different.

- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

**3. Videotape:** The video should be, at a minimum, a PRA interview on a Moderate or High risk youth. The length of the videotape should generally be between 20 to 40 minutes. Districts have flexibility in accepting shorter or longer video tapes as long as the length of the tape is sufficient to demonstrate the skills being evaluated. The videotape is Agraded@ on the scale of Needs Improvement / Meets Requirements / Exceeds Requirements. A completed PRA should be submitted along with the video tape.

**Knowledge, Skills, Abilities:** For specific KSAs evaluated, refer to the grading form. In general, a P.O. should demonstrate:

**KNOWLEDGE:** - PRA Assessment Tool

- Stages of change
- Change talk
- Behavior Change steps

**SKILLS:** - Proficiency in using OARS to gather information in all stages of the model

- Avoiding roadblocks
- Hearing change talk during the interview

**ABILITY:**

- Complete the PRA on CARE accurately
- Gather the POE information
- Use interview skills to gather accurate information for PRA domains 9 and 10
- Conversational and effective style with youth that demonstrates knowledge of the PRA

**Quality Assurance / Documentation:**

- Supervisor meets with staff and prepares them for the videotaping. The preparation may include discussing the purpose of the tape and specific KSAs that must be demonstrated, discussing accurate scoring of PRA domains, reviewing practice tapes, providing individual/team training, watching and grading other available video tapes, and reviewing the grading form.

- For other video tape quality assurance and documentation requirements, refer to pg 2: **Video Tape Quality Assurance / Documentation.**

**LEVEL II: P.O.II**

**1. Training Requirements:** There are no mandatory assessment or case planning training requirements during Level II. Based on the plan of action for further skill development, staff may be expected to attend individual training with the supervisor or attend team / district /state booster training if available.

**2. Demonstrate KSAs:** Staff who remain on P.O. II level are expected to demonstrate KSAs on an annual basis in conjunction with the performance plan and the performance evaluation. Specific KSAs are determined per district requirements and may include one or more of the KSAs previously listed in these guidelines. Per district decisions and probation officer needs, the requirements of demonstrating chosen KSAs may include case file audits, client feedback surveys, case staffings, discussions of conceptualization and risk factors with the supervisor, direct observation of meetings with youth, role playing, and a video.

**Quality Assurance / Documentation:**

- Supervisor and staff determine specific KSAs (per district requirements) which are set as performance goals.

- Supervisor regularly meets and discusses progress with staff on the case planning performance plan goals during performance plan meetings.
- For continuous quality assurance, supervisor should observe staff=s meetings with youth, review completed assessments, read court reports, role play with staff, and use tools such as case staffing forms, case file audits, and client feedback forms.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

**3. Videotape (required if progressing to P.O.III):** The video should be, at a minimum, a case plan feedback session on a Moderate or High risk youth. The length of the videotape should generally be between 20 to 40 minutes. Districts have flexibility in accepting shorter or longer video tapes as long as the length of the tape is sufficient to demonstrate the skills being evaluated. The videotape is Agraded@ on the scale of Needs Improvement / Meets Requirements / Exceeds Requirements. A completed PRA, a conceptualization form, and a feedback form should be submitted along with the feedback video.

**Knowledge, Skills, Abilities:** For specific KSAs evaluated, refer to the grading form. In general, in addition to previously listed KSAs, a P.O. should demonstrate:

**KNOWLEDGE:** - Finding the Hook strategies

- Decisional Balance
- SMART Action steps

**SKILLS:**

- Hearing change talk and pointing out discrepancies
- Recognizing barriers and setting action steps
- Provide effective feedback

**ABILITY:**

- Ability to complete decisional balance form with youth
- Ability to apply behavior change steps in case planning
- Guide the youth in recognizing barriers and setting action steps
- Provide feedback using the feedback steps

**Quality Assurance / Documentation:**

- Supervisor meets with staff and prepares them for the videotaping. The preparation may include discussing the purpose of the tape and specific KSAs that must be demonstrated, discussing conceptualization and effective feedback techniques, reviewing practice tapes, providing individual/team training, watching and grading other available video tapes, and reviewing the grading form.

- For other video tape quality assurance and documentation requirements, refer to pg 2: **Video Tape Quality Assurance / Documentation.**

**3. Demonstrate KSAs:** Staff who remain on P.O. II level are expected to demonstrate KSAs on an annual basis in conjunction with the performance plan and the performance evaluation. Specific KSAs are determined per district requirements and may include one or more of the KSAs previously listed in these guidelines. Per district decisions and probation officer needs, the requirements of demonstrating chosen KSAs may include case file audits, client feedback surveys, case staffings, discussions of conceptualization and risk factors with the supervisor, direct observation of meetings with youth, role playing, and a video.

**Quality Assurance / Documentation:**

- Supervisor and staff determine specific KSAs (per district requirements) which are set as performance goals.
- Supervisor regularly meets and discusses progress with staff on the case planning performance plan goals during performance plan meetings.
- For continuous quality assurance, supervisor should observe staff=s meetings with youth, review completed assessments, read court reports, role play with staff, and use tools such as case staffing forms, case file audits, and client feedback forms.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

## **LEVEL III: P.O.III**

**1. Training Requirements:** There are no mandatory assessment or case planning training requirements during Level III. Based on the plan of action for further skill development, staff may be expected to attend individual training with the supervisor or attend team / district /state booster training if available.

**2. Demonstrate KSAs:** All senior staff are expected to demonstrate KSAs on an annual basis in conjunction with the performance plan and the performance evaluation. Specific KSAs are determined per district requirements and may include one or more of the KSAs previously listed in these guidelines. Per district decisions and individual staff=s needs, the requirements of demonstrating chosen KSAs may include case file audits, client feedback surveys, case staffings, discussions of conceptualization and risk factors with the supervisor, direct observation of meetings with youth, role playing, and a video.

### **Quality Assurance / Documentation:**

- Supervisor and staff determine specific KSAs (per district requirements) which are set as performance goals.
- Supervisor regularly meets and discusses progress with staff on the case planning performance plan goals during performance plan meetings.
- For continuous quality assurance, supervisor should observe staff=s meetings with youth, review completed assessments, read court reports, role play with staff, and use tools such as case staffing forms, case file audits, and client feedback forms.
- For staff who are not successful in completing this requirement, supervisor will address it as any other unsuccessful career track / performance evaluation component.

## **SUPERVISORS / CHIEFS:**

**1. Training Requirements:** Supervisors and chiefs are expected to attend all available district or state wide training.

**2. Demonstrate KSAs:** Supervisors and chiefs are expected to demonstrate KSAs on an annual basis in conjunction with the performance plan and the performance evaluation. Specific KSAs are determined per district requirements and may include one or more of the KSAs previously listed in these guidelines. Per district decisions and individual needs, the requirements of demonstrating chosen KSAs may include a video tape or direct observation of training sessions with staff, a video tape or direct observation of a case, role play, or any other demonstration of skills per district requirements.

## Quality Assurance Plan Example 2

### *Case Management Assessment Process Quality Assurance Policies, Used Statewide*

Developed by: Washington Association of Juvenile Court Administrators

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## Statewide Case Management Assessment Process Quality Assurance Policies

This policy addresses the following areas of quality assurance of the Washington Association of Juvenile Court Administrators (WAJCA) Case Management Assessment Process (CMAP):

- Quality Assurance Committee
- Court Quality Assurance Plan
- CMAP Training Standards
- CMAP Trainer Certification
- Quality Assurance Specialist Certification
- Line Staff Certification

### I. Quality Assurance Committee

#### **Purpose**

The Quality Assurance Committee (QAC) will provide on going quality assurance of CMAP on a statewide basis. This committee shall consist of statewide representatives as follows:

- Two Juvenile Court Administrators (JCA), who shall Co-Chair the Committee. Additional JCAs may be appointed by approval of the WAJCA.
- Seven Juvenile Court Probation Managers, representative of east-west and small-large counties.
- A Certified Trainer.
- The WAJCA CMAP Coordinator.
- A representative of the Washington State Institute for Public Policy.
- The Washington State Juvenile Rehabilitation Administration, CJS/CJAA Program Manager.
- A representative of the Administrative Office of the Courts Research Section.
- Evidence Based Program (EBP) Experts (QA Specialists)

#### **Responsibilities:**

The Quality Assurance Committee will:

- Serve as a resource to Juvenile Court Administrators, Juvenile Court Probation Managers, Certified Trainers, and Quality Assurance Specialists.
- Serve as an informational clearinghouse for training and research materials related to risk assessment and case management services to youth under the jurisdiction of Juvenile Courts in Washington State
- Provide direction and oversight to the CMAP Coordinator.
- Provide assessment of and recommendations for quality assurance and process improvement.
- Oversee the scheduling of CMAP training and additional booster training for the Certified Trainers, Probation Managers, and Quality Assurance Specialists.
- Direct the development of CMAP software and recommend standardized outcome reporting mechanisms for courts.  
Review, approve, and monitor the Court Quality Assurance Plans.
- Review assessment data for trends, reliability, and validity to assist courts in interpretation and application of processes and programs.
- Coordinate with other committees whose work directly affects the implementation of the assessment and intervention process in juvenile courts.

## **II. Court Quality Assurance Plan**

### **Purpose**

The Quality Assurance Plan of each court ensures CMAP to be a reliable process from client to client and from court to court.

