Probation System Review Guidebook

2ND EDITION

John A. Tuell and Kari L. Harp

Acknowledgement

MODELS FOR CHANGE: SYSTEM REFORM IN JUVENILE JUSTICE

Table of Contents

Introduction

The Robert F. Kennedy National Resource Center for Juvenile Justice (RFK National Resource Center), led by Robert F. Kennedy Children's Action Corps, was launched in December 2013 with the intention to carry forward the legacy of over a decade of significant achievement in juvenile justice system reform made possible by the John D. And Catherine T. MacArthur Foundation's support of the Models for Change: Systems Reform in Juvenile Justice Initiative. While the RFK National Resource Center has only been operating since 2013, the work at RFK Children's Action Corps in support of the Models for Change Initiative has been ongoing since 2004. This partnership with the MacArthur Foundation permitted the growth and maturation of three primary focus areas in juvenile justice reform. These areas include:

- **Dual Status Youth Reform** – Development of multiple frameworks, tools, resources, and guiding publications for reform to improve outcomes for dual status youth, those youth known to both the dependency and delinquency systems, and to achieve integration and coordination between child welfare and juvenile justice systems. This work is advanced through the provision of technical assistance, resource development, and the ongoing practice innovations realized through an active Dual Status Youth Practice Network.

- **Information and Data Sharing Reform** – Development of an exemplary framework to address the myriad of local, state, and national laws and policies governing the exchange and sharing of data, information, and records for youth and families involved in the juvenile justice and related youth serving systems. Over the past seven years, this work has resulted in the development of publications, resources, an online training curriculum for attorneys, and on-site training and technical assistance.

- **Probation System Review** – Development of a framework for the conduct of a rigorous review and assessment of probation practices to enhance youth outcomes and system performance by ensuring that policies and procedures, corresponding training, departmental management, and supervision of probationers all reflect best practices. This work is advanced by the provision of resources and technical assistance to support probation review and reform efforts in state and local jurisdictions, the delivery of a Juvenile Probation Review Academy in partnership with the Council of State Governments Justice Center and the American Probation and Parole Association, and the ongoing practice innovations realized through an active Probation System Review Practice Network.

It is the latter focus area about which this 2nd edition of the Probation System Review Guidebook is authored. The experiences in multiple state and local jurisdictions over the past five years have brought new lessons learned and opportunities that mandate their inclusion in this instructional Guidebook. These experiences also bring more clarity for the purpose and effective use of the rich array of review, self-assessment, and evaluation methodologies that have historically been used by the team of RFK National Resource Center staff and consultants in the field.

As we present this Probation System Review Guidebook, 2nd edition, to you for your use – either independently or in partnership with external technical assistance – it is our hope that you are able to realize positive opportunities for enhanced practice within your probation department and among your youth serving partners that results in improved juvenile justice and probation system performance, and most importantly in improved outcomes for the youth and communities you serve. You will note throughout the Guidebook that we emphasize the "system" aspect of the review and its methodologies. It has been our experience that reforms and improvements in probation practice cannot be realized without the examination of relationships and coordination with juvenile justice system partners.

I spent the initial seventeen years of my professional career working in a local juvenile justice system in the Commonwealth of Virginia, primarily as a probation officer, intake officer and field probation supervisor. I believe we can and must do better for those youth who become involved in our juvenile justice and probation systems. Based on the rich experiences the RFK National Resource Center has had in partnering with state and local juvenile justice leadership like yourself over the past dozen years, we believe the framework and elements outlined in this Probation System Review Guidebook can enhance your opportunities to realize those desired results for our nation's youth who have touched the juvenile justice and probation systems.

John A. Tuell, Executive Director
Robert F. Kennedy National Resource Center for Juvenile Justice
Robert F. Kennedy Children's Action Corps

Probation System Review Guidebook

BACKGROUND

The genesis for this Guidebook was the probation system review undertaken in Jefferson Parish, LA as part of the work in the four core states associated with *Models for Change: Systems Reform in Juvenile Justice* and in Los Angeles County, CA under a contract with the Los Angeles County Auditor-Controller's Office. In both of those jurisdictions there was a months-long review of programs and operations to support the goals of the probation departments, culminating in respective reports of findings and recommendations. A carefully tailored work plan was used to direct the reviews in each instance but the core elements of the plan were essentially the same and included:

1. Program Planning and Implementation
2. Best Practices and Benchmarking
3. Performance Measurement and Client Outcomes
4. Intra- and Interagency Work Processes

The principals, Janet Wiig and John A. Tuell, conducted the review in Jefferson Parish and Los Angeles County, and were asked to prepare this Guidebook for that purpose.[1] As more jurisdictions became involved in the conduct of the RFK National Resource Center's Probation System Review, more experience was gained to inform the use of the wide variety of examination and analytical methodologies in local and state jurisdictions. This 2nd edition of the Probation System Review Guidebook offers an enhanced look at the review process with enriched perspectives for the conduct of the review and the use of findings and recommendations that have proven successful in improving probation system performance and outcomes for the youth and families they serve.

---

1   The material in this Guidebook is drawn heavily from the field-based experiences of the original authors (Janet Wiig and John A. Tuell) while working for the Child Welfare League of America (CWLA) and subsequently for the RFK Children's Action Corps during a period covering 2004-2011. These included an array of both large and small state and local jurisdictions, supporting the concept that the framework contained herein could be applicable and useful in all types of jurisdictions. Material is also drawn from the more recent conduct of the Probation System Review by John A. Tuell and consultant staff at the RFK National Resource Center for Juvenile Justice in numerous jurisdictions across the country (e.g., 3 sites in Illinois, Newton County, Georgia, New Hampshire, the U.S. Territory of Guam, 2 sites in Idaho, and 3 sites in Arkansas).

WHY UNDERTAKE A PROBATION SYSTEM REVIEW?

Probation departments, like a number of other longstanding agencies, function within a framework of statutes, policies and practices that were built up over the course of many years. Typically, there has been little time or effort to reflect on that framework to determine how well it is working and whether it functions in a manner that is optimal and comports with the current research and best practices that result in improved system performance and youth outcomes. Probation departments have also frequently taken a narrow view of their accountability for individual or cumulative outcomes for youth entering the system. If it can be said that we measure what we value, probation departments have all too often measured throughputs—how many cases were filed, how fast those cases are disposed of, and what type of offenses were involved. Further, even in the face of advancing neuroscience on adolescent development and research-driven evidence of practices that yield reductions in recidivism and affiliated positive youth outcomes, a culture of doing things "the way we've always done them" often permeates daily operations and departmental approaches to probation supervision. It is plausible to proffer that most juvenile probation and juvenile justice systems have paid insufficient attention to how system practices and individual decisions affecting case management might cumulatively impact public safety for better or worse. Correspondingly, relevant data has not been systematically collected or analyzed toward that end.

However, juvenile probation departments and courts are becoming increasingly conscious of how their policies, processes and practices can improve outcomes for the young people with whom they come into contact. That awareness also encompasses an understanding that the probation and court "system" does not operate in a vacuum. It is reliant on other agencies and individuals who engage with young people on a frequent basis to align their own practices in ways consistent with current research. That system obviously includes probation officers, judges, law enforcement, prosecutors, and defense attorneys. However, for long term and sustainable reforms to be realized,

partners must necessarily include schools, substance abuse treatment providers, mental health professionals, child protective services, community based youth programs, local government leaders, and certainly youth and their families. Efforts to reform and enhance the operations and routine functioning of the probation, court, and juvenile justice system must involve all of these participants (Harp and Ingram, 2016).

Through our work in the field over the past dozen years, the RFK National Resource Center has witnessed an encouraging willingness among state and local jurisdictions to examine their operations as the volume of research on what works has been translated into improved system performance and youth outcomes. A growing number of probation departments are becoming more engaged in the development of refined policies and practices demonstrated to improve rates of recidivism across all risk classifications and improve other measures of positive youth outcomes. It has been our experience that jurisdictions that commit to this type of regular inquiry have demonstrated that they value accountability in both theory and action. This in turn has fostered support, trust, and a collaborative investment from the community, youth, parents, staff and the multitude of system stakeholders for achievement of improved system performance and youth outcomes.

A probation system review is therefore an exciting opportunity for the principals involved in the management and day-to-day operation of a probation department to assess how they are doing in relation to the goals, objectives and outcomes for which they are accountable. It is an opportunity to enhance practice by making sure that policy and procedures, corresponding training, departmental management, and supervision of probationers are all lined up to reflect best practices. It also provides a chance to include important partners in the exploration and potential improvement of key decision processes and practices that impact the functioning of the juvenile justice and probation system.

Undertaking such an inquiry requires the leadership of a champion for change as much as it requires the collaborative support of multiple stakeholders. System self-assessments don't just happen; they must be called for, supported, and integrated into the workflow of several agencies and stakeholders in order to be most effective. Advancing a culture of accountability among multiple system

partners requires intentionality, planning, persuasion and perseverance.

The auspices for undertaking a review can be internal or external. In the case of Los Angeles County, the local governing body, the Board of Supervisors, ordered a program audit of the probation department. Additionally, in the state of New Hampshire, a local foundation allocated funding for a review at the request of state legislators. In Guam, a structure of subcommittees focusing on various aspects of juvenile justice reform had been constructed under the leadership of the Chief Justice of the Judiciary of Guam. Upon learning of the Probation System Review process, their leadership assessed that it could accelerate their efforts for practice reform. In Jefferson Parish, LA it was the department director himself who requested the review. Finally, in one Illinois

Benefits of Undertaking a Probation System Review:

- Reduce recidivism and improve other youth outcomes
- Identify opportunities to create workforce and fiscal efficiencies
- Update policies and practices to align with best practice research
- Identify opportunities for routinizing practices through the development of new policies or protocols
- Potential to re-allocate funds where they will be most effectively utilized
- Opportunity to engage and educate partners and stakeholders on the role of probation and best practice research
- Opportunity to meaningfully incorporate managerial and line staff ideas and concepts for practice improvements
- Create impetus and methods for developing effective data collection, reporting and analysis process
- Enhance quality improvement/assurance methods for probation, court, and programs and service interventions
- Define your probation department as a best practice leader in the field

jurisdiction, the Court Services Director and the presiding judge viewed the review as an opportunity to provide support or "cover" for practice reforms they sought to implement in an environment of resistance from practitioner staff. The RFK National Resource Center believes that the character of the review and the commitment to its recommendations is enhanced when it is the department itself that initiates the review. Where there is resistance or opposition, many approaches have been used to secure support and buy-in from leadership ahead of the launch of the process. In the end this is not to say that there is no value in undertaking a review that has an external impetus, but the departmental participation in and the management of the review is potentially richer when the review is internally generated.

ALIGNMENT WITH BEST PRACTICES

There has been much learned over the past twenty-five years about how individual offender rehabilitation relates to reducing recidivism (Andrews, et al., 1990; Gendreau, French, and Taylor, 2002; Andrews and Bonta, 2010). The lessons focus specifically on service and program interventions that reduce reoffending and increase pro-social behavior. As a result, among the most important policy reforms of recent years are the drive for evidence-based practice, which focuses on effective treatments, services, and supports for children and families, and the effort to establish systems of care to address the infrastructure of funding and linkages between services and programs. These themes have been embraced in educational, mental health, and child welfare policy reforms, as well as in juvenile justice systems (Lipsey & Howell 2010).

More recently, additional systematic research reviews reveal very important findings that should further inform future practice reform in alignment with best practices. First, deterrence-oriented programs that focus on discipline, surveillance, or threat of punitive consequences (e.g., Scared Straight–type programs, boot camps, and intensive probation supervision) on average have no effect on recidivism and may actually increase it (Lipsey, 2009). Second, many "therapeutic" programs and services oriented toward facilitating constructive behavior change have shown very positive effects - even for serious offenders (Lipsey, 2009; Lipsey and Cullen, 2007). Therefore, with reductions in re-offending rates and the associated benefits for public safety as the primary result for which juvenile probation and justice systems are accountable, the implications of the current research findings are that:

1. "juvenile offenders with low risk for reoffending should be diverted from the juvenile justice system;

2. juvenile offenders with moderate or high risk for reoffending should be subject to the minimal level of supervision and control consistent with public safety and be provided with appropriate, effective therapeutic services; and,

3. subjecting juvenile offenders to punishment beyond that which is inherent in the level of control necessary for public safety is likely to be counter-productive to reducing recidivism." (Lipsey & Howell 2010)

> **The Probation System Review assesses the system for alignment with the following best practice approaches:**
>
> 1. Adoption of a *Risk-Needs-Responsivity assessment* protocol.
> 2. Integration of *trauma-informed practices* throughout the delinquency continuum.
> 3. Implementation of *effective family engagement strategies* throughout the entire juvenile delinquency process.

In the current practice environment for juvenile probation, the research therefore helps to identify the primary desired function of probation officers. These include short-term risk management for probation clients supervised in the community and long-term behavioral reform that impacts recidivism reduction (Paparozzi and Hinzman, 2005). Additionally, we have learned that these public safety outcomes are best accomplished through attention to case management strategies involving a balanced combination of monitoring and oversight with targeted casework activities that includes focusing on the quality of interpersonal relationships – often specifically involving the positive relationship between the probation officer and the probation client.

The best practice approach also includes the commitment to the use of structured decision-making instruments that informs professional judgement at key decision points (e.g., risks-needs-responsivity tools), a continuum of graduated levels of supervision and responses to behavioral transgressions, monitoring that is integrated with effective

behavior change service interventions and programs, and an effective system of departmental management and supervision practices.

We also know that youth show up in the juvenile justice system with high rates of trauma exposure and active trauma symptoms. The research reflects that more than 80% of youth in juvenile justice settings have been exposed to more than one traumatic experience in their past (Greeson et. al., 2011). Those events can have significant impact on the mental health, physical health, behavior and responsiveness of youth with whom probation practitioners work. Given this prevalence, the use of validated screening instruments for active trauma symptoms and providing the appropriate care and interventions is yet another best probation practice that contributes to the desired pathway to success. Additionally, a juvenile justice system committed to family involvement and engagement ensures that there are flexible and authentic opportunities for families to partner in the design, implementation, and monitoring of the case plan for the probation involved youth. The research, derived from practical experiences in juvenile probation, has increasingly reflected that institutionalizing these practices help to realize improved desistance of delinquent behavior.

It is in this holistic framework that a juvenile probation department and juvenile justice system may realize the best likelihood to operate in effective and efficient ways that result in achieving its goals, objectives and outcomes.

Effective departmental management practices are often overlooked or minimized when assessing how to realize desired system and youth outcomes in alignment with best practice. Probation departments and juvenile justice systems are often primarily only accountable for levels of effort (e.g., outputs) and are therefore focused on "completing the designated process." Effective departmental management practice must involve clarity of mission and accountability measures (and the intention and capacity to routinely report outcomes), policies, and procedures. The alignment must also include a comprehensive training curriculum that ensures the probation and court staff possesses the requisite skills to practice the balanced approach with juvenile probationers.

It is unfortunate that often times little effort is expended on the relationship between professional orientation of probation officers and recidivism. According to recent research findings, the significance of the failure to examine the relationship between probation officer orientation and

the success or failure of probationers cannot be overstated (Paparozzi and DeMichele, 2008). The very foundation upon which the delivery of appropriate treatment services is based is flawed if the individuals and the managers operationalizing and overseeing the delivery of services are inappropriate role models, inflexible in their response to probationer relapses, or philosophically opposed to intervention approaches and expected interactions with probationers. Examining, understanding, and modifying, when appropriate, the professional orientations and attitudes of probation officers is a critical step in the adoption of evidence-based practices.

It is therefore critical to understand that when references are made to the comprehensive elements of the Probation System Review detailed in this Guidebook, alignment with best practices speaks to the research related to effective service and program interventions in combination with effective management, training and quality assurance for both the probation youth and the juvenile justice system.

Facilitation of the Review

The Probation System Review **must be organized and carried out by specifically designated individuals** whether they are outside consultants or individuals from within the jurisdiction of the review. For example, a probation department could designate one of its own employees with solid organizational, management, and analytical skills to develop and manage a work plan for the review or it could call on another organization within its jurisdiction that has personnel with a capacity to conduct organizational development activities. Whoever performs this function, it is critical that the person(s) be given both the time and the authority to keep the work plan and participants moving forward.

DEVELOPMENT OF A PROBATION SYSTEM REVIEW TEAM

The creation of a Probation System Review Team (PSRT) is the immediate first step in the review process. The team is integral to the successful administration and completion of the review and the importance of its role cannot be overstated. The collective function of the PSRT is to provide oversight and guidance on the scope of issues examined in

the review, identify desired outcomes and goals, discuss and refine areas requiring deeper analysis and collaboratively respond to the findings.

The PSRT will convene at every site visit and will typically participate in routine conference calls and ongoing electronic communications with the outside consultants between on-site technical assistance visits. The team should meet to discuss and collaboratively plan the agenda for the scheduled on-site visits. The PSRT should also plan specific review activities, analyze data on probation services and programs, receive and discuss findings from the Probation System Review activities, and discuss and consider ideas for improvements based on those findings.

In order for the review and implementation of the recommendations to be most successful, the following parties are **strongly encouraged** to be members of the PSRT.

- Director of Probation Services / Chief Probation Officer
- Deputy Director / Deputy Chief Probation Officer
- Probation Supervisor
- Presiding Juvenile Court Judge
- Prosecutor
- Defense Counsel
- Court Administration
- Special Court Supervisor(s) (e.g., Drug Court, Mental Health Court)
- Diversion Program Coordinator

These entities represent the ideal minimum members of the PSRT. However, each jurisdiction should thoughtfully consider who else should be on the team and identify all the major partner affiliates that influence the key decision points in a youth's process through the delinquency system.

DESIGN AND WORK PLAN

The design of the Probation System Review follows the framework detailed below. However, areas of emphasis may be identified through discussions with the PSRT and other leadership focusing on the most critical issues that are confronting the department. A review may also be prompted by concerns that have been raised in the broader community about a department's functioning or the handling of a particular high-profile case. Whatever the impetus, it is important that time be taken to "brainstorm the issues" and determine the priorities for review. Consideration should be

given to the amount of time a jurisdiction has to undertake a review and what personnel resources will be available to organize and lead the review. This manner of preparatory exploration of key issues will clarify several factors that will impact the nature and scope of the probation system review. These include:

- impetus for the review,
- project scope (including the timeframe for completion and the resources to be used in the review),
- goals, objectives and outcomes for the probation department and the review, and
- organizing the issues into the framework of elements depicted in the Probation System Review Guidebook, 2nd edition.

As previously indicated, the issues for review were originally organized into four elements. Over the past decade, these elements have provided a well-organized and comprehensive framework for the review and analysis. In this edition of the Guidebook, these elements have been renamed to more precisely capture the overarching focus of each. However, the scope of issues addressed in the review remains the same. The elements are:

1. Administration
2. Probation Supervision
3. Intra- and Interagency Work Processes
4. Quality Assurance

Within each of the elements, the statement of work should describe the importance of the particular element to the jurisdiction, the questions that are to be answered and the methods that are to be used.

It is also important to highlight that the comprehensive nature of the Probation System Review will intentionally seek to identify current strengths in policy and practice. In all elements of the review these areas are sought so that the PSRT and participating staff may routinize and replicate those positive practices across their probation and juvenile justice system. Additionally, it is the perspective of the RFK National Resource Center that we must share those strengths and successes with other jurisdictions across the country.

METHODOLOGIES

A critical part of the Probation System Review is deciding which methodologies will be most effective at identifying

areas of the probation department's policies and practices that are in need of improvement or those which solidly align with current best practice. The identification of which methodologies to use should be accomplished by the individuals charged with organizing and carrying out the review in tandem with the leadership of the PSRT. Careful consideration of the chosen activities by these persons not only assures access to the people or documents needed for the particular activities, but also encourages ideas about the best way to conduct each selected analytical and review methodology. Following is the array of methods that can be used and are routinely employed by the RFK National Resource Center to examine the four elements of the review. These methodologies have been used in multiple jurisdictions and have been integral to developing the final findings and recommendations.

Document Review

An important methodology used to review the mission, vision, strategies, policies, and procedures of the probation department is a document review. It is particularly useful to direct significant attention to an analysis of the probation officer's manual and to any memorialized compilation of policies and procedures since these core documents should be guiding the probation work on a day-to-day basis. A review of these documents should focus on the probation department's strengths, weaknesses, and areas for improvement and continually answer the following two questions:

- Do the documents reflect the mission, vision, goals and sought outcomes of the probation department?
- Do the documents provide a detailed description of how these foundational elements connect to the daily operations of a probation office?

Specific attention will also be given to whether the documents reflect a focus on juveniles and their unique developmental needs as supported by current research. It is not uncommon to find that these manuals have not been updated to reflect an understanding of the key tenets of adolescent development and the corresponding policies and procedures that translate the science and research into practice.

In addition, other written materials such as the following will be reviewed as needed:

- Annual report
- Statistical reports detailing prevalence, case characteristics, and outcomes
- Probationer case files
- Standard probation orders
- Information sharing agreements
- Authorization/Consent for release of information
- Memoranda of understanding with stakeholder agencies (schools, behavioral health providers, etc.)
- Service contracts
- Strategic plans

The examination of these documents will help determine how well they support and reflect best practices for probation services and whether there are opportunities to improve upon or add to the guiding documents of a probation department.

Key Stakeholder Interviews

It is important to meet with internal and external stakeholders and agencies to determine what their experience has been working with the probation department. The PSRT should work with a set of questions focused on interactions or transactions with the department and interagency work processes (see Appendix A for a list of sample questions).

Interviews with key stakeholders can take place in a group setting or with individuals and should be held early in the review process to ensure comprehensive examination of the issues identified in the 4 major elements of the review process. This method is also designed to solicit input on additional concerns or strengths (e.g., operational, philosophy, practices, etc.) from stakeholders external to the probation department. These key external stakeholders should be identified in concert with the PSRT. This process provides a finding in and of itself by identifying who the department's leadership believes is important to the examination and functioning of the department. It may also be important to get a perspective from individuals outside the department about other key stakeholder groups that

could provide additional information on the department's practice. Key stakeholders may include:

- Judges
- Police
- Children's Services
- Court Administration
- Mental Health
- Substance Abuse
- Prosecutor
- Defense Counsel
- Schools
- Private Providers
- Agency Directors
- Therapists
- School Resource Officers
- Others as identified

Employee Survey

The use of an employee survey presents a critically important opportunity to get input from the probation staff. The anonymity of an employee survey provides the best method for the examination of many different areas of current practice and the honest reporting of opinion, concerns, ideas, and recommendations.

At a minimum, it is recommended that an electronic survey of employees include probation officers and their supervisors. The survey is routinely comprised of closed-ended questions, asking respondents to reflect strength of agreement or disagreement with statements about practice, followed by open-ended questions designed to elicit more expansive responses. The scale for responding to the closed-ended questions can include a range of responses such as: *strongly agree, agree, disagree, strongly disagree,* and *do not know*. Appendix B is the employee survey that was used in Jefferson Parish, Louisiana.

The open-ended questions (Appendix C) called for the respondents to identify particular areas that could be improved. These areas included delivery of services to probationers, operations of the department, and the work experience of the probation officers. All of the survey questions were developed in partnership with the PSRT. The participants in the survey are not identified with their responses and the open-ended questions should be reported

in summary manner with care to omit survey respondent identifiers.

The results of the survey are brought back to the probation department staff and are examined in greater detail, focusing on significant trends and large variances in the responses. This probative follow up discussion serves to corroborate and/or clarify areas of significance and provides an opportunity to assess for consensus or disagreement on noteworthy topic areas. This meeting provides another valuable opportunity for the probation staff to partner in the review and to introduce alternative practices which could improve their work with probationers, their department and other stakeholders.

Employee Survey Categories:

- Pre-disposition Investigations
- Case Supervision
- Departmental Management and Supervision
- Resources and Service Delivery
- Best Practices
- Client Outcomes
- Interagency Relationships

Process Mapping

A process mapping exercise with a select group of probation officers and/or probation managers is an invaluable opportunity to analyze interfaces, handoffs, bottlenecks, and other case flow issues for youth involved with the probation and juvenile justice system. Using a well-defined protocol (see Appendix D), this exercise becomes the anchor for the entire review process and identifies key decision points and the practices that inform them (See Appendix E for an example process map). The case flow mapping exercise can initially be accomplished by viewing or constructing a case-flow process for the juvenile justice system. The key decision points will be identified toward the goal of collectively clarifying professional staff responsibilities, mandates, and expected products and outcomes that support improved decision making at each key step. Against an established consensus for the probation system's goals, this mapping process creates an understanding of the most appropriate

decision points and practices around which improvements or reforms may be developed and/or planned on behalf of youth involved in the probation and juvenile justice system.

The process mapping methodology is also very useful when holding supplemental meetings with outside agencies to gain external perspectives on interagency work processes. Issues identified during the process mapping exercise are used as targeted topics for discussion with the PSRT and system stakeholders and highlight areas of practice that require further analysis.

Goals for Process Mapping:

- Understand the steps in the various system and court processes
- Identify what happens (action), who is responsible (decision), and what output or outcome is expected or produced at each step (product)
- Discuss/Assess the quantity and/or quality of the information being gathered and utilized in each step of the process
- Identify process gaps
- Identify necessary resources (workforce and program)
- Identify what is and is not working in the juvenile justice and probation system

Meetings with Department Director and Supervisory/Managerial Staff

Whether the Probation System Review is conducted using outside consultants or individuals within the department charged with organizing and carrying out all the review activities, it is important for those individuals to meet regularly with the probation department director and supervisory or managerial staff. These meetings should include discussion on the progress of the review, the director's expectations of the review, and suggestions for addressing many of the findings as the review progresses. This provides the dynamic opportunity for any needed remedial actions on the part of management without waiting for the final report of the review to be completed.

Probation Officer Group Interviews

If the review is conducted by outside consultants, an important additional method to gain information from the probation officers, and to gain the trust that their participation in the review is a meaningful activity, is to extend an open invitation to all probation officers in the Department to meet with the consultants without any of the probation supervisors or managers present. The purpose of the meetings are two-fold: 1) to discuss the process map and how daily practices align or deviate from the written flowchart; and 2) to share results of the employee survey and to develop more clarity for the interpretation of the survey responses. The method encourages an open meeting to discuss perspectives and information that the probation officers believe is pertinent to the probation system review. In summary, this review method permits a critique of operations and practice while encouraging recommendations for improvements and reform.

Focus Groups

The conduct of focus groups is a useful method for obtaining the input of parents, youth and the additional consumers of probation services (e.g., victims, law enforcement, etc.). The focus group discussions should be guided by a set of questions for the parents (see Appendix F for sample questions) and a set of questions for the juveniles (see Appendix G for sample questions), and other targeted groups to ensure coverage of similar or the same issues, thereby potentially adding more value to the collective feedback.

Soliciting participation in the focus groups can often be a challenge. Jurisdictions may consider alternative opportunities to hear from parents, youth and other groups. These might include individualized interviews with particular clients or requesting that parents and youth complete an exit survey of their experiences during the probationary period. It might also consider non-routine business hours to accommodate variable schedules for focus group participants.

Youth Outcomes and System Performance Capacity Development

The identification of relevant and useful data to support a probation department's ability to report on achievement of desired outcomes and system performance is critical to the Probation System Review process. There is frequently an

obvious need for an intensified focus on core data that will improve the long-term capacity of states and local sites to collect, manage, and track outcome and system performance measures for probation involved youth. Therefore, this methodology focuses on two aspects of data collection: management and reporting.