### **CMAP Standards**

- Each Juvenile Court will have an approved Quality Assurance Plan in place.
- Each Juvenile court will submit their Quality Assurance Plan bi-annually by December 1 to the CMAP Coordinator for review and approval by the QAC. The QAP will be returned to the Court by April for submission with their Consolidated Juvenile Services Grant Application. Necessary corrections will be reviewed by QAC Co-chairs and the CMAP Coordinator. Disputes by a Court regarding submission to and/or approval by the QAC of the Court's Quality Assurance Plan may be appealed to the WAJCA Executive Board.
- The Quality Assurance Plan will specifically address the following areas regarding their practices of CMAP in their court:
  - ∅ Implementation procedures and process.
  - ∅ Interviewer (line staff) certification process.
  - ∅ Additional training for staff that score less than four on any category during the interviewing process.
  - ∅ Timelines for certification.
  - ∅ Orientation/Philosophy/Purpose of the interview process to the youth and their parents.
- Confidentiality and other professional or ethical standards relevant to CMAP, including whom may have access to CMAP information

### **Case Management Standards**

- Juvenile Courts are encouraged to incorporate the basic concepts of CMAP

case management practices into their respective Quality Assurance Plans. However, any specific requirements for statewide CMAP Case Management Standards must be approved by a vote of the WAJCA membership prior to adoption by the QAC.

- The following are the basic case management principles:
  1. Mapping
  2. Finding the Hook
  3. Moving Forward
  4. Reviewing & Supporting

### **III. CMAP Training Standards**

#### **Purpose**

CMAP training standards are designed to ensure quality assurance of line staff. In addition, these standards are designed to ensure that the line staff's skills are of the highest standard.

#### **Standards for Training at the Criminal Justice Training Commission (CJTC)**

- A minimum of two trainers are required to facilitate a certified basic CMAP training; the preferred number of trainers would be three.
  - ∅ Representation of the trainers must be from at least two different counties.
  - ∅ A minimum of one trainer must be a certified CMAP Trainer.
  - ∅ Trainers who are not certified must be involved in CMAP certification process.
  - ∅ At least one of the trainers must be a certified Criminal Justice Training Center (CJTC) Trainer.
- It is preferable that the CMAP Coordinator be present at basic CMAP training.
- Basic CMAP training will adhere to the outline and curriculum as approved by the WAJCA. Changes to this must be recommended by the QAC and approved by the WAJCA prior to training.
- Basic CMAP training will consist of five days of training.
- The CMAP Coordinator will notify the courts of the next available training dates and open student slots per session.
- The CMAP Coordinator will manage the enrollment in the basic CMAP training.

#### **Standards for Ongoing Training (around the state outside CJTC)**

- Will comply with standards to maintain certification.

### **IV. CMAP Coordinator Certification**

- These requirements will be developed and approved by the QAC at a later date.

### **V. CMAP Trainer Certification**

## **Purpose**

CMAP Trainer certification will ensure statewide program integrity.

## **Certification Requirements**

- Complete "train the trainers" curriculum as approved by the WAJCA.
- Co-facilitate at least one certified training under the guidance of a certified trainer, who:
  - ∅ Documents the progress of the "trainer in training".
  - ∅ Approves the quality of the training activities.
  - ∅ Sends evaluations of these two areas to the Quality Assurance Committee.
- Read and have a thorough understanding of the following research literature (current version):
  - ∅ Motivational Interviewing – Parts I, II, III
  - ∅ Psychology of Criminal Conduct – Chapters 1, 2, 4, 9, 10, 11, 12
  - ∅ Changing For Good – Entire Book
- Submit two videos of risk assessment interviews, a risk assessment evaluation for each video, and a case management plan to the WJCA designated professional consultant.
- The WJCA designated professional consultant must approve and authorize the certification of each trainer.
- The Quality Assurance Committee will award certification.

## **Certified Trainer Responsibilities**

- Provide CMAP training to line staff throughout the state.
- Certify Quality Assurance Specialists. This would include:
  - ∅ Reviewing a video of a risk assessment interview, reviewing a case management plan, and giving feedback on both to the Quality Assurance Specialist.
  - ∅ Completing the designated feedback report and submitting a copy to the Quality Assurance Specialist and their Juvenile Court Administrator.
  - ∅ Ensuring that additional training or feedback will be available to staff who score less than four on any category during the interviewing process.
  - ∅ Notifying the CMAP Coordinator upon completion of the certification process.
- May also serve as a Quality Assurance Specialist for their county.
- Commit to being involved in ongoing "booster" training.
- Will comply with standards to maintain certification. These standards will be developed by the CMAP Coordinator and CMAP Trainers and approved by the QAC at a later date.

## **Certified Trainer Obligations**

- These will be developed by the CMAP Coordinator and CMAP Trainers and approved by the QAC at a later date.

## **VI. Quality Assurance Specialist Certification**



### **Purpose**

Quality Assurance Specialist (QAS) certification is designed to ensure Juvenile Court (agency) program integrity.

### **CMAP Certification Requirements:**

- Each Juvenile Court Administrator will identify at least one court staff to be the Court's Quality Assurance Specialist and submit their name to the CMAP Coordinator.
- Those courts with more than one Quality Assurance Specialist must identify only one as the designated contact person for the court and submit their name to the CMAP Coordinator.
- A Quality Assurance Specialist must be certified by a Certified Trainer according to the following criteria:
  - ∅ Attend basic CMAP training provided by Certified Trainers.
  - ∅ Submit a video of a risk assessment interview.
  - ∅ Receive a score of four or better on each section of the Feedback Report.
  - ∅ If a passing score is not attained, the scoring Certified Trainer will request a review by another Certified Trainer. If there is agreement between the Certified Trainers, they will forward their decision to the CMAP Coordinator.
- Certified Trainers are qualified to be Quality Assurance Specialists.

### **Quality Assurance Specialist Responsibilities**

- Make a recommendation to their JCA to certify their own agency's line staff according to the Quality Assurance Plan of their court.
- Attend Quality Assurance Specialist meetings as scheduled by the CMAP Coordinator.
- Coordinate the Quality Assurance Plan for their county.
- Provide ongoing CMAP training within their court.

## **VII. Line Staff Certification**

### **Purpose**

Staff certification is designed to ensure practitioner integrity.

### **Certification Requirements**

- Attend and successfully complete basic CMAP training provided by Certified Trainers.
- If conducting Risk Assessments, basic CMAP training must occur as close as possible to the hire date.
- Prior to attending basic CMAP training, Risk Assessments may be conducted under the direction/supervision of a certified staff member or QAS sitting in on the interview if absolutely necessary due to staffing issues, etc.
- Submit a video of a risk assessment interview to the QAS. At the discretion of the JCA, the video may be viewed by another court's QAS, a CMAP Trainer, or the CMAP Coordinator.
- Receive a score of four or better on each section of the Feedback Report. If a score below four is received on any section, they must submit another video

- and be rescored on all sections.
- The QAS will recommend the successful line staff to the Juvenile Probation Manager and/or JCA for final certification.
  - Must be certified within 1 year of successfully completing basic CMAP training.
  - Successfully complete the requirements incorporated in their court's Quality Assurance Plan.

**January 2011**

**CMAP Quality Assurance Committee:**

## Appendix II.4c

### Quality Assurance Plan

#### Example 3

#### *Case Management Assessment Process (CMAP) Quality Assurance Plan, Used at the County Level*

Developed by: Washington Association of Juvenile Court Administrators

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#### (STANDARDIZED OUTLINE FOR QAPs)

#### NAME OF COUNTY

#### CASE MANAGEMENT ASSESSMENT PROCESS (CMAP)

#### QUALITY ASSURANCE PLAN

#### DEFINITIONS & DESCRIPTIONS:

- Definition of CMAP (Case Management Assessment Process):

CMAP is a process which begins with a Risk Assessment leading to a Case Plan requiring the JPC to work collaboratively with a youth in an effort to define individual needs and mutually agreed upon outcomes.

CMAP is the hub of all case management activities, including court-ordered conditions, referrals to EBPs, and all other interventions.

- Four Step Model of Case Management:
  - Mapping
    - § Primary task: “Discovery” – administer the risk assessment, build rapport to elicit valid and reliable information
  - Finding the Hook

- § Primary task: “Motivation” – identify incentives and disincentives for change; agree on targets, set goals, and constantly assess readiness, importance, confidence
  - Moving Forward
    - § Primary task: “Intervention” – provide youth with opportunities to build pro-social skills and to increase self-efficacy (a person’s belief in the possibility of change)
  - Reviewing and Supporting
    - § Primary task: “Monitor Progress” – increase incentives, remove obstacles, provide reinforcement and teach maintenance strategies
  
- Description of CMAP Structure in Washington State
  - **Line Staff**-Staff certification is designed to ensure practitioner integrity.
  - **QAS**-Quality Assurance Specialist certification is designed to ensure Juvenile Court program integrity.
  - **Trainer**-CMAP Trainer certification will ensure statewide program integrity.
  - **CMAP Coordinator**-Responsible for the statewide coordination and implementation of CMAP in the juvenile courts.
  - **QAC**-Quality Assurance Committee provides on-going quality assurance of CMAP on a statewide basis.
  - **WAJCA Executive Board**- The Executive Board has final authority over the CMAP process.