First, using guidance published in a data planning article published by the RFK National Resource Center in 2014 (Siegel, 2014) which organizes suggested data questions and data elements into eight general categories, the PSRT (supported by additional expert personnel, e.g., information technology, data analyst, etc.) will populate a working grid (see Appendix H) to identify the most relevant data elements and questions that will inform everyday practice, population trends and characteristics for routine managerial oversight, and outcome (youth and system) reports.

Second, the probation managers and officers will participate in an examination of measures and outcomes related to probation officer performance. With guidance from the PSRT and input from the probation managers and officers, a scan of current indicators that are used to measure and evaluate probation officer performance is developed. The next step includes a facilitated group meeting with the probation officers and supervisors to determine:

- What are the desired outcomes for probationers?
- What factors affect the achievement of those outcomes?
- What is used to measure the achievement of outcomes?

After these exercises are completed, a subsequent review and analysis is conducted to identify how and if the performance indicators relate to the achievement of desired client and system outcomes. The analysis is designed to ensure that probation officer activities are effective, efficient and aligned with practices that positively impact youth outcomes and system performance.

Elements of the Probation System Review

ELEMENT A: ADMINISTRATION

The review of program planning and implementation focuses on a probation department's policies, procedures, and operations, as well as how probation practice is carried out as reflected in the feedback from probation officers, stakeholders, and consumers. The analysis is followed by descriptions of a department's operations and covers training, management practices, and probation practices. Probation practices include probation supervision, service delivery to probationers and a qualitative and subjective exploration of the various views, perspectives, and philosophies held about probation practices.

Issues

Some of the key issues in this review element may be:

1. whether the probation manual is a relevant guide for daily practice

2. how management practices contribute to the overall functioning of a department

3. how the design and delivery of training support desired probation practices

4. whether probation supervision is effectively carried out and whether services to probationers are effectively delivered

In addressing departmental practice and implementation in Element A, the review begins with an analysis of policies, procedures, and operations that govern the administration of the department. Specifically, the Probation System Review Team and other stakeholders examine how probation practices are informed and guided by its memorialized documentation related to departmental leadership, managerial oversight, supervision of clients, and training. This is also the initial opportunity to ensure that the review is significantly informed by feedback from probation officers and relevant stakeholders (e.g., judges, prosecutors, public defenders, etc.).

Questions that guide this part of the review within Element A include:

- Do the mission, vision, policies and procedures link well to each other, reflect best practices for achievement of youth outcomes, and connect to daily juvenile probation operations?

- Are the policies, procedures and desired youth outcomes articulated in a current manual or compilation of standard operating procedures (SOP)?

- Is the role of probation officers defined within those documents (e.g., enforcement, supporting positive behavior change, balance of both)?

- Is there a routinized system of managerial oversight that contributes to fidelity of best practice among all staff within the department and among its partners?

- Is there a training curriculum that ensures staff is effectively trained to use the best practices to achieve those articulated goals and outcomes?

These questions can be challenging to examine and the answers difficult to digest, however they must be explored in light of the PriceWaterhouseCoopers research study on effective business and organizational practice reflecting that "to be effective, an organization must have a clear mission that undergirds the strategies that guide its daily operations, and the policies, procedures and protocols that govern the daily operations must also be included."[2] The research indicates that "high-performing organizations reported 31% greater effectiveness overall when vision, mission and values statements were clearly articulated and accountability plans were incorporated into a management strategy."[3] In the human services field, that 31% translates to improved youth outcomes.

Data Sources and Resources

To determine whether the probation manual is an effective guide to daily practice, the PSRT needs to systematically analyze its content and elicit feedback from its users. The manual should serve as the foundation document to guide the probation officers' work. It should detail the operational

---

2   Aligning strategies for people and business. Retrieved originally March 10, 2010 from http://www.pwc.com/nz/en/clever-companies/hr-best-practices.jhtml#alig

3   Ibid.

functions of the probation officers and direct them to carry out their roles and responsibilities for probation supervision and treatment. In addition to the manual itself, additional sources include employee survey responses about the manual, key stakeholders' views of probation officers' daily functioning, and the views of supervisors and probation managers about the manual's utility. Authoritative resources should guide the manual review, including the statutory framework under which probation practices are mandated to function. Additionally, national guidelines from resources such as the American Probation and Parole Association and BARJ (Balance and Restorative Justice) principles or the Desktop Guide to Good Juvenile Probation Practice (revised 2011, National Council of Juvenile and Family Court Judges) can assist in this activity.

In the review of how management practices contribute to the overall functioning of a department, the examination should be based on the foundation (or best practice standard) that a department has in place 1) a carefully articulated mission and vision, 2) a clear set of strategies to achieve the mission and vision, and 3) corresponding policies and procedures that clearly direct and evaluate the staff in its performance. Both the managers and the probation officers are significant sources of information in the review of management practices. The management can be guided through self assessment and executive coaching to identify the strengths and weaknesses of its management practices. The employee survey responses provide a good source of data to evaluate the management practices, as do the group interviews with probation officers and supervisors. Effective management is also characterized by a coordinated system of routine managerial meetings and communication forums, including supervisory and line staff, inter- and intra-agency partners, community members, and key policy makers. A source for assessing the department's current structure and capacity in this area is the Management Oversight Practices / Communication Grid and can be found in Appendix I. Authoritative resources from literature reviews on management practice can also serve to illustrate effective management practices.

Sources for the review of the design and delivery of training to support probation practices should include a complete review of the training curriculum (see Appendix J). This review will examine pre-service, orientation, in-service and special skills and all corresponding training materials. The training curriculum should at a minimum encompass the scope of activities contained in the probation manual. It should help the probation officer to understand his/her role and the tools and resources that need to be employed to effectively carry out that role. The probation officers themselves are a valuable source to identify the training strengths and weaknesses. This input can be accomplished through a review of the employee survey responses and in conversation with the probation officers. Authoritative sources for training of probation officers include:

- American Probation and Parole Association (APPA) whose mission is the development and delivery of training programs to enhance its constituents' knowledge and skills for providing more effective community-based probation and parole services. While the majority of emphasis has historically leaned toward adult corrections, the APPA has a myriad of grant-funded projects that produce numerous training programs on a variety of topics relevant to the community supervision field. These trainings are delivered in traditional classroom settings or via various distance learning technologies.[4]

- National Council of Juvenile and Family Court Judges (NCJFCJ) whose publication, *Delinquency Prevention Guidelines: Improving Court Practice in Juvenile Delinquency Cases,* is a guide for juvenile delinquency court judges and juvenile delinquency system professionals. Specifically, in Chapter XI: Probation and Parole Violations (pp. 193-198), valuable guidance and instruction are provided for probation and court staff, designed to enhance practice and outcomes (National Council of Juvenile and Family Court Judges, 2005).

- The National Institute of Corrections (NIC) is an agency within the U.S. Department of Justice, Federal Bureau of Prisons. A 16-member Advisory Board was established by the enabling legislation (Public Law 93-415) to provide policy direction to the Institute. The mission of the agency is to act as "a center of learning, innovation and leadership that shapes and advances effective correctional practice and public policy." The outcomes of NIC's activities contribute significantly to the achievement of state, local, and federal correctional goals and priorities, including enhanced organizational and professional performance; enhanced services through improved organizational and staff effectiveness; and community, staff and offender safety.

---

4   APPA sponsored training events can be accessed at (click Training tab): http://www.appa-net.org/eweb/DynamicPage.aspx?WebCode=IA_Introduction

This element of the review examines whether managerial and supervisory practices are in place to ensure that probation supervision is effectively carried out and to assess whether services to probationers are effectively delivered. The sources and methods for this aspect of the review include the employee survey, stakeholder meetings and interviews, and focus groups with parents and probationers and are reflective of the importance of informing the review through staff and consumer feedback. Review in this arena can include an examination of the probation officer's role, assignment of cases and levels of supervision, and working conditions. The review of the actual delivery of services to probationers should include the capacity to deliver services, assessment and referral to services, resources and unmet needs of juveniles, and reports from juveniles on their probation experiences. Authoritative sources should include a department's own reports of its metrics for the delivery of services, covering not just the probation processes (completion of reports, number of contacts with probationers, etc.), but also its progress with the provision of treatment resources and achievement of related intermediate outcomes.

> ### JURISDICTIONAL EXAMPLE: Territory of Guam
>
> In the Territory of Guam the PSRT worked with the RFK National Resource Center consultants to review documents and manuals that covered training, management practices, probation supervision, and methods of service delivery to probationers. As a result, in the midst of the ongoing review a revised mission and vision statement was adopted and clearly articulated system and youth outcomes were developed (see Appendix K). After receipt of the final report of recommendations, the Guam PSRT began the development of a revised Probation Division Manual that includes policy, procedures, and practice guidance for the juvenile probation division; revised their definition of recidivism to be "both measurable and achievable"; drafted a revised training curriculum for probation staff; and articulated a clear training and practice plan for more effective family engagement.

Potential Findings and Recommendations

A jurisdiction will likely find the greatest volume of findings and recommendations in the Administration element because the areas of examination are the foundation upon which probation practices stand. It is possible that a jurisdiction will find that, absent a recent update, it needs a significant overhaul of its manual, or that its probation officer roles and responsibilities are not as clear as they need to be, or that its training curriculum is in need of updates and revisions. The recommendations that flow from these findings may be extensive and should be specific and provide clear direction as to the next steps a department might take to improve its practices.

ELEMENT B: PROBATION SUPERVISION

The review and analysis of probation supervision practices and approaches includes the decision making processes throughout the juvenile justice system (e.g., arrest, referral, adjudication, disposition, case planning and management, revocation, case closure) and the resulting assignment and oversight of particular groups of probationers in specific programs against the best practices standards (see Appendix L). The review necessarily focuses on the department's capacity for probation supervision and practice development and improvement.

Issues

Some of the key issues in this review element may be:

1. analysis of the probation officers' approach to supervision, the role of the probation officer, their day-to-day tasks and how they connect to desired youth outcomes

2. review of professional staff responsibilities, mandates and expected products and outcomes that support improved decision making at each key step

3. analysis of decision making processes and the assignment and handling of particular groups of probationers (e.g., risk levels, special populations) in specific programs

Questions that guide this part of the review within Element B include:

- How are cases assigned to probation officers?
- What role does the probation officer play in the life of a probationer?

- Are supervision levels matched based on risks and needs through structured decision making tools?
- How are services matched to a youth's needs?
- What products are the probation officers' responsible for creating? How are they used?
- What are the supervision criteria for each probationer group?
- How clearly are client outcomes identified for each probationer?
- How do probation officers' tasks connect to desired youth outcomes?
- How is staff evaluated? Based on what criteria?

Data Sources and Resources

To determine whether decision making processes are clearly articulated, understood, and accompanied with corresponding tools, the PSRT should:

- undertake a file review of sample cases
- analyze the department's use of screening, assessment and other decision making tools (see Appendix M)
- consider the responses from the employee survey, designated focus groups, and court system stakeholders

The PSRT should also consider how the organization is structured to make key decisions about probationers (e.g., whether all of its probation officers should conduct assessments and make corresponding recommendations regarding individual probationers or whether this function should be performed in a separate assessment unit). Authoritative resources for this review area include the American Bar Association (ABA) Joint Commission on Juvenile Justice Standards as well as a department's own reports of the effectiveness of its decision making and assessment practices.

How the methodology and performance for particular programs is supported by data and best practices can best be reviewed by examining a department's own data sources and the literature on evidence-based practice. Data development and getting an effective data collection system in place is a challenge for most probation departments. This is a critical review component to enable and assure that data drives and augments professional judgement toward effective probation practice. The questions the PSRT must ask include 1) whether it has data about the characteristics of youths placed in particular programs; and, 2) whether it has data about the outcomes achieved by youths in each of the programs in

a way that is sufficient to assess the effectiveness of its programs. If the answer to these questions is "no," then the review team needs to address what data development needs to take place and develop corresponding recommendations.

Determining how well a department understands and employs best practices and evidence-based practices related to probation assignment and balancing supervision and monitoring with support for positive behavioral change can be accomplished in this portion of the review. This task can be accomplished by examining the responses to the employee survey and through group interviews with probation officers. It can also be supplemented with file reviews to assess how well structured decision making tools are tied to treatment and supervision recommendations. Another important method involves solicitation of input from other key stakeholder interviews to ensure the full spectrum of perspectives regarding the department's challenges and most promising programs and practices.

JURISDICTIONAL EXAMPLE:
Ogle County, Illinois

The Ogle County, Illinois PSRT included the judge, prosecutor and probation staff in the examination of perceived and actual practice at each key decision point. The PSRT had entered the review process knowing they were committed to exploring the increased use of structured screening for risk which could then be used to inform alternative responses to formal prosecution and potential diversion opportunities at the initial prosecutorial consideration of the case trajectory. The parties collaboratively discussed the implications of instituting a revised screening process and agreed upon a new policy/practice.

The review methodology is dynamic and often results in a change of practice or enhanced use of risk-needs-responsivity tools to inform key decisions (pre-petition, pre-trial, pre-adjudication, pre-disposition and post-disposition) well in advance of the final report of findings and recommendations. For example, as a result of effective leadership by the PSRT, mid-review improvements have occurred during work in Jefferson and Twin Falls Counties, Idaho and Newton County, Georgia, among other current or past jurisdictions who have partnered with the RFK National Resource Center Team to conduct the probation system review.

Potential Findings and Recommendations

Once again, the findings and recommendations will be unique to each jurisdiction. However, the history of the Probation System Review process suggests that the likely focus areas for further examination and improvement will include:

- examination/improvement of decision making tools (e.g. screening and/or assessment instruments, court reports, court process, etc.),

- examination/improvement of the criteria or methodology for the assignment of youths in particular types of court intervention or programs,

- examination/improvement of probation supervision strategies and methods and the corresponding oversight of same,

- undertaking significant data development efforts so that it has the data to inform itself of its effectiveness, or

- constructing a new or improved benchmarking system for internal system performance, probation youth outcomes, or service provider results.

ELEMENT C: INTRA- AND INTERAGENCY WORK PROCESSES

Work processes impacting system performance and youth outcomes in probation and the juvenile justice system involve major sets of interconnected activities through which decisions are made and services are delivered. In order to be effective, these processes must be well conceived, clearly articulated, coordinated, and subject to periodic review and monitoring to ensure effectiveness and efficiency. Most often the work processes depend on the cooperation of many inter-related parts of the probation department as well as a wide array of outside organizations. Efforts to review these work processes will involve examination of various professional roles inside the department, within and across other public agencies, throughout the Court, and with private provider agencies.

Issues

Some of the key issues in this review element may be:

1. how the case flow process functions within a department and whether key information is available at critical decision making points

2. whether the relationship with the Court is clear and functioning well in terms of roles and responsibilities

3. how interagency processes function from the perspective of the department and the key agency partners and how linkages can be strengthened

4. whether ongoing forums exist to resolve issues between a department and other agencies

Questions that guide this part of the review within Element C include:

- Are the roles and responsibilities of all the court partners reflected in policy or protocol?

- How effective are the linkages between the court partners and Probation?

- What is the nature of the relationships with outside stakeholders and partners?

- Is there a service/treatment referral protocol?

- How effective is the service/treatment referral process?

- What information do the service/treatment providers receive?

- Are communications and client progress updates meeting the needs of both parties?

- Are there cross system collaborations and communication forums?

- What regular forums exist with stakeholders and providers for troubleshooting and problem solving?

In Element C, the review is concerned with examining the intra- and interagency partner relationships that impact practice and ultimately system performance and youth outcomes. Heretofore in this Guidebook, we have identified specific jurisdictional examples to highlight particular review activities. However, since this topic area is examined in every jurisdiction through the lens of *all* of the relationships that are critical to the effective functioning of a probation department, below is a brief listing of the kinds of issues that have presented themselves with those stakeholders and partners in jurisdictions in which the RFK National Resource Center's consultants have worked in the past decade:

PROBATION PARTNER	ISSUES / PRACTICES
Law enforcement	Investigation and processing timelines for non-detention and detention arrests
Prosecution	Criteria for petition and/or alternative response decisions; timelines for filing; probation officer duties in informal adjustments and/or diversion
Judicial	Disposition and probation order practices, probation officer expectations
Courts	Notification processes, case processing/ hearing timelines, reporting requirements
Education/School Systems	Disciplinary policies, school resource officer practices
Service Providers	Referral processing; coordination of participation and treatment summary information; outcome-based contracting

While not all relationships will result in concerns that require revisions or reform to practice, the framework of this review calls for an exploration of current policies and procedures that affect each of these youth serving relationships.

Data Sources and Resources

To determine how the case flow process functions within a department and whether key information is available at critical decision making points, it is useful to identify a select group of experienced probation officers to analyze the intra-agency case flow process. This can be accomplished using a mapping exercise modeled on the Cross Functional Process Map from Robert Damelio's book, The Basics of Process Mapping (1996). Process mapping allows members of an organization to:

- analyze interfaces, handoffs, bottlenecks, and other case flow process issues
- identify information available at each point
- compliment on what works well
- identify any areas needing improvement, and
- identify what performance measures should follow from the desired work processes (Damelio, 1996)

The mapping process should consist of identifying probation officers' actions in each of four functions (e.g., referral/intake, pre-adjudication investigation, adjudication and disposition, and supervision), the decisions to be made, and the resulting products. This method maximizes opportunities to learn about the multiple perspectives of probation officers.

To determine whether the relationship with the Court is clear and functioning well in terms of roles and responsibilities, the best sources of data are the responses to the employee survey, group interviews with probation officers, and interviews with the judges and court personnel who are part of the key stakeholder group. Since this relationship is so important to the overall functioning of a department, this part of the review provides an excellent opportunity to reexamine the roles and responsibilities of the probation officers in relation to the court, the flow of paper and information between a department and the court, the comportment of both probation officers and judges in relation to one another, and the level of satisfaction on the part of the department and the judges regarding the relationship.

The functionality of interagency processes and linkages with outside agencies, contractors, and community-based organizations (see Appendix L) should begin with a determination of the current effectiveness, strengths and opportunities for improvement. The data sources for this determination include key stakeholder interviews, focus group or stakeholder meetings with outside agencies, employee survey responses, and meetings with supervisors and line staff.

Whether ongoing forums exist to resolve issues between a department and other agencies is an additional critical question to answer. The character of the relationships between a department and other agencies is ever changing due to developments in law, policy, and practice. These changes can jointly and individually impact each of the entities. It is therefore critical that forums be in place to resolve problems and modify practices. A probation department should have in place open forums for broad communications (announcements, personnel and policy changes, etc.); representative committees that meet regularly to do problem solving, potential problem solving, and joint policy development; and interagency agreements to specify actions that are to take place on a regular basis between agencies (for information sharing, joint protocols, etc.). If

these do not already exist, the Probation System Review is a good opportunity to specify the need for their development and support methods to effectively implement these priority communication forums.

Potential Findings and Recommendations

In the intra- and interagency work processes review element, a department may find that there are hidden problems in the relationships within and outside the agency. It may find that the review only serves to highlight those problems that were already known. Whichever is the case, the review presents a fresh opportunity to look at and improve these relationships. A department may find that there are unnecessary steps or paperwork in its interagency work processes that slow the process and frustrate its probation officers in the performance of their functions and duties. Or, it may find things such as the referral process to outside agencies needs strengthening or the feedback from the providers regarding the treatment process is lacking. A department may recommend that its forums for resolution of ongoing issues, both internal and external, need to be strengthened in order to improve its intra- and interagency relationships. The findings may also yield particular relationships that feature strengths that can and should be replicated in other interagency interactions. To be certain, it is clear that relationships and history of interaction must be examined to determine how they may be affecting the practices – and thereby impacting achievement of positive results. However, it is important to note that the primary focus of this area of the review is directed toward the development of enhanced policy and protocol language to ensure the sustainability of the practice improvements.

ELEMENT D: QUALITY ASSURANCE

Probationers' achievement of successful outcomes should be the main business of any probation department and the gravitational point around which all of the probation officers' activities center.

It is important to note that the review work conducted in Element D is also supported by and integrated with the

analysis completed in Element A related to the routinized system of managerial oversight that contributes to fidelity of best practice among all staff within the department and among its partners. This combination of findings and recommendations provides the best opportunity to realize the goals of sustainable quality assurance.

Issues

Some of the key issues in this review element may be:

1. whether a department has established clear definitions for the various recidivism measures associated with their goals (e.g., closed probation cases, successful completion of probation terms, diverted youth, special populations, and court programs, etc.)

2. whether a department is focused on the achievement of intermediate outcomes related to positive behavioral change in addition to recidivism

3. whether a department has developed a clearly articulated set of client outcomes

4. how a department measures and evaluates worker performance

5. how worker performance and its measurement are related to desired outcomes

6. how a department is ensuring fidelity to their use of a risk screening tool and/or risk-needs assessment (see Appendix N)

The Probation System Review does not prescribe a set of youth outcomes for participant jurisdictions. The outcomes, measures and benchmark goals for each probation department and corresponding juvenile justice system should be developed and prioritized in consideration of the baseline data, characteristics (e.g., age, gender, race, offense type, etc.), policy and statutory mandates unique to that jurisdiction. However, the Probation System Review process does prioritize a group of client outcomes that align with results likely sought and achieved by the implementation of best practice approaches and practices. Many of these outcomes have been

"The achievement of successful outcomes first depends on a careful identification of what outcomes are sought; second, an examination and address of the factors that affect achievement; and third, the development of a measurement system to document achievement. The importance of the third item, or performance measurement, cannot be overstated because often what gets measured is what people value and where they focus their efforts."

(Los Angeles County Probation Program Audit report, p. 46)

mentioned throughout this publication but are offered here as a comprehensive, but not exhaustive, list for jurisdictions to consider:

- **Recidivism** (post-closure [by level of risk]):
  - » intensive supervision
  - » diversion
  - » informal adjustment/alternative response
  - » specialty court
  - » unique target populations (e.g., girls, minority, young offenders)
- **Program completion rates** (including all of the above, and):
  - » restitution
  - » community supervision
  - » special skills training programs (e.g., law education, special skills competency training, etc.)
- **Behavioral domains** (specifically identified in relation to the risk-needs tool(s) used, but including):
  - » education
  - » mental health
  - » substance abuse
  - » pro-social connections
  - » family functioning

In addition, since the Probation System Review focuses on system performance, the following outcomes are examined for appropriate alignment with best practice and the jurisdiction's population characteristics:

- **Length of probation terms** (e.g., by risk level)
- **Reductions in:**
  - » detention rates
  - » length of stay
  - » technical violations and rates of revocations
  - » secure correction commitments
- **Establishment of case processing time standards for each key decision point in the life of a youth's case:**
  - » arrest-referral (detained and non-detained)
  - » intake-initial hearing
  - » initial hearing-adjudication
  - » adjudication-disposition

The examination conducted under Element D that addresses system performance measurement and client outcomes is also intended to focus on worker performance, the completion of particular case processes, and setting and

measuring client outcomes. The context for this discussion is prioritized toward identifying the activities that have a clear and positive relationship with sought youth outcomes and system efficiency and effectiveness. The analysis is not intended to result in an evaluation of individual worker performance.

This review element also provides an opportunity to structure a performance measurement system for the array of service provider partners through the implementation of a performance-based contracting process. This ensures that the community partners (service providers) are effectively delivering treatment interventions that are contributing to or producing desired youth outcomes.

Questions that guide this part of the review include:

- What performance measures exist presently for the completion of specific case processes (e.g. meetings with probationers, collateral contacts, and timely completion of reports)?
- Has the probation department clearly articulated a set of client outcomes?
- What measures exist for the achievement of successful client outcomes?
- What measures exist for the case assignment and caseload standards?
- Do client outcomes drive probation practice and activities?
- Do treatment providers know what outcomes are expected of their interventions with probationers?
- How are client outcomes identified in the individual case (intermediate and long-term outcomes)?
- What results are achieved by the current programs and practices?
- Are the programs and practices of the probation department the best that can be provided and are the programs carried out in an effective manner?
- How do the practices relate to national standards for delivery of probation services?

Data Sources and Resources

To determine whether a department is focused on the achievement of intermediate outcomes in addition to recidivism, the key sources of information will be its own internal performance reports, responses from the employee survey, and interviews with key stakeholders. While recidivism

cannot be ignored since it relates to the public's expectation regarding the role of the system and public safety, there are a number of other factors that influence whether the juvenile commits additional offenses. In fact, intermediate outcomes (e.g. enrollment in school, paying restitution, entering into treatment) may be more directly related to the performance of the juvenile justice system (Thomas, NCJJ, 2006, p. 3 citing to Petersilia, 1993 and Dilulio, 1991).

Determining how a department measures worker performance can be accomplished by looking at the reporting measures it uses for overall departmental performance and by looking at the performance review instrument for probation officers. Often the performance indicators will focus primarily on the measurement of case processes (e.g. number of monthly contacts, timely completion of reports, other timely completion of forms, etc.). A related issue is consistency in the measurement of performance. This refers to whether the standards that constitute good performance are clear throughout a department and whether the performance measures are consistently applied by each supervisor using tools that reflect those standards. "Performance measures tell us where the organization is relative to its goals, how well the organization is doing, and point to things that can improve the organization's effectiveness. Ultimately, we measure to improve the performance." (Thomas, NCJJ, 2006, pp. 2-3)

Whether a department has a clearly articulated set of outcomes can be determined through the employee survey responses and in group interviews with supervisors and probation officers. A department may have in place several documents that identify desired outcomes for probationers in the individual service plans, probation conditions, and recommendations to the court. The key is to determine whether the probation officers themselves can articulate the outcomes they seek for probationers and then make sure that the documents, tools, and activities in which they engage direct their performance toward achievement of the articulated outcomes.

The Probation System Review can utilize an exercise with the department managers and supervisors to determine how worker performance and its measurement are related to desired outcomes. The steps of that exercise are detailed as follows:

1. list the desired outcomes and all of the factors that affect achievement of those outcomes;

2. develop a list of probation officer actions that could relate to the achievement of those outcomes (see Appendix O: Jefferson Parish Probation Officer Evaluation Form);

3. review the list of desired outcomes against the tools they use (e.g. individual service plans, probation conditions) to identify outcomes for individual probationers; and, finally,

4. review the department's performance reports and measures to determine how they relate to desired outcomes.

Examples of Youth Outcome Benchmarks

X% of youth will recidivate (include definitions)

X% of youth will be referred to evidence-based programs when service referrals are necessary

X% of youth will complete probation successfully

X% of youth will realize improvement in behavioral domains after re-assessment and prior to case closure

X% of youth will be revoked for technical violations

X% will be removed from community supervision and placed in secure placement

Examples of System Performance Benchmarks:

X% of low-risk cases will be processed in an alternative manner (e.g., diversion, informal adjustment, etc.)

X% of youth will be screened for trauma

X% cases used a structured decision making tool to guide key decisions (e.g., case processing, planning, and service interventions)

X% of cases will reach disposition within 60 days of referral

X% of case plan referrals will be completed within 10 days of the development of the case plan

X% of the time treatment is initiated within 30 days of the development of the case plan

X% of cases were reassessed using a structured risk-needs tool every 6 months

X% of probation revocation decisions are guided by a graduated response tool

There are also several indices to consider when examining whether benchmark goals and outcomes exist for a department's programs and practices. The first consideration is whether a department has the data to inform itself about the programs and practices that are promising and effective. Next, the review team should consider whether the probation department has identified what probation staff and department activities and responsibilities it wants to measure. The review team should consider whether, if the department has stated benchmarks, it has laid the foundation for effective measurement by establishing baselines and goals and developed its internal and public reporting systems.