**ORIENTATION PROCESS:**

- CMAP definition for your court (ex. feedback, case plan, goal setting)

**IMPLEMENTATION PROCESS:**

- Description of use of Pre-Screen RA
- Description of use of Full RA
  - Initial Assessment
  - Re-Assessment
  - Final Assessment
- Risk level overrides
- Referral to EBPs
- Low Risk Process

**CONFIDENTIALITY ISSUES:**

- Related to Risk Assessment

**TRAINING OF INTERVIEWERS:**

- Define process including booster type trainings

**CERTIFICATION OF PROBATION OFFICERS:**

- Certification process including time lines for certification

**QUALITY ASSURANCE SPECIALISTS:**

- Certification
- Duties of QAS

**ONGOING QUALITY ASSURANCE:**

The JCA will review and sign an updated version of the Court's QAP annually

I hereby approve this QAP:

\_\_\_\_\_  
JCA signature      Date

\_\_\_\_\_  
JPM signature      Date

\_\_\_\_\_  
QAS signature      Date

## Appendix III.1

### Consent Form for Disclosure of Confidential Information

#### Consent Form

Provided by: 4<sup>th</sup> Judicial District Court Juvenile Drug Court, Louisiana

Developed by: University of Louisiana, Monroe

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#### Fourth Judicial District Court Juvenile Drug Court *Consent for Disclosure of Confidential Information*

We,

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(name of defendant),  
(name of parent/guardian),  
(name of parent/guardian),  
(name of sibling/other family member),  
(name of sibling/other family member), and  
(name of sibling/other family member)

understand that all information, both written and not written, on the above-named individual(s) is private and confidential. Information can not be released to anyone without the written consent of the client(s) or the client(s) parent or legal guardian, except as required by law and/or code of ethics.

After reading and understanding the above disclosure, we hereby consent to communication (written and not written, via mail, DCCM, electronic mail [e-mail], fax, telephone, and/or in person) between the juvenile drug court team members, and their staffs, including, but not limited to: (insert names and other stakeholders as needed)

- v The Juvenile Drug Court Judge
- v The District Attorney's Office and Prosecuting Attorney
- v The Indigent Defender Board Attorney
- v The Juvenile Drug Court Coordinator
- v The Juvenile Drug Court Case Manager
- v Treatment Provider(s)
- v Drug Court Evaluator(s) and Consultant(s)
- v The Office of Juvenile Justice
- v Detention Center
- v School Boards
- v Defendant's School:



UNIVERSITY OF LOUISIANA  
MONROE

Orientation Form #1

\_\_\_\_\_  
Signature of Sibling/Other Family Member      Date

\_\_\_\_\_  
Signature of Sibling/Other Family Member      Date

\_\_\_\_\_  
Signature of Staff Member      Date

SAMPLE



# Appendix III.2a

## Case Plan

### Example 1

#### Single Case Plan

Developed by: Lehigh County, Pennsylvania

### Case Plan

Juvenile ID: \_\_\_\_\_

Date of Birth:	Original Plan Date:
Probation Officer:	Plan Updated on:
PO Supervisor:	Plan Printed on:
	Last Disposition:

#### Community Protection

- Meet with Probation Officer as directed
- Adhere to curfew. \_\_\_\_\_ PM on Sunday through Thursday.  
\_\_\_\_\_ PM on Friday and Saturday (Subject to change as authorized by PO)
- Remain Crime Free
- Refrain from use of illegal drugs and alcohol and submit to drug and urinalysis testing
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

#### Accountability

- Complete \_\_\_\_\_ hours of community service.
- Pay restitution with minimum monthly payments in the amount of \_\_\_\_\_ or through Paid Community Service.
- Pay costs and fines in the amount of \_\_\_\_\_
- Attend all sessions and participate in \_\_\_\_\_
- Attend all sessions and participate in \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

# Case Plan

## YLS Risk Assessment

1. Prior and Current Offenses/Dispositions:

2. Family Circumstances/Parenting:

3. Education/Employment:

4. Peer Relations:

5. Substance Abuse:

6. Leisure/Recreation:

7. Personality/Behavior:

8. Attitudes/Orientation:

**OVERALL TOTAL RISK LEVEL IS:**

## Strengths

### Other Strengths

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---

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## Progress Key

You are expected to demonstrate progress or compliance in achieving the objectives listed herein. Periodically, your probation officer will review your progress or compliance on each activity that is set forth in this plan. The following scores will be recorded for each activity at the time of each review.

0 = No Progress / Compliance

1 = Less than Expected Progress / Compliance

2 = Expected Progress (Sufficient Progress of Improving / Pattern of good compliance)

3 = More progress than expected

4 = Completed

5 = Removed/Waived, Replaced (vendor related)

6 = Removed/Waived, Replaced (probation related)

7 = Unsuccessful termination (youth related)

8 = Referral pending

## Case Plan

### Competency Development - Risk/Criminogenic Need

Activities should be **S**pecific, **M**easurable, **A**ttainable, **R**ealistic, and **T**ime measured

Criminogenic Need _____ Barriers, triggers, strength or resource consideration: _____		<b>Readiness to Change Dates</b> Not Ready _____ Ready _____ Not Sure _____ Begun _____					
Activity	Date Assigned	Date Completed	Progress				
1.							
2.							
3.							
Comments: _____							
Criminogenic Need _____ Barriers, triggers, strength or resource consideration: _____		<b>Readiness to Change Dates</b> Not Ready _____ Ready _____ Not Sure _____ Begun _____					
Activity	Date Assigned	Date Completed	Progress				
1.							
2.							
3.							
Comments: _____							
Criminogenic Need _____ Barriers, triggers, strength or resource consideration: _____		<b>Readiness to Change Dates</b> Not Ready _____ Ready _____ Not Sure _____ Begun _____					
Activity	Date Assigned	Date Completed	Progress				
1.							
2.							
3.							
Comments: _____							

## Case Plan

### Competency Development - Non Criminogenic Need

Independent Living							
_____							
Activity	Date Assigned	Date Completed	Progress				
1.							
2.							
3.							
Comments: _____							

### Behavioral Health

Mental Health							
_____							
Activity	Date Assigned	Date Completed	Progress				
1.							
2.							
3.							
Comments: _____							

### Signatures

\_\_\_\_\_  
*Probationer*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Probation Officer*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Supervisor*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Parent/Guardian*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Parent/Guardian*

\_\_\_\_\_  
*Date*

**Appendix III.2b**

**CASE PLAN  
Example 2**

*Individual Supervision Service Plan*

**Developed by: Juvenile Court for Caddo Parish**

Child's Name: \_\_\_\_\_ Probation Officer: \_\_\_\_\_

Child's DOB: \_\_\_\_\_ Date of Probation: \_\_\_\_\_

Case Number(s): \_\_\_\_\_ Date of Plan: \_\_\_\_\_

Judge: \_\_\_\_\_

Purpose of Plan: The goals and tasks in this plan are designed to help resolve issues that led to your involvement with this Court and to ensure the safety, permanency, and well-being of your family. You will be expected to participate in developing this case plan and demonstrate progress in achieving the goals listed. Your progress will be reviewed and evaluated. In addition to the activities outlined in the case plan, you are expected to adhere to all court ordered conditions of probation.

Based on information gathered it has been determined that you are an imminent risk of being placed in foster care, absent effective planned preventative pre-placement, intervention services.

Further, this plan attempts to provide reasonable efforts in the preventive removal of the child from the home.

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**TITLE IV-E CANDIDACY** (*This section for use by the OJJ Title IV-E Specialist*)

1.      OJJ has determined that based on the above information, this juvenile has been determined to be at imminent risk of foster care placement, absent preventative pre-placement intervention services. The goal for this child is foster care if services described in this plan are not effective.
2.      OJJ has determined that juvenile is not a foster care candidate

OJJ signature: \_\_\_\_\_ Date: \_\_\_\_\_

---

DATE INITIAL PLAN WAS FORMULATED: \_\_\_\_\_

**REVIEW HISTORY DATES/SUPERVISION LEVEL**

Date of Initial Plan and Reassessment(s)	Risk Level from SAVRY	Assigned Supervision Level


**Medical Information & Referrals**  
**Name and Address of Child's Most Recent Medical Provider**

Provider's Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Current Medications (including psycho-tropic meds): \_\_\_\_\_

\_\_\_\_\_

Type of Medical Coverage:   q   Medicaid  
                                           q   Private  
                                           q   Other

	Goal/Need	Service/Program	Start Date	End Date
1				
2				
3				

**Educational/Employment Information & Referrals**  
**(e.g., vocational training, TEAMS appointment, tutoring, job training)**  
**Name and Address of Child's Most Recent Educational Provider & Employer**

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Address: \_\_\_\_\_

City/State: \_\_\_\_\_

Current Grade Level Placement: \_\_\_\_\_

Current Employment: \_\_\_\_\_

	<b>Goal/Need</b>	<b>Service/Program</b>	<b>Start Date</b>	<b>End Date</b>
1				
2				
3				

**Drug and Alcohol Information & Referrals**  
(e.g., drug education group, day treatment, self-help group, inpatient treatment)

	<b>Goal/Need</b>	<b>Service/Program</b>	<b>Start Date</b>	<b>End Date</b>
1				
2				
3				

**Mental Health/ Emotional Stability**  
**Disruptive Behavioral Disorders Information & Referrals**  
(e.g., counseling, anger management, inpatient, evaluation)

Name of Mental Health Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_ City/State: \_\_\_\_\_

	<b>Goal/Need</b>	<b>Service/Program</b>	<b>Start Date</b>	<b>End Date</b>
1				
2				

3				

**Family Services – Referrals**  
(e.g., Family Strengthening program, Adult Drug Court, MOMS, FAST, FFT)

	Goal/Need	Service/Program	Start Date	End Date
1				
2				
3				

**Community-Related Services**  
(e.g., conflict resolution, housing assistance, legal counseling, foster care?)

	Goal/Need	Service/Program	Start Date	End Date
1				
2				
3				

**Peer/Social Skills and Supports**  
(e.g., Mentoring program, GEMS, GENTS, Power of Choice, gang intervention)

	Goal/Need	Service/Program	Start Date	End Date
1				



2				
3				

**Pro-social Activity/Recreation Service Referrals  
(e.g., after school programs, athletics, Big Brothers/Big Sisters, evening report center)**

	<b>Goal/Need</b>	<b>Service/Program</b>	<b>Start Date</b>	<b>End Date</b>
1				
2				
3				

**Level of Supervision and Plan of Contact**

- Assigned Level of Supervision: "Low                      "Moderate                      "High
- The Probation Officer will maintain contact with the child, family or caregiver face to face on a \_\_\_\_\_ basis.
- The frequency and method of contact between the child and probation office is as follows: office, school, home.