Finally, another index of a department's commitment to benchmarking lies in its establishment of a performance-based contracting system for its contracted services. The department should have identified outputs and outcomes for its program providers to help assure its commitment to evidence-based treatment and service interventions for youth and families.

Potential Findings and Recommendations

It is not uncommon to discover that there is ambiguity in the identification of desired outcomes and the review and evaluation of probation officer activity in relation to the outcomes. Many probation departments are focused on process outcomes as opposed to client outcomes and their performance measurement systems are similarly focused. While it is desirable to have client outcomes drive performance and activities, the Probation System Review may reveal that is not the case. A department may find that it needs to revisit the construct of its whole performance measurement, evaluation and/or quality assurance system. Further, the department may determine that it needs to strengthen its articulation of desired client outcomes, focusing also on those intermediate outcomes whose achievement bears an important relationship to the variety of reduced recidivism measures commensurate with the population of youth in targeted programs (e.g., diversion, probation, specialty courts, etc.).

JURISDICTIONAL EXAMPLE:
DuPage County, Illinois

The DuPage County, Illinois Probation Department's data collection, reporting, benchmarking and quality improvement practices set an example for the field. The direct efforts of the Deputy Chief and support of his immediate staff have resulted in a capacity to collect, manage and track youth outcomes in all of the major program areas under the control and responsibility of the Juvenile Probation services. While the ability to quickly extract data reports currently relies on these dedicated staff and their commitment to its importance, responses to requests for reliable and useful data during a 2015 conduct of the Probation System Review were met with swift responses that reflected quality outcome data.

DuPage County probation leadership explained "we measure recidivism while they are in the program **and** for a period of 12 months from their case closing, including *Informal Supervision (Diversion), Minimum Risk caseload (MRC), and Step-Up (aimed at domestic battery cases)* because we expect to see an effect both while in the program **and** after the program. For Informal Supervision and MRC, we want to determine whether we are choosing the right cases for these programs. We want to make sure that they aren't reoffending during and after the programs. For Step-Up, we want to know whether kids are being non-violent with their parents while participating in weekly groups and within 12 months after completing the program." Finally, the DuPage County leadership explained that for Home Detention and IS, "we measure recidivism while they are in the program because we only expect to see an effect while they are being supervised." The example and commitment to the definitions for their recidivism rates permits DuPage County to exemplify their best practice approach to outcome data and is one that should be replicated throughout the state.

Further, DuPage County features useful and mature quality improvement (QI) and performance appraisal systems that should be replicated by juvenile probation and court systems. The DuPage County attention and care for the development and implementation of this QI system and outcome measurement is unmatched by any previous jurisdiction that has undergone the Probation System Review.

Conclusion of the Review

PUBLICATION OF FINDINGS AND RECOMMENDATIONS

Once the analysis phase of the review is complete, a report of findings and recommendations is created by the RFK National Resource Center team. In the case where the self-assessment and review is conducted internally, it is strongly advised this report is also completed. The memorialization of the comprehensive list of findings and recommendations provides the blueprint for action, a chance to prioritize next steps, and improved opportunities to institutionalize reforms. The publication and dissemination of these findings and recommendations and in what forums should be in the sole discretion of the department's management.[5] There is likely to be information in the report that the department will want to hold closely in order to accomplish its objectives. On the other hand, there is likely to be information that, if published could assist the department to effectively implement its recommendations for improvements.

An Executive Summary can sometimes provide for a broader dissemination of the findings and recommendations because it can be written in a summary format that protects specific information. Further, it may be that excerpts of the report can be shared in particular forums to which they relate without sharing the entire report. These decisions should be considered carefully by a department's management to assure that the greatest benefit accrues from the ambitious undertaking of a probation system review. That being said, as one of the leaders in the field who have intentionally undergone this review process, the department has the ability to influence others towards a similar self-assessment, and sharing the findings and recommendations with others can have a positive impact far beyond the local jurisdiction.

> ### JURISDICTIONAL EXAMPLE: Territory of Guam
>
> The RFK National Resource Center conducted a full-scale Probation System Review in the Territory of Guam over a period of 12 months. A report of Findings and Recommendations was written that listed 15 recommendations for their consideration. Guam Courts recognized an opportunity to share with the legislature and the citizens of Guam that they were prioritizing reform within the juvenile court process. In order to accomplish this transparency and gain public support and goodwill, the Courts presented the findings and recommendations to the Guam legislature in a live televised session broadcast across the island. The process was also highlighted through both television and radio interviews with leadership from the Courts and the RFK National Resource Center consultants.
>
> Guam took the recommendations and continued working with the RFK National Resource Center through an Implementation Phase. Their dedication to translating the recommendations into a plan of action contributed to their selection by OJJDP to receive a Smart on Juvenile Justice: Community Supervision Grant which provided funding to incorporate the Probation System Review findings into the development of a broader strategic plan.

---

5   Noting the discretion of the department's management to share the results of the review with the public, in part or in the whole, relates to the situation in which the department itself has initiated the review. If the review was ordered by an outside agency, it will be incumbent upon that agency to decide how it is going to handle the publication of the review's findings and recommendations.

IMPLEMENTATION OF REVIEW RECOMMENDATIONS

Once the review has been completed and the report has been accepted by the probation department's management, it is time to turn a department's attention to the implementation of the report's recommendations. The first step is to gather the personnel who are critical to the implementation of reform within the department. That group should consider the report in its entirety and identify what arenas and recommendations are priorities for implementation. It is likely that implementation will need to be a staged process, beginning with the areas that are ripe for action and provide the best opportunity to realize success. The plan may also need to sequence action steps for other areas of reform over a prescribed period of time.

The development of a detailed work plan is critical. It is important to be realistic in deciding what can be undertaken, during what time period, and with what resources. Contextual factors will need to be taken into account such as budget periods and constraints, political pressures, employee participation and morale, and other department goals that must be managed during the period of implementation. The work plan should be very specific in terms of the recommendations that will be undertaken with specific individuals identified for involvement, and with deadlines for completion.

As the implementation plan progresses it is recommended that routine progress reports be provided. The updates should be provided to personnel within a department, to relevant constituents outside the department, and to key stakeholders and consumers who are invested in the department's success. Upon completion of the implementation plan and all of its recommendations, the department should publish a final implementation report. This should include improved outcomes already evident and a forecast of those improvements and outcomes likely to be realized in the future. Finally, a system of quality assurance should be developed so that the implementation of the recommendations can be tracked, reports on realization of intended outcomes can be reported, and sustainability of the improved practices and reforms can be maintained.

Since each jurisdictional review frequently yields a unique set of findings and recommendations and the implementation of each will vary due to individual jurisdictional circumstances, it is useful to employ a set of principles from the emerging science on effective implementation of system change and reform. Implementation science "is the study of factors that influence the full and effective use of innovations in practice. The goal is not to answer factual questions about what is, but rather to determine what is required" (National Implementation Research Network, 2015). The previous narrative highlights in plain language a number of those core principles (e.g. team development and function, stages and drivers, scaling and sequencing, and cycles of improvement) that the RFK National Resource Center team has come to rely upon in the circumstances in which our partnership with a jurisdiction provides ongoing technical assistance for that purpose. All jurisdictions are encouraged to use these core principles and organizational features that promote the increased likelihood of long-term and sustainable success in their probation system reform resulting from the Probation System Review.

JURISDICTIONAL EXAMPLE: Jefferson Parish, Louisiana

The Jefferson Parish Probation System Review experience was very successful at refining their measurement standards, probation officer activities and responsibilities, and youth outcomes. Details of how they accomplished these improvements have been captured in two outstanding publications, both authored by a member of their PSRT. They can be viewed and downloaded at:

Probation Review Implementation: How Best Practices Meet Everyday Practices. Dr. John S. Ryals, Jr., Robert F. Kennedy Children's Actions Corps, 2013. Available at: http://rfknrcjj.org/resources.

Sustaining the Momentum of Probation System Reform in Jefferson Parish. Dr. John S. Ryals, Jr., Robert F. Kennedy National Resource Center for Juvenile Justice, 2015. Available at: http://rfknrcjj.org/resources.

References

American Probation and Parole Association – Training.
   http://www.appa-net.org/eweb/DynamicPage.aspx?WebCode=IA_Introduction

Andrews, D. A., Zinger, I., & Hoge, R.D. (1990). *Does Correctional Treatment Work? A Clinically Relevant and Psychologically Informed Meta-Analysis*. Criminology, 28(3), 369–404.

Andrews, D. A. & Bonta, J. (2010). *The Psychology of Criminal Conduct, 5th Edition*. Mathew Bender and Company, Inc.

Child Welfare League of America (2005). *Los Angeles County Probation Department Program Audit Report* (Submitted to Los Angeles County Department of Auditor-Controller).

Damelio, R. (1996). *The Basics of Process Mapping*. CRC Press, Taylor & Francis Group.

Dilulio, Jr. J. (1991). *No Escape: The Future of American Corrections*. Basic Books, Inc.

Gendreau, P., French, S. & Taylor, J. (2002). *What Works (What Doesn't Work): The Principles of Effective Correctional Treatment*. Retrieved from: Journal of Community Corrections. Vol 13. Spring 2014.

Ingram, M. & Harp, K. (2016). *A Proactive Approach to Self-Assessment in the Juvenile Justice System*. National Trends in State Court, National Center for State Courts. http://rfknrcjj.org/resources/.

Latessa, E. (2010). *Effective Practices in Community Supervision (EPICS)*. PowerPoint Presentation from Beyond the Bench Conference, California Administrative Office of the Courts.
   www.courtinfo.ca.gov/programs/cfcc/pdffiles/BTB20Pre-conBPAIJun2.pdf

Lipsey, M. (2009). *The primary Factors That Characterize Effective Interventions with Juvenile Offenders: A Meta-Analytic Overview*. Victims and Offenders, 4, 124–47.

Lipsey, M.W. & Cullen, F.T. (2007). *The Effectiveness of Correctional Rehabilitation: A Review of Systematic Reviews*. Annual Review of Law and Social Science, 3, 297–320.

Lipsey, M.W., Howell, J., Kelley, M. & Chapman, G. (2010). *Improving the Effectiveness of Juvenile Justice Programs: A New Perspective on Evidence-Based Practice*. Georgetown Public Policy Institute.

Metz, A. (2015). *Implementation Brief: The Potential of Co-Creation in Implementation Science*. National Implementation Research Network. http://nirn.fpg.unc.edu/resources/implementation-brief-co-creation

National Council of Juvenile and Family Court Judges. (2005). *Delinquency Prevention Guidelines: Improving Court Practice in Juvenile Delinquency Cases*.
   http://www.ncjfcj.org/sites/default/files/juveniledelinquencyguidelinescompressed[1].pdf

Paparozzi, M. & DiMichele, M. (2008). *Probation and Parole: Overworked, Misunderstood*, and *Under-Appreciated: But Why? The Howard Journal of Criminal Justice*, Volume 47 (3), 275–296.

Paparozzi, M. & Hinzman, G. (2005). *Caseload Size in Probation and Parole*. American Probation and Parole Association. http://garyhinzman.com/wp-content/uploads/2012/02/CaseloadSize.pdf

Petersilia, J. (1993). *Measuring the Performance of Community Corrections in Performance Measure for the Criminal Justice System*. Bureau of Justice Statistics.

Smith, P., & Latessa, E. (2011). *Effective Practices in Community Supervision (EPICS) Model Overview*, A Working Paper. School of Criminal Justice, University of Cincinnati.

Thomas, D. (2006). *How Does the Juvenile Justice System Measure Up? Applying Performance Measures in Five Jurisdictions*. National Center for Juvenile Justice.

Wiig, J.K. & Tuell, J.A. (2010). *Jefferson Parish Probation System Review Report*. Child Welfare League of America.

Sample Questions for Key Stakeholders

Review key elements of the Probation System Review.

1. How well do you think the Department of Juvenile Services provides needed services to juveniles through Department staff, contractors, and through linkages with other youth serving systems?