**Acknowledgment**

I, the undersigned juvenile referenced above received a copy of the case plan, understand the case plan process and have been provided a full opportunity to give my input during this case plan.

\_\_\_\_\_  
Signature of Juvenile

\_\_\_\_\_  
Date of Review

I, the undersigned parent or caregiver of the juvenile referenced above received a copy of the case plan, understand the case plan process, and have been given the opportunity to give my input during this case plan.

\_\_\_\_\_  
Signature of Parent or Caregiver

\_\_\_\_\_  
Date of Review

\_\_\_\_\_  
Signature of Probation Officer

\_\_\_\_\_  
Date of Review

## Appendix III.3a

### Service Matrix Example 1

*Cumberland County Juvenile Probation Services & Programs Matrix*

Developed by: Cumberland County, Pennsylvania

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**Notes:**

- ü The services and programs matrix is designed to serve as a guide. Deviations from the matrix should be discussed with, and approved by, a supervisor. Reasons for the deviation should be clearly documented in the youth's file.
- ü Certain services and programs may appear as options at varying levels of risk/need and/or address multiple domains.
- ü Dependent upon the risk/need, certain services can, and should, be used in conjunction with one another. (i.e. outpatient counseling and/or AA/NA group and independent living)

**Service Matrix Example 2**

*Service Referral Matrix – Definitional Version for use in Probation (appropriate services/service agencies fitting the descriptions would be filled into the cells)*

Provided by: The Office of Juvenile Justice, Louisiana

**YOUTH RISK/NEED AREA**

	<b>Disruptive Behavioral Problems</b>	<b>Mental Health/ Emotional Stability</b>	<b>Substance Abuse Alcohol/Drugs</b>	<b>Family</b>	<b>Education/Employment</b>	<b>Pro-Social Activities/ Peer Relations</b>	<b>Community</b>
<p><b>NOTE: Low Risk indicates low probability of future violence and/or delinquent behavior.</b>  <b>Enhance protective factors by actively recognizing strengths and strategically building upon pre-existing strengths.</b>  <b>Remember, increased exposure to the juvenile justice system increases risk of low risk juveniles.</b></p>							
<b>Low</b>	<p>Promote parent supervision and support adult role models/mentors working with child. Refer for parenting skills training/support if needed. CSW, \$REST, Supervised Victim Apology. Recommend /Require prosocial activity (sports teams, church groups, community programs) [NOTE- for those that said "Report problems to PO" I suggest only if needed...we want to promote the parent's</p>	<p>Recommend pro-social activity (sports teams, church groups, community programs). [NOTE: Maybe use family physician to promote exercise, nutrition, and other wellness factors that support mental health. with low risk mental health / emotional stability, general physicans/pediatricians and school counselors are appropriate referrals as needed]</p>	<p>Promote parent supervision and support adult role models/ mentors working with child. Refer for parenting skills training/support if needed. Recommend prosocial activity (sports teams, church groups, community programs) Have youth inform guardian of SA/use, with who, when, and how achieved to increase parents ability to supervise. [NOTE- for those that said "Random drug screens" I don't recommend at this level of risk due to a net widening effect that will</p>	<p>Promote parent supervision and support adult role models/ mentors working with child. Refer for parenting skills training/support if needed. Recommend daily activity with parent(s) / mentor (meal, supervised homework, game)</p>	<p>Parent is to maintain contact with teachers &amp; school. PO may check-in with youth's school / work as needed.</p>	<p>Recommend prosocial activity (sports teams, church groups, community programs, scouts). Reduce affiliation with delinquent peers by increasing opportunities with non-delinquent peers. Parental monitoring- youth and peers supervised via home based activities, scheduled pick-up/drop off, etc. (limit unsupervised time)</p>	<p>Neighborhood accountability boards are an emerging service idea for minor interventions and monitoring. Community service as a means to repay/reunite to the community and apology letters are appropriate. A critical factor is that the youth connects whatever they are being asked to do to an understanding of restoring their connection to their community (i.e. it is reintegrating and not just shaming or "work" with no connection to their offense).</p>

	self-efficacy and not a reliance on PO. This is a low risk area]		likely occur for such a low level of risk.]				
<b>Mod- erate</b>	Refer for behavioral assessment. Possible Cognitive-Behavioral treatment to target specific behaviors and include the youth's parent/family or school-based interventions for behavior management, skills development. May need Parent skills training and supervised practice.	If available, have a more in depth mental health screen and/or assessment done. For example, obtain a current MAYSI-2 report or refer for MAYSI-2 if more than 30 days since last screen. Refer for psychosocial assessment, and, if indicated, psychiatric evaluation. Promote family education and development of parent advocacy for treatment services. Service referral to cognitive-behavioral based tx with strong family component. [NOTE- Some said "refer to state MH / OMH" however this is likely to be too low of a level for the state to offer services. This can cause families that do need some level of intervention to get frustrated and assume they cannot get served. ]	Refer to Substance Abuse for further screening and assessment. If needed, brief targeted treatment (e.g. Cannabis Youth Treatment), Drug Court, or other individual/family, motivational engagement based treatment is recommended. Random drug screening may be warranted at this level. [Note: AA/NA and peer group therapies are not particularly effective with adolescent substance abusers. The exception is when the group is used as a skills teaching and practice time and more personalized therapy is done in indiv/family sessions.]	Refer to an evidence-based family/parent skills development program (e.g. Strengthening Families, Active Parenting of Teens) Consider family therapy, such as MST, FFT, BSFT, if available. Family-based interventions might look at problem solving, conflict resolution skills, communication methods, substance abuse, trauma etc.	Obtain educational evaluations, if available. Recommend tutoring through community or school-based program. PO to monitor school behavior and attendance with disciplinarian, teacher, or school counselor. Consider using a daily behavior checklist. Refer to after-school tutoring program, obtain IEP, & speak/coordinate with counselor at school. If out of school, refer to employment training and placement services, GED or Vocational Technical education.	Possible services include life skills, social skills training, and mentoring (e.g. MRT, ART, Boys/Girls Clubs).. Increase positive social interactions by referring to faith-based organizations, youth groups, or youth community centers. If social skills issues and not peer associations, consider also referring to cognitive-behavioral treatment that can target interpersonal skills. Increase leisure activities and pro-social activities. Strongly encourage or consider assigning parent/guardian to engage juvenile in community recreational opportunities, an after-school program, volunteerism, or other suitable pro-social activity. Reduce barriers to participation by finding groups willing to supplement, reduce or waive fees for sports, activities, etc. Assign a mentor if adequate parent figure is unavailable or involve in mentored activities through the boys/girls club.	With high disruptive behavior scale refer for individual/family therapy to address neighborhood influences on behavior. May also refer for mentoring. Increase exposure to opportunities outside immediate neighborhood, via CSW, jobs, sports and/or youth group activities.

<p><b>High</b></p>	<p>Indicates need for behavioral specific psychosocial evaluation if mental health scale is moderate. Use individual/family cognitive-behavioral therapy with strong contingency management, FFT, MST, MRT, or ART if available. If community-based services fail, evaluate and consider out-of-home placement with a strong family and reintegration/aftercare component. Psychiatric evaluation, hospitalization, relative placement, or other out-of home placement may be necessary as last resort. [Note: some said “contempt” as a service, this is not a service, it is a consequence]</p>	<p>Indicates need for a psychosocial assessment and plan targeting both mental health and delinquency risk facts. If diagnosed with mental illness, refer to a psychiatric rehabilitation provider, or MST if available. Combine any psychopharmacological intervention with indiv/family cognitive-behavioral based treatment (medication alone will have limited effectiveness as does mental health treatment that does not address delinquency risk behaviors) If outpatient services fail, refer to inpatient/residential services with strong aftercare/reintegration components State mental health services may be available at this level of need.</p>	<p>Refer to Substance Abuse Services for substance abuse assessment, and referral to an appropriate level of treatment (Drug Court, MI/CBT/Relapse Prevention tx provider). Conduct random/ routine drug tests (if in treatment, UDS results should be handled in consult with tx provider. Even with a positive UDS, youth may be progressing in tx). Refer to outpatient treatment provider, ATR service, or as a measure of last resort, inpatient tx with strong aftercare/re-entry services. [Note: some said “contempt” as a service, this is not a service, it is a consequence]</p>	<p>Refer for FFT, MST, or BSFT if available. Family therapy that targets skills teaching and problem solving as a unit is acceptable. If services are ineffective, consider an evaluation assessing the level of violence, abuse, neglect that might necessitate out of home placement OCS referrals may be needed at this point. Respite services offer some relief to families as long as reintegration and problem solving is done during and after respite.</p>	<p>Engage youth in school-related services to target improving learning, study skills, classroom skills. Consider possible changes in classroom and/or school settings (including homebound). After hour treatment for mod/high scores in other risk areas may interfere with completion of homework, so be mindful in referring. Consider adult ed., YCP, and/or alternative schools. Assist in managing admissions and other processes that may be a barrier to the youth and family. Consider GED/Adult Ed./Voc Tech where appropriate.</p>	<p>Consider more intensive services such as FFT, MST, MRT, ART or other cognitive-behavioral or systems treatment to target social skills and improve interpersonal relationships. For girls, be particularly aware of delinquent boyfriends. This is a particular risk factor for females. Require increased structured pro-social activities. Establish a mentor for the youth. Link to after-school activities when possible to increase access.</p>	<p>Engage parent/guardian in housing assistance programs, when available. Facilitate community programs that can do outreach to the family. Involve the family in community services beyond their neighborhood. Utilize CSW, job training programs, and activities to expose the youth to things outside of their neighborhood.</p>
--------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Try to keep plans to a maximum (not minimum) of the 3 major need areas that score Moderate or High risk. If a youth scores high in 3 or more need areas and required services are not attainable, a referral should be made for an ISC. Consider EMP for those at highest supervision level with multiple high risk areas.

Additional Need Areas and Level of Need: 1. \_\_\_\_\_ 2. \_\_\_\_\_

## Appendix IV.1

### *Case Planning Core Concepts Exam and Answers*

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

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#### **Case Planning Core Concepts Exam** **P.O. I year 1**

1. **List the “What Works” principles identified in the training.**
  - A. Risk, Need, Responsivity, and Program Integrity
  - B. Competency Development, Public Safety, and Accountability
  - C. Mapping, Finding the Hook, Moving Forward, Review and Support
  - D. Pre-contemplation, Contemplation, Preparation, Action, Maintenance, and Relapse
  
2. **“Tell me more about what happened that evening,” is an example of which type of statement:**
  - A. Open ended
  - B. Affirmation
  - C. Reflection
  - D. Summarization
  
3. **What is the main difference between the PSRA and the PRA?**
  - A. The PRA can be completed without talking to the youth, unlike the PSRA.
  - B. The PSRA is a tool used to determine the risk level of the youth, while the PRA assesses risk and protective factors used to build a case plan.
  - C. The PSRA overall score is mostly based on social factors, while the PRA overall score is mostly based on delinquency.
  - D. All of the above.
  
4. **Focusing on dynamic risk factors related to the POE demonstrates the use of which principle?**
  - A. Risk
  - B. Need
  - C. Responsivity
  - D. Program Integrity
  
5. **The Presenting Offense Episode or POE is:**
  - A. A summary of the police report
  - B. A list of allegations from the petition in legal terms
  - C. The youth’s case history
  - D. A short description of the offense(s) in “people terms”
  
6. **The youth’s thoughts, attitudes, and behaviors that surround “the story” are referred to as:**
  - A. Behavioral Tendencies
  - B. Choices
  - C. Behavior Cycle
  - D. What were you thinking?



7. **Which principle states that we need to invest resources in higher risk youth, while lower risk youth require little to no intervention?**
- A. Risk
  - B. Need
  - C. Responsivity
  - D. Program Integrity
8. **When you match your styles and skills to the youth, which principle are you utilizing?**
- A. Risk
  - B. Need
  - C. Responsivity
  - D. Program Integrity
9. **What are the Stages of Change identified in the training?**
- A. No problem, There may be a problem, I have a problem, You have a problem
  - B. Pre-contemplation, Contemplation, Action, Review, Support
  - C. Risk, Need, Responsivity, Program Integrity
  - D. Pre-contemplation, Contemplation, Preparation, Action, Maintenance, Relapse
10. **Which statement is an example of the POE?**
- A. Katie stated that her mom deserved to be hit due to the way that she treats Katie. Katie stated that she felt that her mother needed help for her poor parenting skills. Katie stated that she knows it isn't okay to yell or hit her mother, but feels it's the only way to deal with her mother.
  - B. Assault
  - C. Physical fighting with mom
  - D. Belief in the use of physical aggression
11. **People generally fail to move forward toward a behavior change due to:**
- A. Lack of desire
  - B. Lack of resources and motivation
  - C. Lack of importance or confidence
  - D. Old habits are hard to break
12. **The information that was gathered during the PRA interview is used to determine priority risk factors which will be addressed in the case plan. This process is defined as:**
- A. Finding the Hook
  - B. Conceptualization
  - C. Pre-orientation
  - D. Moving Forward
13. **Priority risk factors should be:**
- A. Dynamic and related to the POE
  - B. Related to historical factors
  - C. Based on incentives
  - D. Chosen randomly from a list of all risk factors
14. **Which is an effective strategy to use when you hear a resistant statement?**
- A. Lecture the youth
  - B. Give advice on how you would handle the problem
  - C. Set an action step
  - D. Use a reflective statement

15. **What are four skills used for effective interviewing?**
- A. Open ended questions, affirmations, reflective listening, and summarization
  - B. Lecturing, advising, warning, offering solutions
  - C. Mapping, Finding the Hook, Moving Forward, Review and Support
  - D. Assessment, feedback, case plan, reassessment
16. **Which of the following is an example of “change talk”?**
- A. I wish I was doing better in school.
  - B. I want my mom off my back.
  - C. I’m tired of getting in trouble.
  - D. All of the above.
17. **Which are not examples of Roadblocks to Motivation?**
- A. Change talk / reflections
  - B. Warning / threatening
  - C. Giving advice / solutions
  - D. Judging / blaming
18. **An obstacle or an excuse not to change is also known as:**
- A. A barrier
  - B. An action step
  - C. A discrepancy
  - D. Lack of desire
19. **The process of giving the “story” back to the youth in his own words, emphasizing the priority risk factors that lead to the problem is called:**
- A. Case planning
  - B. Conceptualization
  - C. Mapping
  - D. Feedback
20. **Incentives are defined as:**
- A. Rewards given to the youth by a probation officer or other community member
  - B. Protective factors
  - C. Things the youth has indicated are important and can be used to motivate him/her
  - D. Credit for time served
21. **Which items are considered effective styles?**
- A. Confrontational, blaming, hostile
  - B. Empathy, honesty, non-judgmental, solution focused
  - C. Commanding, parenting, being their friend
  - D. Wishy-washy, unclear, non-direct
22. **The probation officer / case manager should not try to solve the problems for the youth. This tendency is also known as the:**
- A. Big Hammer
  - B. Righting Reflex
  - C. Affirming Technique
  - D. Responsivity Factor
23. **Which of the following are examples of using the Big Hammer?**
- A. Giving advice and fixing it
  - B. Ordering and threatening
  - C. Summarizing and affirming
  - D. Arguing and lecturing

**24. The Decisional Balance sheet is one of the tools used to identify:**

- A. Risk and protective factors
- B. Incentives and barriers
- C. Intelligence and maturity
- D. None of the above

**25. An action step should be:**

- A. A long term goal
- B. Set by the probation officer
- C. Small, Measurable, Attainable, Realistic, Timely
- D. Serious, Meaningful, Altruistic, Respectful, Tested

**Case Planning Core Concepts Exam**  
**PO I year 1**

1. **List the “What Works” principles identified in the training.**
  - A. Risk, Need, Responsivity, and Program Integrity
  - B. Competency Development, Public Safety, and Accountability
  - C. Mapping, Finding the Hook, Moving Forward, Review and Support
  - D. Pre-contemplation, Contemplation, Preparation, Action, Maintenance, and Relapse
  
2. **“Tell me more about what happened that evening,” is an example of which type of statement:**
  - A. Open ended
  - B. Affirmation
  - C. Reflection
  - D. Summarization
  
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  - D. A short description of the offense(s) in “people terms”
  
6. **The youth’s thoughts, attitudes, and behaviors that surround “the story” are referred to as:**
  - A. Behavioral Tendencies
  - B. Choices
  - C. Behavior Cycle
  - D. What were you thinking?
  