2. What are some of the unmet needs of juveniles that you think might be better served?

3. What do you think are the Department's programmatic strengths? Most promising practices?

4. Are there any program areas that you think require more attention and evaluation?

5. What do you think are the most important issues for the Department to address in terms of its mission and operation?

6. What do the juveniles find most troublesome about their probation experience?

7. What do the juveniles find most helpful about their probation experience?

8. Do you have any particular ideas for solutions to identified concerns or problems the Department faces?

9. How effective is the Department in its interaction with other agencies, including your agency or office?

10. Are there any other areas of concerns or issues that we have not touched on that you think should be addressed?

APPENDIX B
Probation Review Employee Survey

Probation Review Employee Survey	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Pre-Disposition Investigation					
1. Court reports are generally well written and of good quality					
2. The court reports do not provide sufficient detail regarding the needs of probationers					
3. Recommendations to the court for probationers are based on individualized needs for treatment					
4. Recommendations to the court for probationers are based on available community resources					
Case Supervision					
1. Probationers in specialized caseloads receive an enhanced level of supervision					
2. Probationers are receiving the required number of contacts as indicated by risk scores					
3. Client outcomes are clearly identified for each probationer to guide the service delivery					
4. Probation officers do not assure that probationers receive services to which they have been referred					
5. Probation officers do not work close enough with community resources to which they refer probationers					
6. Probation officers work closely with probationer's parents/caregivers to achieve desired outcomes.					
7. The levels of supervision are characterized by distinctly different activities on the part of the probation officer					
8. The caseload sizes do not allow for an adequate level of supervision					
9. Probationers need more help than they presently receive during their period of probation					
10. Additional resources are needed to adequately provide for the parent and family support network for probationers					
11. The enforcement of conditions is sufficient activity for the supervision of probationers					
12. The number of contacts required for each level of supervision is appropriate					
13. The supervision of probationers does not result in greater public safety					
14. The supervision of probationers is focused more on enforcement than rehabilitation					
15. The assignment of all probation officers to specific geographic areas would result in more effective supervision of probationers					

Probation Review Employee Survey	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Departmental Management And Supervision					
1. Probation officers are supported in their work by the Department's administration					
2. Probation officers' efforts are supported in their work by their supervisors					
3. Probation officers efforts are not adequately recognized by the Department					
4. Probation officers are provided the tools necessary to carry out their job functions					
5. The probation manual is a useful tool to direct the work of probation officers					
6. The judges do not base their decisions on probation officers' recommendations					
7. Probation officers are provided sufficient training to function effectively					
8. Juvenile Court judges respect the work of probation officers					
9. Probation officers are not adequately prepared to testify in court					
10. Judges read the probation officers' reports					
Resources And Service Delivery					
1. Probationers have access to treatment resources that address their particular needs					
2. Probationers do not have access to needed mental health services while on probation					
3. The current staffing/placement process is satisfactory					
4. Services to probationers are not provided in a timely manner					
5. Probationers have access to needed substance abuse resources while on probation					
6. Juveniles receive adequate support when they transition in and out of placement					
7. Juveniles do not have access to aftercare services upon return home to parents/caregivers					
8. Probation officers have a method for identifying probationers w/ mental health needs					
9. Juveniles are not matched to placements equipped to address their individual needs					
10. There is sufficient oversight of juvenile probationers while in placement					
11. Adequate community resources exist to address the needs of juvenile probationers					
12. Most probationers are referred to the same services					
13. There is not adequate communication between treatment providers and probation officers					
14. Probation officers are provided with current information regarding the adequacy of community resources					
15. Additional funding is the most important solution to improve service delivery					

Probation Review Employee Survey	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Best Practices					
1. Probation services are not based on best practices					
2. Evidence-based practices would be applied to all probationers if there was adequate funding					
3. Evidence-based practices are available in the community but are not used					
4. Probation officers are not knowledgeable about best practices for providing services to probationers					
5. Probation officers are knowledgeable about evidence-based practices and their impact on recidivism					
6. Current case management strategies are based on best practices					
7. The Department should coordinate with community-based organizations in defined geographic areas to target the needs of juveniles in that area					
8. The availability of evidence-based practices in the community would allow some juveniles to stay out of placement					
Client Outcomes					
1. Probation officers are not knowledgeable about identifying client outcomes for probationers					
2. Probationer officers set clear, achievable goals for each probationer					
3. The Department uses the achievement of client outcomes to select and monitor providers who contract with the department					
4. The work of the Department is not related to the achievement of outcomes by probationers beyond the period of probation supervision					
5. There should be incentives and rewards for probation officers whose probationers achieve successful outcomes					
Inter-Agency Relationships					
1. The Department's relationships with DA Prosecution are not good					
2. The Department's relationships with community-based agencies have improved in the past three years					
3. The Probation Department's relationship with the Public Schools could be improved					
4. The Probation Department's relationship with the Public Schools is good					
5. The Probation Department's relationship with the community service providers could be improved					
6. The Department would function more effectively if its relationships with community-based agencies were better					
7. The Probation Department should look at data across service delivery systems to assist with the identification of prevention and earlier intervention opportunities					
8. The interface between [name of state agency overseeing operations] and Probation needs improvement					
9. Probationers' prior [name of state agency overseeing operations] involvement is known/documented					

Employee Survey Open-Ended Questions

Following is a set of open-ended questions that offer you the opportunity to provide your particular ideas about how the Department and its probation officers could function better. Please take some time to offer your comments and recommendations here. Thank you.

1. How could the probation manual be improved? What could be added?

2. What enables you to do your job most effectively?

3. What training would help you do your job?

4. What services are needed for probationers that do not exist at this time?

5. What client outcomes should the Probation Department seek for probationers?

6. What specific ideas do you have for the improved delivery of probation services that you believe will result in better client outcomes?

7. What makes you uncomfortable or upset in court?

8. What ideas do you have about reducing the amount of paperwork?

9. What challenges do you face in your relationships with other agencies?

10. What are some of the special skills and talents that you offer to probation operations that aren't currently tapped in your role as probation officer?

11. In what ways would you like your work to be recognized?

12. Where do you see yourself in 3-5 years? What are your career aspirations?

13. Any additional comments?

APPENDIX D
Process Mapping Protocol

Thank you for participating in the Case Flow Process Mapping meeting as part of the Probation System Review initiative led by the Robert F. Kennedy National Resource Center for Juvenile Justice.

You have been selected to participate based on your knowledge, experience and perspectives that you bring to the important work you do in the probation and juvenile justice system. We will be asking that you work together to analyze interfaces, handoffs, bottlenecks, and other case flow issues in the handling of cases involved in your juvenile justice and probation system. You will be asked to use – or develop – a current depiction of the case flow for delinquency matters in your jurisdiction, from arrest to case closure.

Please take a few minutes to review the following description of suggested Case Flow Process Mapping activities that walk you through each key decision point with a structured set of questions. You will be encouraged to candidly share your knowledge, experiences and perspectives to our meeting.

The development of a case flow mapping exercise can initially be accomplished by viewing, or constructing if one does not exist, a case-flow process for the juvenile justice system. The key decision points in the processing a juvenile case will be identified and we will collectively seek to clarify professional staff responsibilities and mandates and expected products and outcomes that support improved decision making at each key step. During this exercise, you may note references to Robert Damelio's The Basics of Process Mapping, which provides guidance for the conduct of this case flow mapping process. Against an established consensus for the probation systems' goals, this mapping process creates an understanding of the most appropriate decision points and practices around which improvements or reforms may be developed and/or planned on behalf of youth involved in the

juvenile justice and probation system. The following activities are offered to illustrate what is sought by your engagement in the process mapping activity:
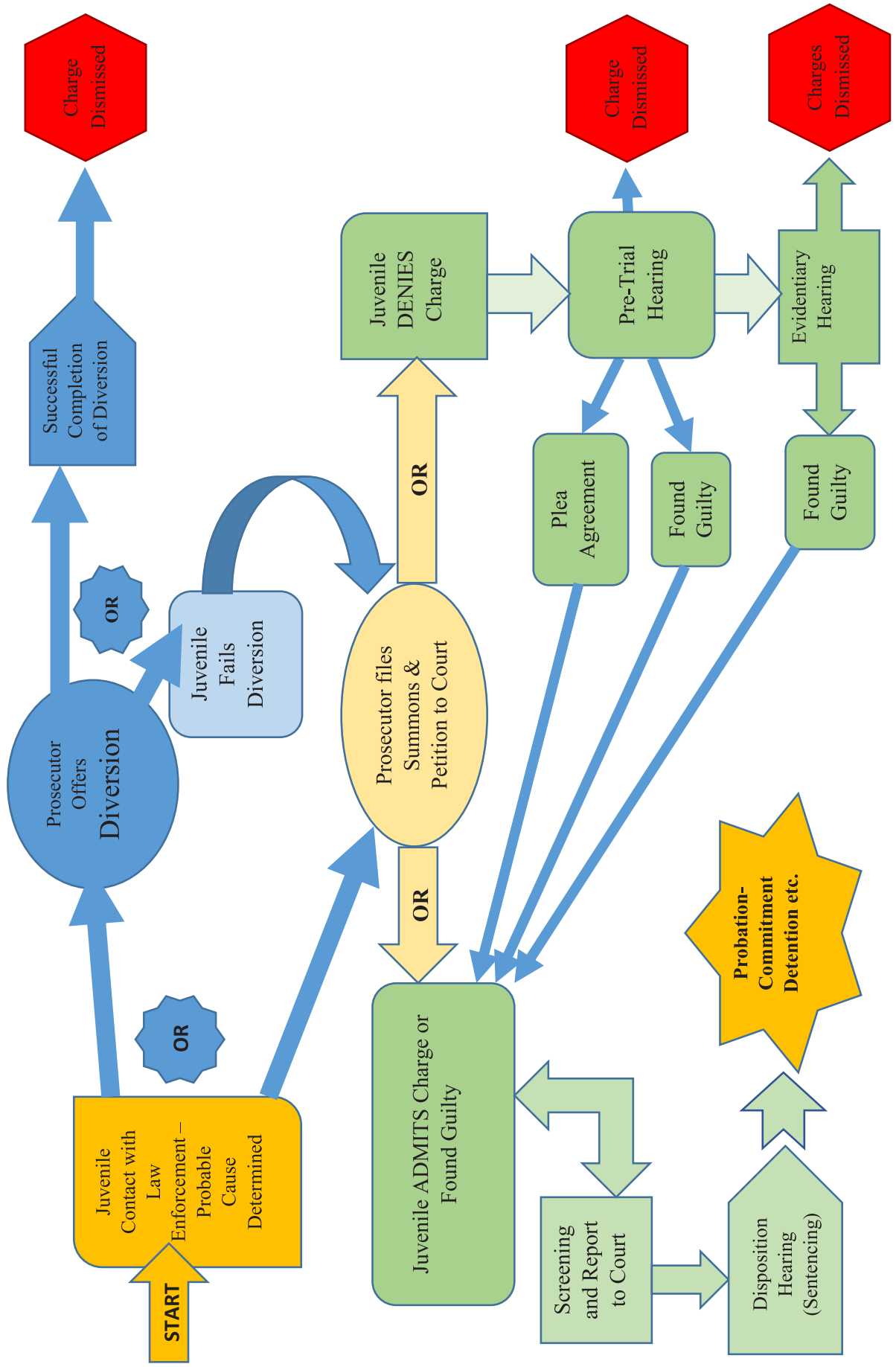
- Understanding of the steps in the various system and court processes
- Identification of what happens (action), who is responsible (decision), and what output or outcome is expected or produced at each step (product)
- Discussion/Assessment of the quantity and/or quality of the information being gathered and utilized in each step of the process
- Identification of process gaps
- Identification of necessary resources (workforce and program)
- Identification of what is and is not working

As you consider these issues in the development of the graphic depiction of the process flow map and an accompanying narrative, the following questions will support a systematic review of each decision point:

- What is intended to happen at this step?
- What actually happens at this step?
- Who is responsible for taking this action?
- Who are the partners (existing and desired) collaborating in this action?
- What is expected to occur (output and outcome) before the next step occurs?
- What is missing in between steps?
- What are the key decision points at which change or reform might be proposed?
- What are the necessary resources at each step (workforce and program)?

Example of Process Map

Flowchart for Juvenile Court System

Focus Group Questions – Parents

1. How well do you think the probation department provides needed services to juveniles?

2. Are there programs or services that you think would better serve your child?

3. What kind of changes in your child do you wish the probation department could help your child make?

4. Are there policies or procedures of the Department that need improvement?

5. How well does the probation officer work with you and your child? What recommendations do you have for improvement?

6. What are you finding the most helpful about your child's probation experience?

7. What are you finding the least helpful about your child's probation experience?

Focus Group Questions – Youth

1. What has been most helpful to you about your probation experience? Why?

2. What has been least helpful to you about your probation experience? Why?

3. What kind of changes in your life do you wish the probation department could help you make?

4. How well do you think the probation officer works with you? Describe things the probation officer does…

5. What recommendations do you have for improving the way the probation officer works with you?

6. Are there any rules or ways that things work in probation that you think should be changed?

7. Is there something that would help you get off probation and stay out of trouble that isn't available to you?

Data Planning Work Grid

The following tables reflect the three-tiered planning approach including the eight general data categories, as well as the initial listings of suggested data questions and data elements. Adapted from the Data Planning in Dual Status Youth Initiatives: Initial Suggestions article authored by Gene Siegel and available at: www.rfknrcjj.org/resources. Please note that categories 4 and 5 are omitted from this work grid as its relevance for the Probation System work is limited. The initial listing in this work grid should be viewed as aspirational – something to strive for – as well as a reference tool to help sites identify and prioritize the data elements they may choose to track during and beyond the probation system review.

Among the data elements in each category, it is recommended that you consider classifying the information by the following categories: 1) essential information; 2) relevant information, but not essential right now and perhaps not readily available; or 3) will be important to know eventually but not at this point in the analysis.

Data Category 1: Probation System Youth Prevalence			
Data Questions:	**Basic/Essential data elements:**	**Additional/Supplemental data:**	**Notes:** (e.g., which data system(s) house the information, other data sources)
How many probation youth are there in the juvenile justice population?	Juvenile justice unique case numbers/identifiers	History of prior contacts with juvenile justice	
How many diversion, informal supervision, and informal adjustment youth are there in the juvenile justice system?	Juvenile justice unique case numbers/identifiers		
How many youth are currently on an active probation status? What is the average caseload size for juvenile probation officers? By risk level, how many youth are on an active probation status?			

Data Category 2: Case Characteristics and History

Data Questions:	Basic/Essential data elements:	Additional/Supplemental data:	Notes:
What does the probation system/diversion/informal population look like (demographic)?	DOB, race/ethnicity, gender	Status offense referral history Juvenile justice system history including diversion, probation, and other juvenile justice statuses/levels of involvement	
What is the type and seriousness of offense?	Status/misdemeanor/felony; personal, property, etc.		
Where are probation system youth coming from?	Type of residence (dynamic variable, can change over time)		
At what ages are youth becoming involved?	Youth residence address/zip at point of referral		
Who are the referral sources for the target population	Law enforcement, school, family, etc.		
What is the history of abuse/neglect allegations and findings for these youth?	Delinquency arrest/referral history including referral sources and most serious charges		

Data Category 3: Case Processing

Data Questions:	Basic/Essential data elements:	Additional/Supplemental data:	Notes:
How can your jurisdiction best track progress for each youth in the probation population?	Judicial history including names of jurists handling each hearing or number of different judges handling hearings Legal status changes	All hearings by type, date, findings, and hearing results – this may include informal proceedings as applicable	
How long do key case processing stages take for the probation population?	Arrest to Referral; legal sufficiency to petition, petition to adjudication, etc.		
What are the court histories of the probation system population?			
How many judges and attorneys have been involved in these cases?		Attorney history including name(s) of attorney(s) at each hearing (including prosecutors, defense attorneys, dependency attorneys, et. al.)	
If youth was detained, amount of time spent in detention?			
What percentage of cases are experiencing adjudication and disposition during the same hearing?			
How many pre-dispositional reports are being compiled?			

Data category 6: Placement and Services			
Data Questions:	**Basic/Essential data elements:**	**Additional/Supplemental data:**	**Notes:**
What types of services did the probation population receive before, during and after system entry and when are these services being provided?	Listing of all services/treatment provided including some indication of whether services were completed or not	Primary caregiver(s) Reason for specific service provision Reason for placement changes	
What are the placement histories of the probation system population?	Living situation/placement statuses including all placement names and categories/types of placements		

Data category 7: System Outcomes and Performance Indicators

Data Questions:	Basic/Essential data elements:	Additional/Supplemental data:	Notes:
Has local data collection and data reports for management purposes improved?	Data system houses necessary data elements Routine reports for relevant and requested information is available at managerial meetings	Enhanced automated case tracking and data capabilities including data analysis Service expenditure data that shows use of resources Evidence of workload impact including greater efficiency (e.g. probation officers in the field, out of court, timely case reports)	
Are risk screens and assessments results captured for the individual youth and in the aggregate?	Results/Summaries of risk scores and treatment domains requiring service interventions (including specific type of treatment and/or service intervention)		
Have policies and protocols for consistent use of and connection to targeted evidence-based services improved?	Appropriate designation of evidence-based services in the database/data collection form		
Have court processes improved/become more timely?	Dates of hearings, names of judges conducting hearings, codes for hearing outcomes (e.g., held/completed, continued, etc.)		
Is there evidence of more efficient use of limited resources?			
Have there been reductions placements and incarceration?	Conservative cost estimates for different types of placements and incarceration		
Is there improved local capacity to analyze and track outcomes and trends?	Routine data reports for relevant and requested information		
Is there evidence of reduced racial and ethnic disparities?	Appropriate codes to track race/ethnicity data		

Data category 8: Youth and Family Outcomes (including outcomes by age, gender, and race/ethnicity as applicable)			
Data Questions:	**Basic/Essential data elements:**	**Additional/Supplemental data:**	**Notes:**
What types of delinquency case outcomes/results are these youth experiencing during project involvement, at case closure, and after program exit?	Case closure results Subsequent new delinquent referrals after probation system closure Subsequent arrests, referrals, petitions, and adjudications (during and after program exit, including 6 and 12 month recidivism checks) Subsequent dispositions or sentences Detention episodes in excess of 24 hours and lengths of stay in detention Changes in residential status	Available school performance data including enrollment, attendance, grades, absences, suspensions/expulsions, graduation, etc. Indicators of pro-social engagement (this may have to be self-report data or may be drawn from applicable program status and program exit assessment tools) Subsequent mental health status assessment data Indicators of improved family functioning and connection to supportive adults during program involvement, at program exit, and post-program Completion of court ordered compliance provisions Employment data	
Has probation system recidivism declined?	Recidivism definition(s)		
Are probation system youth experiencing reduced detention episodes and, when detained, shorter lengths of stay?			
Is there evidence of improved educational performance among the probation system population?			
Is there evidence of improved involvement in pro-social activities?			
Is there evidence of improved behavioral health functioning?			
Is there evidence of increased stability in home or placement?			
Is there evidence of improved family functioning?			
Are probation system youth being "connected" to supportive and caring adults?			

Management Oversight Practices / Communication Grid

There are 8 identified purpose areas for Departmental Staff Meeting(s). Please indicate on the below table the meetings currently convened in each purpose category. If there are more in each Purpose category, please # the meetings within the *Current Meeting(s)* column.

Purpose	Current Meeting(s)	Chair / Facilitator	Mandated Participants	Frequency (Weekly, Monthly, Annually, etc.)	Length Of Time
Intra-Departmental Information Sharing					
Intra-Departmental Planning & Preparation					
Address Policy & Procedure Issues					
Problem Solving					
Operational Planning					
Department Performance Monitoring					
Provide an Environment for Relationship Building, Employee Empowerment and Value Clarification					
Discuss Intra- and Interagency Issues					

Professional Training Inventory

Provider	Title (* = required)	Abstract / Description (indicate competency or skill to be developed)	Target Audience (e.g., Mgmt., Line staff, etc.)	Hours	Required Time Frame (e.g. new employee orientation, annually, bi-annually?)	Additional Notes

Guam Mission and Vision Statement – Youth Outcomes

Mission Statement:

The mission of the Juvenile Probation Office is to provide individualized supervision and case management services for court-involved youth in order to hold them accountable and responsible for their actions. By utilizing evidence based interventions and treatment, probation interaction will provide them with the opportunity for change and growth to become law-abiding citizens which will ultimately enhance public safety on Guam.

Vision Statement:

1. To pursue a balanced treatment and rehabilitation philosophy that dictates that each court-involved youth be assessed individually and receive services tailored to meet their individual needs;

2. To respond more effectively to court-involved youth through use of assessment tools which will help identify the unique needs and strengths of each minor;

3. To adopt, match and use evidence based strategies and interventions proven to work effectively with specific populations;

4. To lessen reliance on detention;

5. To be culturally competent and sensitive while working with our diverse population;

6. To establish strong collaborative relationships within the community;

7. For all court-involved youth to gain tangible outcomes from their interaction with Juvenile Probation.

Potential Youth Outcomes	Potential System/Process Outcomes
Reduce recidivism	Connect the probation officer roles and functions to youth outcomes
Educational Improvement	Improve interagency communication, meeting structure and management practices
Mental health improvement	Reduction in probation caseload
Substance Use Desistance	Reduce referrals to court
	Reduce the use of detention
	Establish alternatives to detention

Inventory of Programs and Services

Agency	Program	Service Description	Target Population (e.g., age, gender, criteria for participation)	Funding Source	Partnerships/ Agreements	# Of Youth Referred Annually	# Of Youth Who Complete Annually	Average Length of Completion
Courts & Probation System - Programs/Services								
	Multi-Systemic Therapy (MST)	Intensive, community-based youth and family intervention	Juveniles, ages 12-17			10-20	10	25 weeks
	Functional Family Therapy (FFT)	Family therapy intervention for the treatment of violent, criminal, behavioral, school, and conduct problems with youth and their families.	Juveniles, ages 17 & under.			40	32	20 weeks
	High Fidelity Wraparound	Intensive wraparound program led by facilitator/case manager	Juveniles, ages 17 & under.			50	45	1 year
	Peer Mediation	Peer Mediation & Conflict Resolution.	Court Ordered.		Public & Private Schools			3 days

APPENDIX M
Risk Screening Tool & Risk-Needs Assessment Implementation Checklists

Research has found that with some youths, any exposure to the juvenile justice system (e.g. community service or probation) can actually increase their chances of offending again.[1] It has also been found that the severity of the first offense is not a significant indicator of future patterns of offending,[2] and that the majority of low-risk youth are unlikely to reoffend even with little to no intervention.[3] It follows that there would be benefit to juveniles, probation departments, and juvenile justice agencies to sort juvenile offenders by risk, to divert low risk offenders away from the juvenile justice system as often as possible, and to focus on services to high risk offenders.[4]

Validated and comprehensive risk assessment tools can assess a youth's likelihood to reoffend and suggest a proper level of intervention specifically tailored for that individual. A validated risk assessment can *guide intervention planning* by determining what areas of the youth's life can be changed in order to reduce the likelihood of reoffending. In addition, risk assessment can offer *a standardized method of important data collection to plan resource allocation and chart the overall progress of the youths*.[5]

Adoption of a risk assessment tool is unlikely to make much difference in the handling of young offenders unless it is paired with a case management approach that guides how the risk assessment should be used in case processing.[6] Risk-Needs-Responsivity (RNR) is a case management approach that, if implemented well, can lead to better outcomes for individuals involved in the justice system.[7] The RNR approach suggests that any formal processing and case management of youth should be commensurate with a youth's level of risk for reoffending and should address the youth's specific dynamic risk factors.

Implementing risk screening or assessment with RNR principles can conserve resources for probation departments and juvenile justice systems and improve outcomes for youth while still protecting public safety. However, the impact of these tools will ultimately be based on how well it is implemented and a site's individual characteristics.[8] Quality implementation, quality assurance, and buy-in from stakeholders are all crucial to successfully implement risk tools and principles in juvenile systems.

The following Checklists have been developed by the RFK National Resource Center for Juvenile Justice in collaboration with Gina Vincent, Ph.D., of the National Youth Screening and Assessment Partners, LLC. They have been developed to assist probation departments and juvenile justice agencies in their review and evaluation of the quality of their implementation practices and quality assurance methods and mechanisms in relation to their risk assessment and RNR tools. Used internally or through external facilitation during the Probation System Review, the completion of these Checklists provide an opportunity to identify strengths and weaknesses, and align the use of their adopted tools with standards of best practice.

1 Gatti, U., Tremblay, R. E., & Vitaro, F. (2009). Iatrogenic effect of juvenile justice. *Journal of Child Psychology & Psychiatry, 50(8),* 991-998.

2 Mulvey, E. P., Steinberg, L., Piquero, A. R., Besana, M., Fagan, J., Schubert, C. et al. (2010). Trajectories of desistance and continuity in antisocial behavior following court adjudication among serious adolescent offender. Development and Psychopathology, 22(2), 453-475.

3 Lipsey, M. W. (2009). The primary factors that characterize effective interventions with juvenile offenders: A meta-analytic overview. Victims & Offenders, 4(2), 124-147.

4 Vincent, G. M., Guy, L. S., Grisso, T. (2012). *Risk Assessment in Juvenile Justice: A Guidebook for Implementation*. Chicago, IL: John D. & Catherine T MacArthur Foundation. www.NYSAP.us

5 Ibid.

6 Ibid.

7 Andrews, D. A., & Bonta, J. (2010). Rehabilitating criminal justice policy and practice, Psychology, Public Policy, and Law, 16,(1), 39-55.

8 Vincent, G. M., Guy, L. S., Gershenson, B. G., & McCabe, P. (2012a). Does risk assessment make a difference? Results of implementing the SAVRY in juvenile probation. Behavioral Sciences & the Law, 30(4), 487-505.

Risk Screening Tool Implementation Checklist

1. What decision will the risk screening tool be used to inform?	☐ Diversion/alternative response ☐ Filing / Petition ☐ Other _____	Comments:
2. Who will administer the risk screening tool?	☐ Prosecutor's Office ☐ Intake Officer ☐ Other _____	Comments:
3. What is the timeframe for staff to complete the tool?	☐ Within 24 hours of referral ☐ Within 48 hours of referral ☐ Within 72 hours of referral ☐ Within 5 business days of referral ☐ Within 1 week of referral ☐ Other _____	Comments:
4. In what form are the results compiled?	☐ Hand-written ☐ Computerized ☐ Other _____	Comments:
5. Where are the results maintained?	☐ Hard copy in case file ☐ Electronic database (name: _____) ☐ Other _____	Comments:
6. Who receives the risk level results of the screening tool? Please note after each relevant entity the form in which they receive the results. • Summary sheet • Full report • Verbal summary • Other	☐ Prosecutor: _____ ☐ Defense Counsel: _____ ☐ Probation Department: _____ ☐ Judge: _____ ☐ Court Clerk: _____ ☐ Diversion Coordinator / Board: _____ ☐ Youth: _____ ☐ Parent / Guardian: _____ ☐ Other _____	Comments:
7. Have the staff persons that will be administering the screening tool received training from a qualified trainer?	☐ Yes ☐ No ☐ To be completed by: _____	Comments
8. Have the entities that will use the results of the screening tool been trained on how the tool is administered and how the results will be used?	☐ Yes ☐ No ☐ To be completed by: _____	Comments:
9. How often is staff provided or required to complete "booster" training?	☐ Every 12 months ☐ Every 24 months ☐ Other _____	Comments:
10. Who will be responsible for managing the quality assurance of the administration and use of the tool?	Name: _____ Title:_____ Agency: _____	Comments:
11. Has a protocol for the administration and use of the tool been developed?	☐ Yes ☐ No To be completed by: _____	Comments:
12. Is there a protocol for regular data reporting about the risk levels of youth and the outcomes of their case (e.g., disposition, diversion)?	☐ Yes ☐ No To be completed by: _____	Comments:

Risk-Needs Assessment Tool Implementation Checklist

PLEASE COMPLETE ONE CHECKLIST FOR EACH SEPARATE KEY DECISION POINT AT WHICH THE ASSESMENT IS ADMINISTERED	☐ Pre-filing ☐ Pre-adjudication ☐ Pre-disposition ☐ Other _____	Comments:

1. Which categories of youth will receive the assessment?	☐ All youth ☐ Sexual Offenders
	☐ Youth who screened ☐ Other _____
	   in with a validated
	   risk screening tool
		Comments:

2. What decision(s) will the risk-needs assessment be used to inform?	☐ Filing ☐ Category of supervision ☐ Identification of pre- ☐ Judge's dispositional trial services order ☐ Probation case plan ☐ Other _____	Comments:
3. Who will administer the risk-needs assessment?	☐ Intake Officer ☐ Probation Officer ☐ Other _____	Comments:
4. What is the timeframe for staff to complete the tool following preliminary/adjudication?	☐ 7 days ☐ 21 days ☐ 14 days ☐ Other _____	Comments:
5. In what form are the results compiled?	☐ Hand-written report ☐ Computerized report ☐ Other _____	Comments:
6. Where are the results maintained?	☐ Hard copy in case file ☐ Electronic database: _____ ☐ Other _____	Comments
7. Who receives the results of the risk-needs assessment? Please note after each relevant entity the form in which they receive the results. • Summary sheet • Full report • Verbal summary • Other	☐ Prosecutor: _____ ☐ Defense Counsel: _____ ☐ Probation Department: _____ ☐ Judge: _____ ☐ Court Clerk: _____ ☐ Youth: _____ ☐ Parent / Guardian: _____ ☐ Other _____	Comments:
8. Have the staff persons who will be administering the assessment received training from a qualified trainer?	☐ Yes ☐ No To be completed by: _____	Comments:
9. Are coaches or 'master trainers' available for staff to rely on if they have assessment questions?	☐ Yes ☐ No	Comments:
10. How often is staff provided or required to complete "booster" training?	☐ Every 12 months ☐ Every 24 months To be completed by: _____	Comments:
11. Have entities that will see/use the results of the assessment (e.g., judges) been trained on how it is administered and how the results can and will be used?	☐ Yes ☐ No To be completed by: _____	Comments:
12. Is there a policy or protocol in place for case plans to be checked by a supervisor to ensure these are in alignment with need areas and strengths?	☐ Yes ☐ No To be completed by: _____	Comments:
13. Has a protocol or policy for the administration and use of the tool been developed?	☐ Yes ☐ No To be completed by: _____	Comments:
14. Has a data reporting system been developed so routine data reports are shared within the agency? What aggregate reports will be developed?	☐ Yes ☐ No To be completed by: _____	Comments:

Risk Screening Tool & Risk-Needs Assessment Quality Assurance Checklists

Risk Screening Tool Quality Assurance Checklist		
1. Is the tool being completed for every eligible youth? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
2. Is the tool being completed in a timely manner as defined in protocols? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
3. Are the results of the tool being shared with the relevant entity(ies) as defined in protocol or information sharing agreements? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
4. Are staff compiling the information into the approved format and sharing it with the relevant entity(ies) in a prescribed timeframe? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
5. What percentage of the time do low risk youth referrals receive the following alternative responses?	% Dismissal _____ % Diversion _____ % Informally processing _____ % No filing _____	Comments:
6. Is the risk tool being input into the electronic database in a timely manner? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:

Risk-Needs Assessment Quality Assurance Checklist

1.	Is the tool being completed for every eligible youth? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
2.	Is the assessment being completed in a timely manner as defined in protocols? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
3.	Are the results of the tool being shared with the relevant entity(ies) as defined in protocol or information sharing agreements? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
4.	Are staff compiling the information into the approved format and sharing it with the relevant entity(ies) in a timely fashion? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
5.	Are youth receiving the appropriate level of supervision given their overall risk rating? 	☐ Yes ☐ No Percentage _____	Comments:
6.	Are the results being used to create individualized case plans based on risk level and unique needs and strengths? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
7.	Are staff making appropriate service recommendations at disposition OR appropriate service referrals according to the service matrix (whichever is applicable)? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
8.	Is the tool being completed to reassess the youth's changing risks and needs as prescribed by policy? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
9.	Do the case plans reflect updated scores from the prescribed reassessment? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
10.	Is there evidence in the files that the reassessment results are being used to enhance decision making and case management? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
11.	11. Do probation sanctions and rewards reflect the youth's risk level as determined through the assessment of needs and strengths? (if applicable) What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
12.	Are assessments being reviewed and approved by a supervisor? What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
13.	Are case plans (if applicable) being reviewed and approved by a supervisor to ensure they are in alignment with the youth's risk factors and strengths What percentage of the time?	☐ Yes ☐ No Percentage _____	Comments:
14.	Are assessments being input into the electronic database in a timely manner?	☐ Yes ☐ No	Comments:

Probation Officer Performance Evaluation

This document shall be used in conjunction with the Jefferson Parish Employee Evaluation in order to clarify not only what is expected of Probation Officer's in the pursuit of best practices (achieving process and client outcomes) but how that will ultimately relate to the employee evaluation, i.e. potential pay raises, continued employment, etc.

This document does not supersede the Jefferson Parish Employee Evaluation; it provides written criteria to assist the Probation Supervisor filling out the evaluation and to make the Probation Officer aware of what it means to meet, exceed or fall short of expectations. This document can also be used to aid the Probation Officer when filling out their Self-Evaluation required by the Department of Juvenile Services.

Probation Benchmarks

1. A higher percentage of cases will successfully complete probation without adjudication for a new delinquent offense

2. A higher percentage of cases requiring therapy / treatment services will receive an evidence based intervention

3. An increase in pro social activity (e.g. organized sports, church groups, mentoring)

4. Reduce the annual number of OJJ secure commitments to a lower percentage of the probation population

5. An increase in the number of youth diverted (deferred dispositions) who are referred by the schools and a reduction in school related arrests for active probation cases

PROBATION OFFICER

Performance Measure	Primary Duties	Exceeds
U1: Knowledge and Skill: "Possesses and exercises the required job knowledge and full range of skills required for competent performance. Stays apprised of new information as it becomes available. Willing to spend time and effort to maintain current and thorough knowledge and skill." *Process Outcomes:* • Referral and Treatment • Sanctions for Non-Compliance • Assessment, Planning and Review *Client Outcomes:* • Achievement of Academic Success • Pro-Social Activity	• Suggests educational options to parents for youth with academic difficulties • Utilizes all options prior to staffing for out-of-home placement • Provides general counseling to youth and family • Utilizes Progressive Sanctioning Ladder to hold youth accountable • Encourages youth to get involved in pro-social activities • Encourages parents to get youth involved in pro-social activities • Administers the SAVRY • Encourages parents with a student demonstrating difficulties (educational and behavioral) to consult with JPPSS for ABIT referral • Refer for assessment / treatment or drug education • Investigate the background of children and families • Prepares predisposition court reports • Attends court hearings, gives testimony and makes recommendations • Diverts appropriate low risk misdemeanor offenders to "Deferred Dispositional Agreements" or Informal FINS • Prepares legal motions and forms • Prepares Individual Service / Case Plans • Prepares Service Plan Reviews	• Consistently high level performance • Demonstrates an advanced proficiency in the full range of work skills and thorough job knowledge • Learns quickly and keeps abreast of changes and new developments in the job • Uses Parish and own resources to improve job knowledge • Shares knowledge with others
U2: Quality of Work: "Demonstrates high degree of accuracy and thoroughness. Completes work timely and without repetitious performance to achieve. Provides clean, neat and well-organized work products. Does not leave loose-ends." *Process Outcomes:* • Referral and Treatment *Client Outcomes:* • Decrease Substance Abuse • Connection to Evidence Based Treatment Intervention	• Works to ensure offenders entering the system are more capable leaving • Conduct Drug Screens • Monitor Treatment • Visits schools • Prepares and submits referrals for treatment and non-therapeutic services • Follows up with treatment providers and maintains ongoing communication • Writes Case / Activity Notes for Case File • Investigate the background of children and families • Prepares predisposition court reports • Collects police reports for PDI and restitution investigations • Monitors Probation conditions • Enters information into court information system • Administers the SAVRY • Prepares Individual Service / Case Plans • Prepares Service Plan Reviews	• Work consistently exceeds the expected level of accuracy, timeliness and thoroughness • Rarely has to repeat the same tasks due to error • Uses innovation to improve work quality

PROBATION OFFICER

Performance Measure	Primary Duties	Exceeds
U3: Volume of Work: "Productive worker provides a proper amount of work. Uses proper work techniques that produce an expected volume of work." *Process Outcomes:* • Administrative • Assessment, Planning and Review	• Prepares monthly statistical reports • Sets office appointments • Writes Case / Activity Notes for Case File • Visits Homes • Enters information into court information system • Visits job sites	• Produces an exceptional level of work output • Utilizes innovative or cost-effective work techniques that enable consistently high levels of work output or efficiency
U4: Safety: "Is familiar with and complies with Parish safety manual. No unacceptable safety violations, accidents, injuries to self or others." *Process Outcomes:* • Referral and Treatment *Client Outcomes:* • Employability Skills	• Visits homes • Visits job sites • Review Safety Manual	• Long career characterized by excellent safety record, no safety violations, accidents or injuries to self or others • Very safety conscious and advocates others to use safe work practices and procedures
U5: Reliability: "Consistently starts / completes assignments within supervisor's established timelines and required level and amount of detail." *Process Outcomes:* • Administrative • Assessment, Planning and Review	• Prepares monthly statistical reports • Prepares Individual Service / Case Plans • Prepares Service Plan Reviews • Prepares and submits referrals for treatment and non-therapeutic services • Writes Case / Activity Notes for Case File • Prepares predisposition court reports • Attends court hearings, gives testimony and makes recommendations • Enters information into court information system • Administers the SAVRY	• Frequently starts/completes work ahead of schedule • Employee is willing to adjust work schedule when warranted • Uses time effectively to complete difficult tasks • Performs work in exemplary detail without sacrificing efficiency or economy • Work products are complete beyond standard expectations
U6: Attendance: "Regularly punctual and present for work. Observes lunch hours, and break and quitting times." *Process Outcomes:* • Court Responsibility	• Attends court hearings, gives testimony and makes recommendations • Review Attendance policy	**N/A**

PROBATION OFFICER

Performance Measure	Primary Duties	Exceeds
U7: Working with Others: "Understands and works according to the need for teamwork and cooperation. Has a positive approach toward requirements of the job. Uses appropriate behavior effectively in varying situations. Exercises adequate interpersonal skills and understands human behavior such that working relationships are smooth and conflicts are resolved by mature and responsible means. Makes visible effort to get along well with co-workers and superiors." *Process Outcomes:* • Referral and Treatment • Administrative • Community Liaison	• Participates in OJJ / DJS staffings to secure services • Routinely meets with Probation Supervisor as directed • Actively participates in staff meetings • Works with community, schools and providers to ensure collective ownership of desired outcomes • Encourages the involvement of parents • Prepares monthly statistical reports • Participates in Supervisor Orientation with youth and family • Enlists the support of the community to respond effectively to youth needs • Collaborates with community partners to strengthen our ability to help those we serve	• Exemplary in behavior towards others • Oriented towards teamwork at all times • Makes an extra effort to serve others • Maintains an organizational perspective • Able to deal effectively with a wide range of situations • Has a sound understanding of interpersonal relations and effectively applies it with individuals or groups • Resolves conflicts congenially • Takes a positive approach in dealing with co-workers and superiors • Exerts a positive influence for cooperation within the organization • Promotes harmony among associates
S1: Serving the Public: "Demonstrates positive public service behavior. Shows interest in and concern for the public's questions or concerns. Helpful and friendly toward the public. Demonstrates tolerance, respect and control in public contact. Follows through to completion on questions or concerns." *Process Outcomes:* • Referral and Treatment • Sanctions for Non-Compliance • Court Responsibility • Community Liaison *Client Outcomes:* • Connection to Evidence Based Treatment Intervention	• Encourages the involvement of parents • Makes arrests • Makes restitution referrals and keeps victims involved in process • Enlists the support of the community to respond effectively to youth needs • Collaborates with community partners to strengthen our ability to help those we serve • Visits homes • Removes youth from community if their safety or the security of the public is jeopardized by their continued presence • Encourages youth to get involved in pro-social activities • Encourages parents to get youth involved in pro-social activities • Diverts appropriate low risk misdemeanor offenders to "Deferred Dispositional Agreements" or Informal FINS • Visits job sites	• Consistently demonstrates good judgment and strong rapport in public contacts • Listens to public concerns and resolves problems or refers to proper source • Handles adverse or pressure situations in an ideal manner • Always follows up with public inquiries

PROBATION OFFICER		
Performance Measure	**Primary Duties**	**Exceeds**
S2: Communication: "Communicates clearly, concisely, accurately and effectively orally and in writing." *Process Outcomes:* • Court Responsibility *Client Outcomes:* • Achievement of Academic Success	• Instructs parents to attend all school conferences (academic and disciplinary) • Prepares predisposition court reports • Suggests educational options to parents for youth with academic difficulties • Writes Case / Activity Notes for Case File • Makes referrals for mentoring • Encourages youth to get involved in pro-social activities • Encourages parents to get youth involved in pro-social activities • Attends court hearings, gives testimony and makes recommendations • Prepares legal motions and forms • Routinely meets with Probation Supervisor as directed • Actively participates in staff meetings • Enters information into court information system • Prepares Individual Service / Case Plans	• Writes well-organized, understandable, and accurate reports • Oral and written presentation is excellent • Listens well and is successful in getting the point across • Encourages open communications to achieve understanding
S3: Decision Making: "Adequately analyzes problems. Generally arrives at correct decisions." *Process Outcomes:* • Sanctions for Non-Compliance • Court Responsibility *Client Outcomes:* • Decrease Substance Abuse • Employability Skills	• Removes youth from community if their safety or the security of the public is jeopardized by their continued presence • Sanction for non-compliance with Drug Screen Policy • Diverts appropriate low risk misdemeanor offenders to "Deferred Dispositional Agreements" or Informal FINS • Refers youth to vocational counselor for job placement • Encourages parents with a student demonstrating difficulties (educational and behavioral) to consult with JPPSS for ABIT referral • Makes referrals for mentoring • Utilizes Progressive Sanctioning Ladder to hold youth accountable • Holds parents accountable for non-compliance with court orders • Makes arrests • Prepares Individual Service / Case Plans	• Makes correct decisions on the most complicated problems • Always gathers the best information to make decisions
S4: Supervision and Management	**N/A**	**N/A**
S5: Equipment and Materials	**N/A**	**N/A**

justice
dignity
equality
respect
individuality
safety
performance
potential
courage
purpose
community
leadership
hope
responsibility
accountability

Robert F. Kennedy
Children's Action Corps

RFK National Resource Center
for Juvenile Justice

The Robert F. Kennedy National Resource Center for Juvenile Justice, led by Robert F. Kennedy Children's Action Corps, provides consultation, technical assistance, and training to serve local, state, and national leaders, practitioners and youth-serving agencies to improve system performance and outcomes for youth involved with the juvenile justice system.

To learn more, please visit: www.rfknrcjj.org.