7. **Which principle states that we need to invest resources in higher risk youth, while lower risk youth require little to no intervention?**
  - A. Risk
  - B. Need
  - C. Responsivity
  - D. Program Integrity

8. **When you match your styles and skills to the youth, which principle are you utilizing?**
- A. Risk
  - B. Need
  - C. Responsivity
  - D. Program Integrity
9. **What are the Stages of Change identified in the training?**
- A. No problem, There may be a problem, I have a problem, You have a problem
  - B. Pre-contemplation, Contemplation, Action, Review, Support
  - C. Risk, Need, Responsivity, Program Integrity
  - D. Pre-contemplation, Contemplation, Preparation, Action, Maintenance, Relapse
10. **Which statement is an example of the POE?**
- A. Katie stated that her mom deserved to be hit due to the way that she treats Katie. Katie stated that she felt that her mother needed help for her poor parenting skills. Katie stated that she knows it isn't okay to yell or hit her mother, but feels it's the only way to deal with her mother.
  - B. Assault
  - C. Physical fighting with mom
  - D. Belief in the use of physical aggression
11. **People generally fail to move forward toward a behavior change due to:**
- A. Lack of desire
  - B. Lack of resources and motivation
  - C. Lack of importance or confidence
  - D. Old habits are hard to break
12. **The information that was gathered during the PRA interview is used to determine priority risk factors which will be addressed in the case plan. This process is defined as:**
- A. Finding the Hook
  - B. Conceptualization
  - C. Pre-orientation
  - D. Moving Forward
13. **Priority risk factors should be:**
- A. Dynamic and related to the POE
  - B. Related to historical factors
  - C. Based on incentives
  - D. Chosen randomly from a list of all risk factors
14. **Which is an effective strategy to use when you hear a resistant statement?**
- A. Lecture the youth
  - B. Give advice on how you would handle the problem
  - C. Set an action step
  - D. Use a reflective statement

15. **What are four skills used for effective interviewing?**
- A. Open ended questions, affirmations, reflective listening, and summarization
  - B. Lecturing, advising, warning, offering solutions
  - C. Mapping, Finding the Hook, Moving Forward, Review and Support
  - D. Assessment, feedback, case plan, reassessment
16. **Which of the following is an example of “change talk”?**
- A. I wish I was doing better in school.
  - B. I want my mom off my back.
  - C. I’m tired of getting in trouble.
  - D. All of the above.
17. **Which are not examples of Roadblocks to Motivation?**
- A. Change talk / reflections
  - B. Warning / threatening
  - C. Giving advice / solutions
  - D. Judging / blaming
18. **An obstacle or an excuse not to change is also known as:**
- A. A barrier
  - B. An action step
  - C. A discrepancy
  - D. Lack of desire
19. **The process of giving the “story” back to the youth in his own words, emphasizing the priority risk factors that lead to the problem is called:**
- A. Case planning
  - B. Conceptualization
  - C. Mapping
  - D. Feedback
20. **Incentives are defined as:**
- A. Rewards given to the youth by a probation officer or other community member
  - B. Protective factors
  - C. Things the youth has indicated are important and can be used to motivate him/her
  - D. Credit for time served
21. **Which items are considered effective styles?**
- A. Confrontational, blaming, hostile
  - B. Empathy, honesty, non-judgmental, solution focused
  - C. Commanding, parenting, being their friend
  - D. Wishy-washy, unclear, non-direct
22. **The probation officer / case manager should not try to solve the problems for the youth. This tendency is also known as the:**
- A. Big Hammer
  - B. Righting Reflex
  - C. Affirming Technique
  - D. Responsivity Factor

**23. Which of the following are examples of using the Big Hammer?**

- A. Giving advice and fixing it
- B. Ordering and threatening
- C. Summarizing and affirming
- D. Arguing and lecturing

**24. The Decisional Balance sheet is one of the tools used to identify:**

- A. Risk and protective factors
- B. Incentives and barriers
- C. Intelligence and maturity
- D. None of the above

**25. An action step should be:**

- A. A long term goal
- B. Set by the probation officer
- C. Small, Measurable, Attainable, Realistic, Timely
- D. Serious, Meaningful, Altruistic, Respectful, Tested

## Appendix IV.2

### **Written Case Scenarios / Case Staffing Evaluation Form (to assess performance using a risk tool after reading a practice case)**

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

#### Written Case Scenarios / Case Staffing Evaluation Form

Date: \_\_\_\_\_ Probation Officer: \_\_\_\_\_ Evaluator: \_\_\_\_\_

Minor's Name: \_\_\_\_\_ Age/Gender: \_\_\_\_\_ Case Number: \_\_\_\_\_

<b>PERFORMANCE MEASURE</b> <i>"Needs Improvement" score on <b>FOUR</b> or more questions results in an overall "Needs improvement" score</i>	<b>1= Needs Improvement</b> <b>2= Meets Requirement</b> <b>3= Exceeds Requirement</b> <b>N/A= Not Applicable</b>			
1. Probation Officer identified the POE	1	2	3	N/A
2. Probation Officer identified other POEs (violations, other offenses)	1	2	3	N/A
3. Probation Officer identified the "story" <i>(sequence of events that includes minor's specific attitudes and behaviors)</i>	1	2	3	N/A
4. Probation Officer identified prior / current interventions	1	2	3	N/A
5. Probation Officer identified the risk level of the minor <i>(confirm the accuracy of the assessment)</i>	1	2	3	N/A
6. Probation Officer identified the responsivity factors applicable to the case	1	2	3	N/A
7. Probation Officer identified up to three priority risk factors <i>(review the Conceptualization worksheet)</i>	1	2	3	N/A
8. The identified risk factors related back to the POE <i>(discuss with staff the minor's quotes and how the selected risk factors relate to the POE)</i>	1	2	3	N/A
9. Probation Officer identified minor's stage of change specific to risk factors <i>(discuss how the P.O. determined the stage of change for each risk factor – what the minor said)</i>	1	2	3	N/A
10. Probation Officer identified lack of importance / confidence related to the specific risk factor <i>(discuss how the P.O. determined lack of importance or confidence – what the minor said)</i>	1	2	3	N/A
11. Probation Officer identified barriers connected to the lack of confidence <i>(discuss how the barriers were determined– what the minor said)</i>	1	2	3	N/A
12. Probation Officer identified incentives to deal with lack of importance or in reviewing progress on action steps <i>(discuss how the incentives were identified – should be what the minor values)</i>	1	2	3	N/A
13. Probation Officer identified the protective factors <i>(discuss how the protective factors were determined– should be gathered from the PRA)</i>	1	2	3	N/A
14. Probation Officer identified current challenges in the case <i>(discuss other information that presents obstacles to case planning or interventions)</i>	1	2	3	N/A
15. Probation Officer identified planned strategies to address risk factors <i>(based on identified stages of change and barriers)</i>	1	2	3	N/A



16. Probation Officer identified available interventions	1	2	3	N/A
17. Probation Officer's recommendations are specific to prioritized risk factors <i>(discuss with staff how each recommendation addresses prioritized risk factors)</i>	1	2	3	N/A
18. Probation Officer focused on dynamic instead of static information during the staffing	1	2	3	N/A
19. Probation Officer demonstrated an overall knowledge of the case planning model during the staffing	1	2	3	N/A
20. Probation Officer talked about the minor / family in a positive manner	1	2	3	N/A

## Appendix IV.3

### ***Video Grading Performance Direct Observation Tool and Measurement Guide (to assess performance using a risk tool after watching a practice video)***

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

<b>PSRA VIDEO GRADING / DIRECT OBSERVATION TOOL</b>				
<b>Staff:</b>		<b>Date:</b>		
<b>Performance Measure</b> <i>A Needs Improvement@ score on <b>THREE</b> or more questions results in an overall A Needs improvement@ score</i>		N/A= Not Applicable 1= Needs Improvement 2= Meets Requirements 3= Exceeds Requirements		
1. Probation Officer clearly articulated the purpose of the meeting		1	2	3 N/A
<b>Skill level comments:</b>				
2. Probation Officer used open ended questions effectively		1	2	3 N/A
<b>Skill level comments:</b>				
3. Probation Officer used appropriate affirmations throughout the meeting		1	2	3 N/A
<b>Skill level comments:</b>				
4. Probation Officer used reflective statements throughout the meeting when appropriate		1	2	3 N/A
<b>Skill level comments:</b>				
5. Probation Officer summarized the minor=s statements during the meeting		1	2	3 N/A
<b>Skill level comments:</b>				
6. Probation Officer avoided using roadblocks to motivation		1	2	3 N/A
<b>Skill level comments:</b>				
7. Probation Officer avoided using the Arighting reflex@		1	2	3 N/A
<b>Skill level comments:</b>				
8. Probation Officer=s words and actions conveyed interest and respect, and fostered a collaborative relationship (effective MI style)		1	2	3 N/A
<b>Skill level comments:</b>				
9. Probation Officer used appropriate note taking during the meeting which did not hinder the conversation		1	2	3 N/A
<b>Skill level comments:</b>				

10. Probation officer obtained answers to the PSRA questions	1	2	3	N/A
<b>Skill level comments:</b>				
11. Probation officer accurately scored the PSRA based on the information obtained on the video and from the file	1	2	3	N/A
<b>Skill level comments:</b>				

Staff signature: \_\_\_\_\_

**AGREE**     **DISAGREE**

<b>COMMENTS:</b>
------------------

Evaluator signature: \_\_\_\_\_

Evaluator signature: \_\_\_\_\_

Evaluator signature: \_\_\_\_\_

Evaluator signature: \_\_\_\_\_

## PSRA VIDEO GRADING / DIRECT OBSERVATION TOOL PERFORMANCE MEASUREMENT GUIDE

<b>KNOWLEDGE:</b> - PSRA Assessment Tool - Effective styles and interview techniques	<b>SKILLS:</b> - OARS interviewing skills - Assessing risk	<b>ABILITY:</b> - Complete the assessment tool on CARE accurately - Interpret risk score accurately - Utilize effective styles with the minor
--------------------------------------------------------------------------------------------	------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------

Performance Measure	Measurement Description
1. P.O. clearly articulated the purpose of the meeting	<b>Meets Requirements:</b> The P.O. spent sufficient time discussing the purpose of the meeting; used terms understandable to the minor and the family; inquired about the minor=s / family=s understanding of the purpose for the meeting. <b>Exceeds Requirements:</b> NA
2. P.O. used open ended questions effectively	<b>Meets Requirements:</b> The P.O. asked more open ended questions than closed ended questions throughout the meeting. <b>Exceeds Requirements:</b> The use of open ended questions was natural in the flow of the conversations and the P.O. was able to elicit the minor=s perceptions of his/her problems, motivation, plans.
3. P.O. used appropriate affirmations throughout the meeting	<b>Meets Requirements:</b> On <u>one</u> or two occasions, the P.O. verbally reinforced the minor=s strengths, abilities, or positive behaviors that the probation officer would like the minor to repeat. <b>Exceeds Requirements:</b> On <u>multiple</u> occasions, the P.O. affirmed the minor=s positive behaviors. The P.O. was successful in developing the minor=s confidence by praising small steps taken in the direction of change.
4. P.O. used reflective statements throughout the meeting when appropriate	<b>Meets Requirements:</b> On <u>two or more</u> occasions, the P.O. used one of the reflection types to deal with resistance from the minor or to keep the conversation going. <b>Exceeds Requirements:</b> The P.O. had a natural reflective style, and used a variety of reflection types. On <u>multiple</u> occasions, the P.O. used simple, complex, or double sided reflections. The reflections helped the minor in seeing the problem more clearly.
5. P.O. summarized the minor=s comments/statements during the meeting	<b>Meets Requirements:</b> On <u>one</u> or two occasions, the P.O. summarized what the minor said in order to keep the conversation going and confirm their understanding of minor=s statements. <b>Exceeds Requirements:</b> The use of summaries was frequent and it resulted in the minor continuing the conversation and providing more information. P.O. used summarizing to overcome resistance and to bring parties back on track. In summarizing, the P.O. was able to link the minor=s various insights together in a way that illustrates related patterns.
6. P.O. avoided using roadblocks in motivation	<b>Meets Requirements:</b> The P.O. did not order, warn/threaten, give advice/solutions, argue/lecture, judge/blame or shame/ridicule the minor/family during the meeting. The P.O. did not use the Abig hammer.@ <b>Exceeds Requirements:</b> NA
7. P.O. avoided using the Arighting reflex@	<b>Meets Requirements:</b> The P.O. did not attempt to solve the minor=s problems during the meeting by telling the minor the appropriate solutions to the problems. <i>* Note that this measure is not the same as giving options to the minor during the preparation stage of change (in Feedback).</i> <b>Exceeds Requirements:</b> NA
8. P.O.=s words and actions conveyed interest and respect, and fostered a collaborative relationship (effective MI style)	<b>Meets Requirements:</b> The P.O. was honest, genuine, and listened to the minor during the meeting. The P.O. =s verbal and non-verbal communication demonstrated interest, engagement and a non-judgmental attitude. <b>Exceeds Requirements:</b> The P.O. consistently conveyed empathetic sensitivity, demonstrated genuine concern and an awareness of the minor=s experiences, and followed the minor=s lead in the discussion. The P.O. continuously emphasized and fostered a collaborative relationship (developed rapport) in contrast to one where the P.O. is in charge. The minor was obviously comfortable in sharing information with the P.O.  Examples of effective styles are: Empathetic, Warm, Genuine, Honest, Humorous, Self-confident, Direct, Structured, Solution focused, Pro-social modeling.
9. P.O. used appropriate note taking during the meeting which didn=t hinder the conversation	<b>Meets Requirements:</b> The P.O. was able to balance taking notes while being engaged in the conversation. Taking notes should not interfere with the flow of the meeting/conversation.  <b>Exceeds Requirements:</b> NA
10. P.O. obtained answers to the PSRA questions	<b>Meets Requirements:</b> During the meeting, the P.O. asked questions that provided the necessary information to complete the PSRA. <b>Exceeds Requirements:</b> NA
11. P.O. accurately scored the PSRA based on the information obtained on the video and from the file	<b>Meets Requirements:</b> Based on the information from C.A.R.E., the social file, and from the video, both the reviewer and the P.O. scored the PSRA the same. <b>Exceeds Requirements:</b> NA

## Appendix IV.4

### Case Audit Form

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

#### CASE AUDIT (specific to the CASE PLANNING model)

*\*The purpose of this form is to document some or all of the components of a Case Planning case audit that includes an observation of the assessment and feedback meetings; a review of the completed assessments; a review of the completed conceptualization and feedback worksheets; a review of the case plan; a review of the court reports; and a completed staffing using the case staffing form.*

**OVERALL: 1= Needs Improvement    2= Meets Requirement    3= Exceeds Requirement**

Case Name	Case#	Probation Officer	Auditor	Date

ASSESSMENT INTERVIEW OBSERVATION	1	2	3	NA	COMMENTS
Effective use of OARS					
Effective Behavior Cycle exploration					
Domains 9 and 10 questions (specific to the POE)					
Effective style (no roadblocks to motivation) and use of MI techniques					
Responsivity considerations					
Words and actions convey respect, interest, and collaboration					
PSRA/PRA	1	2	3	NA	COMMENTS
Assessments completed per established time lines					
Delinquency History 100% accurate					
Domains 9 and 10 accurate (based on the observed interview)					
CONCEPTUALIZATION	1	2	3	NA	COMMENTS
Completed Conceptualization worksheet					
Accurate description of the Behavior Cycle					
Accurate priority risk factors, stages of change, incentives					
FEEDBACK MEETING OBSERVATIONS	1	2	3	NA	COMMENTS
Story given back to the minor incorporating prioritized risk factors					
Use of behavior analysis / decisional balance to identify incentives and barriers					
Use of strategies to move the minor between stages of change					
Guidance in setting SMART action steps					
Effective handling of resistance					

Engaged the minor during feedback					
<b>CASE PLAN &amp; CASE NOTES (FIELD)</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>NA</b>	<b>COMMENTS</b>
Specific to minor					
Addresses POE					
Based on prioritized risk factors					
Barriers and action steps documented					
Tracking notes reflect progress on the Case Plan					
<b>CASE STAFFING</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>NA</b>	<b>COMMENTS</b>
Accurate case staffing form					
Able to verbalize and explain the information from the case staffing form					
Responsivity factors in choosing interventions					
Overall case plan model knowledge					
<b>COURT REPORTS</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>NA</b>	<b>COMMENTS</b>
POE, Pattern of Behavior, Risk Level included					
Accurate Pattern Of Behavior description					
Assessment and case planning information reported					
Recommendations per case planning philosophy					
<b>OTHER COMMENTS:</b>					

## Appendix V.1

### *Client Survey (“consumer satisfaction” survey of a youth’s experience working with his or her probation officer)*

Developed by: Division of Juvenile Justice Services, Salt Lake City, Utah

#### CLIENT SURVEY

<i>A A1@ or A2@ rating would mean:</i>	<b>1=Strongly Agree</b> <b>2= Agree</b> <b>3= Disagree</b> <b>4= Strongly Disagree</b> <b>NA = Not Applicable</b>	<i>A A3@ or A4@ rating would mean:</i>
I felt comfortable talking to my probation officer today.	<b>1 2 3 4 NA</b>	I did not feel comfortable talking to my probation officer today.
I felt supported and not judged when sharing my side of the story today.	<b>1 2 3 4 NA</b>	I did not feel supported by my probation officer today.
I felt that my probation officer was honest, fair, consistent, and genuine during the meeting.	<b>1 2 3 4 NA</b>	I felt that my probation officer was ordering, threatening, lecturing, or blaming me during the meeting.
My probation officer talked to me in a way that made it easy to have a conversation.	<b>1 2 3 4 NA</b>	I mostly answered questions with Ayes@ or Ano@.
When I talked today, I felt listened to.	<b>1 2 3 4 NA</b>	When I talked today, I did not feel listened to.
During the meeting, my probation officer expressed approval for the good things that I am doing.	<b>1 2 3 4 NA</b>	My probation officer never acknowledged any of the good things I am doing.
My probation officer understood what I was trying to say.	<b>1 2 3 4 NA</b>	My probation officer did not understand what I was trying to say.
My probation officer helped me think about why I get in trouble.	<b>1 2 3 4 NA</b>	My probation officer told me why I get in trouble and I did not have any input in talking about it.
My probation officer allowed me to express my opinions about changing my behavior.	<b>1 2 3 4 NA</b>	My probation officer told me why I should stop getting in trouble without hearing what I had to say.
During the meeting, I was able to think of steps to change my behavior.	<b>1 2 3 4 NA</b>	I did not have any input in what to do to stay out of trouble.
After the meeting, I felt more confident that I can accomplish my goals.	<b>1 2 3 4 NA</b>	After the meeting, I did not feel confident that I can accomplish my

What we talked about today is really important to me.	1 2 3 4 NA	What we talked about is not very important to me.
I felt that my probation officer cares about my success.	1 2 3 4 NA	I felt that my probation officer only wanted to punish me.
After the meeting, I knew more about what to expect in court and from my P.O.	1 2 3 4 NA	After the meeting, I was unsure what to expect in court or from my P.O.
<b><u>Other Comments / Explain Answers:</u></b>		



## Appendix V.2

### Survey for Probation Staff

#### *Staff Pre-Implementation Survey: Probation Version*

Developed by: Risk-Needs Assessment Implementation in Juvenile Probation Study

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#### Staff Pre-Implementation Survey: Probation Version

ID: \_\_\_\_\_ Interviewer: \_\_\_\_\_

Date: \_\_\_ / \_\_\_ / \_\_\_      Gender: 1. Male      2. Female  
           mth day yr

(Interviewer note: gather the following information via interview)

#### **Current position:**

- |                           |       |                      |       |
|---------------------------|-------|----------------------|-------|
| 1. Case Manager           | _____ | 2. Social Worker     | _____ |
| 3. MH Counselor           | _____ | 4. Probation Officer | _____ |
| 5. Administrator/Director | _____ | 6. Teacher           | _____ |
| 7. Other                  | _____ |                      |       |
- Please Specify:* \_\_\_\_\_

#### **Special Programs:**

- |                         |       |                           |       |
|-------------------------|-------|---------------------------|-------|
| 1. No special program:  | _____ | 3. TASC:                  | _____ |
| 2. Mental Health Court: | _____ | 5. Intake Unit            | _____ |
| 4. Drug Court:          | _____ | 7. Case management:       | _____ |
| 6. FINS:                | _____ | 9. Intensive Supervision: | _____ |
| 8. Aftercare:           | _____ |                           |       |
| 10. Other:              | _____ |                           |       |
- Specify: \_\_\_\_\_

- 1) I am going to start by asking you what types of reports (*or assessments*) you do with youth at various stages in the Juvenile Justice Process? You may also refer to these as *reviews* or *studies*. (**List them**)

\_\_\_\_\_ Do you do Pre-Adjudication **Intake** reports?

\_\_\_\_\_ Do you do **Pre-Disposition**/Post-adjudication or Pre-D *reports?* (*social history*)

\_\_\_\_\_ Do you do some sort of **case review** or **post-disposition Social history** for case management purposes?

\_\_\_\_\_ Do you do any Other types of assessments? \_\_\_\_\_

(**Court Update** – when youth commits a new offense)

**IF APPLICABLE:**

- 2) You said that you complete pre-adjudication **intake** assessments. For what percentage of your cases have you completed an intake assessment in the last year? \_\_\_\_\_
- 3) You said that you complete **Pre-D or Social History** Investigations. For what percentage of your cases have you completed a Post-adjudication social history in the last year? \_\_\_\_\_
- 4) You said that you complete **Case reviews/Post-Disposition** reports/assessments. For what percentage of your cases have you completed a post-disposition assessment in the last year? \_\_\_\_\_
- 5) You said that you complete **Court Updates**. For what percentage of your cases have you completed a **Court Updates** in the last year? \_\_\_\_\_
- 6) Starting with the (the 1st type of assessment they do) \_\_\_\_\_ assessments, how do you do these assessments? Can you describe your process from referral to the end of the report? (*get them to describe what they do after they get the referral, what collateral information they gather, what interviews they conduct and with whom, ask specifically about whether the youth and parents are interviewed separately, and any assessment tools they use. Also, ask if the PO reviews case files/records before or after meeting with the youth and/or the family*)?

**IF APPLICABLE:**

- 7) You also said that you conduct \_\_\_\_\_ (pre-d or post-d) assessments, can you describe how you do these? Is anything done differently?
- 8) You also said that you conduct \_\_\_\_\_ (post-d) assessments, can you describe how you do these? Is anything done differently?

**8) CHECK ONLY:** Do their procedures differ based on the time of assessment (Intake, Pre-D, Post-disposition assessments)?

0. No      1. Yes      9. N/A

- 9) Are you asked to make **disposition OR placement** recommendations for youth (DEFINE: *meaning whether to recommend probation, non-treatment oriented out-of-home placement, non-secure custody, or secure custody*)?      0. No      1. Yes      2. Yes, but only in some cases

9a) (If YES) What information do you think is most important for informing your disposition OR placement recommendations for a particular youth?

9b) (If NO) How are disposition OR placement recommendations/decisions made?

- 10) Are you asked to make referrals to **services OR case management** plans? (e.g., *D & Alc, counseling, Education, FFT, MST*)?      0. No      1. Yes      2. Yes, but only in some cases

10a) (If YES) What information do you think is most important for informing your service recommendations or case management plans for a particular youth?

10b) (If NO) How are referrals to service/treatment interventions made?

11) Are you asked to make decisions about the **level of supervision** to assign for your cases?  
0. No 1. Yes 2. Yes, but only in some cases

11a) (If YES) What do you think is the most important information for assigning level of supervision?

11b) (If NO) How are levels of supervision assigned?

12) **Tool Information:**

a) Do you use any assessment instrument/tool/or rating scale? 0. No 1. Yes

b) If so, what are the names of the tools/instruments? \_\_\_\_\_

c) What decisions is the tool(s) used to help with?

d) Does the tool help with placement/disposition recommendations? 0. No 1. Yes 9. N/A

Explain:

e) Does the tool help determine your referrals to treatment or service interventions - Meaning, essentially your case management plan. 0. No 1. Yes 9. N/A

Explain:

f) Does the tool help guide your decisions about levels of supervision? 0. No 1. Yes 9. N/A

Explain:

13) On average, how long does your assessment process take per case? By that I mean from the time you get the case to the time your report is written (includes the time to gather information, interview, and write the report):

\_\_\_\_\_ hours intake \_\_\_\_\_ hours Post-D  
\_\_\_\_\_ hours Pre-D \_\_\_\_\_ hours Social History Update

**For the next few questions, I will be referring to ONLY adjudicated youths (meaning youths that have been found guilty) – and I will be using the following definitions:**

**Violence/harming others** - An act of battery or physical violence that is sufficiently severe to cause injury to another person or persons **regardless of whether injury occurs**; any act of sexual assault; or a threat made with a weapon.

**General re-offending** – an arrest for a *new* non-violent, delinquent crime. This would be more serious than a status offense but not as serious as a violent offense. Examples of some of these activities include theft, mischief, drug offenses, and property offenses.

14) Do you consider risk for violence or general re-offending in your assessments and recommendations? 0. No 1. Yes

If yes, how often?

15) What percentage of adjudicated youths seen in your probation office do you think are high risk for engaging in violence or harming others in the future? \_\_\_\_\_

16) What factors do you consider to identify risk for violence/harm to others when you are assessing a youth?

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17) Are there any specific “warning signs” or “red flags” that you notice or that might indicate a youth is high risk for engaging in violence/harm to others? 0. No 1. Yes 9. Don’t Know

o If yes, what are the “warning signs”? \_\_\_\_\_

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18) Does this differ depending on the gender of the youth? 0. No 1. Yes 9. Don’t Know

o If yes, how? \_\_\_\_\_

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19) What percentage of **adjudicated youths** seen in your probation office do you think are high risk for engaging in general re-offending? \_\_\_\_\_

20) What factors do you consider to identify risk for general re-offending when you are assessing a youth?

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21) Are there any “warning signs” or “red flags” that you notice or that might indicate a youth is high risk for engaging in general re-offending? 0. No 1. Yes 9. Don’t Know

o If yes, what are the “warning signs”? \_\_\_\_\_

---



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22) Does this differ depending on the gender of the youth? 0. No 1. Yes 9. Don’t Know

o If yes, how? \_\_\_\_\_

---



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23) Once you identify a youth as **high risk** for engaging in violence or for general re-offending .....(skip all of #15 and check here if they say they don’t pay attention to risk \_\_\_\_)

o Do you recommend specific placements/dispositions? 0. No 1. Yes 9. N/A

o If yes, what types of placements (*probation, level of supervision, out-of-home placement, secure placement*)? \_\_\_\_\_

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o Do your placement recommendations differ for youth you think are low vs. high risk?

0. No 1. Yes 9. N/A

If yes, how do your recommendations differ? \_\_\_\_\_

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- o Once you identify a youth as high risk, do you refer the youth to specific treatment or service interventions? 0. No 1. Yes 9. N/A  
If yes, what types of services? \_\_\_\_\_  
\_\_\_\_\_

- § Do your referrals differ for youth who seem to be at low vs. high risk? 0. No 1. Yes 9. N/A  
If yes, how do the referrals differ? \_\_\_\_\_  
\_\_\_\_\_

24) *Tracking Referrals:*

- a) Do you have any system for recording the service referrals you make for each case?  
(Please Describe) \_\_\_\_\_ Yes \_\_\_\_\_ No

- b) Is there a systematic method for documenting service usage or completion?  
(Please Describe both) \_\_\_\_\_ Yes \_\_\_\_\_ No

- c) Is there a system for tracking actual placements of adjudicated youth (even if they are not disposed to probation)? (Please Describe) \_\_\_\_\_ Yes \_\_\_\_\_ No

25) What would you like to see, if anything, in terms of a new process for your assessments? What do you think about using a standardized tool/instrument in your decision-making?

26) What characteristics of an assessment tool or procedure for your Social Histories would make it most beneficial or helpful to you?

- 27) Are there things you think might act as a barrier to using (not to completing) the tool in your decision-making? 0. No 1. Yes  
If yes, what might be a barrier? \_\_\_\_\_  
\_\_\_\_\_

28) If you had a tool that helped you determine whether or not a youth was high or low risk, how do you think your probation office would respond to a youth that scored "high risk?"

**How long have you worked.....**

29. in juvenile probation? \_\_\_\_\_ years \_\_\_\_\_ months

30. in your current position? \_\_\_\_\_ years \_\_\_\_\_ months

31. with juvenile justice-involved youth? \_\_\_\_\_ years \_\_\_\_\_ months