Continuous Quality Improvement (CQI) Sustainability Planning Guide

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SPECIAL THANKS AND ACKNOWLEDGMENT

The Continuous Quality Improvement (CQI) Committee represents several different juvenile justice professionals from numerous counties in Pennsylvania, representation from the Pennsylvania Council of Chief Juvenile Probation Officers (PCCJPO), the Juvenile Court Judges' Commission (JCJC), and The Carey Group (TCG). This important initiative could not have been accomplished without the diligence and dedication from all members over the course of two years. It is with the greatest appreciation that the committee members are recognized.

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Chapter 1: Introduction to the Continuous Quality Improvement (CQI) Sustainability Planning Guide

The *Continuous Quality Improvement (CQI) Sustainability Planning Guide* is an initiative of the Juvenile Justice System Enhancement Strategy (JJSES). Its goal is to help Pennsylvania juvenile probation chiefs, as well as those responsible for the development and implementation of quality assurance, establish a continuous quality improvement plan. While other juvenile justice professionals may find sections of this guide useful for professional growth, it was written with these audiences in mind.

DEFINING THE TERMS

The terms "quality assurance (QA)" and "continuous quality improvement (CQI)" are often used interchangeably. For purposes of this guide, the following distinctions are made:

- **Quality assurance** answers the question **"Was the activity done?"** Quality assurance tends to examine practices retrospectively to determine if they were conducted.
- **Continuous quality improvement** answers the question **"Was the activity done well?"** As such, CQI is a fluid process of planning (defining the goal and activity), implementing the activity, assessing whether it was implemented in accordance with the plan (by measuring the process and outcomes), and adjusting (through modifications to the process, booster sessions, etc.; see figure 1).

Figure 1: The CQI Process

Planning → Implementing → Assessing → Adjusting

THE IMPORTANCE OF CONTINUOUS QUALITY IMPROVEMENT

The recent explosion of evidence-based practices (EBP) in juvenile justice has changed probation's approach to client management. However, to truly realize the recidivism reduction potential of critically important practices such as motivational interviewing, building professional alliance, effective case planning and management, and skill practice using cognitive-behavioral interventions, staff must be adequately prepared. They must be properly trained, and knowledge and skills learned in the classroom must be transferred to real-world settings. In addition, CQI processes must be put in place to verify whether an agency is doing evidence-based work, how well it is doing it, and if it is leading to the desired outcomes. In this way, CQI serves as a management tool to reinforce desired practices and ensure fidelity. It connects the dots between what happens on a day-to-day basis and the achievement of desired outcomes.

"Drift" can be defined as the process of incrementally departing from an endorsed, proven procedure. Drift occurs when one is trained in the proper way to execute a skill, assessment, or tool only to depart from the sanctioned approach over time. Without a process to prevent drift, it is inevitable. Assessments will not be done accurately, tools will not be used properly, and techniques will be misapplied. The process of CQI will uncover areas in which drift has occurred—as well as the gaps in services and processes, policy shortcomings, and lack of resources that have contributed to the drift—and new areas that need attention. As such, CQI is not the final stage of JJSES implementation; rather, it leads to constant cycles of discovery, action, improvement, and measurement.

IMPLICATIONS OF CQI TO THE BALANCED AND RESTORATIVE JUSTICE (BARJ) MISSION

According to *Advancing Balanced and Restorative Justice Through Pennsylvania's Juvenile Justice System*:

> The JCJC and Pennsylvania Council of Chief Juvenile Probation Officers created the Juvenile Justice System Enhancement Strategy largely out of recognition that the growth of knowledge derived from research evidence required juvenile justice stakeholders to adapt their practices in order to become more effective at achieving BARJ goals. This advanced state of knowledge caused policymakers and practitioners to examine existing practices and ask themselves if they aligned with the research evidence. The result was a sobering realization that existing practices were often not in alignment with research and were often not cost-effective (Blackburn et al., 2015, p. 3).

The implementation of CQI enables juvenile probation departments to achieve the mission of Pennsylvania's juvenile justice system around the BARJ goals:

1. **Community protection:** The public has the right to a safe and secure community. Key to achieving this goal is identifying, managing, and minimizing a youth's risk to re-offend. Identifying risk requires the use of structured decision-making tools to determine those risk factors that may contribute to a youth's delinquent behavior. Managing risk refers to applying restrictions, such as curfews or electronic monitoring, to lessen the possibility of delinquent behavior. Minimizing risk involves using effective interventions to address a youth's criminogenic needs.

2. **Competency development:** Youth should leave the juvenile justice system more capable of being productive and responsible members of their communities. Priority is attached to activities that build skills, including coping skills, moral reasoning skills, academic skills, workforce development skills, and independent living skills. These skills are best learned when they are modeled for youth, practiced by youth, and then demonstrated by youth in a range of increasingly challenging situations. Fostering competencies in youth allows them to build on their strengths, increase their self-esteem, and reduce behaviors that put them and their communities at risk.

3. **Accountability:** Delinquent youth in Pennsylvania incur obligations to their victims and the communities they harmed. Victims and communities assume active roles in defining both the harm and the appropriate response. Youth exhibit true accountability by learning about and acknowledging the harm caused by their behavior, actively assuming and fulfilling their responsibilities for making reparation, paying restitution, and participating in structured activities that benefit the community. Courts and communities support, facilitate, and enforce reparative agreements.

ABOUT THIS GUIDE

The guide addresses seven core areas of CQI related to probation services for youth that are essential in order to achieve the BARJ goals. These core areas are not inclusive of all areas; at some point, consideration should be given to develop a CQI plan for other juvenile justice-related activities. Each of the seven areas listed below potentially impacts multiple parties: youth, families, victims, and/or the community.

1. **Motivational interviewing:** The processes inherent in motivational interviewing (MI) contribute to effective communication skills. MI enhances active listening, collaborative communication, and empowerment, among other areas. MI skills are useful in a juvenile justice setting with youth, family members, victims, and/or the public. CQI in this area provides practitioners with a means to improve their MI skills in order to enhance communication for all involved.
    Related BARJ Goals: Community protection, competency development, accountability
    Affected parties: Youth, family, victim, community

2. **Youth Level of Service/Case Management Inventory (YLS/CMI):** Actuarial assessment tools provide accurate and useful information to help guide practitioners in knowing what actions to take or which additional assessments to administer. Examples of assessments include risk and needs assessments and mental health screens for justice-involved youth; victim safety assessments administered by law enforcement in cases involving domestic violence; and community strength assessments conducted by those involved in prevention. CQI ensures that assessment tools, such as the YLS/CMI, are administered effectively in order to maintain their fidelity.
    Related BARJ Goals: Community protection, competency development
    Affected parties: Youth, family, victim, community

3. **Pennsylvania Detention Risk Assessment Instrument (PaDRAI):** The PaDRAI is used to guide decision making about the placement of youth prior to their hearing (i.e., release, alternative to detention [e.g., evening reporting center, shelter placement]) and the diversion of low-risk youth from further penetration into the justice system. As with the YLS/CMI, CQI ensures that the PaDRAI is administered effectively in order to maintain its objectivity, uniformity, and reliance on evidence-based risk factors.
   Related BARJ Goals: Community protection
   Affected parties: Youth, family, victim, community

4. **Case planning:** When case plans are developed and managed effectively, risk reduction and victim and community restoration are more likely. A case plan should reflect an individual's risk level and address their criminogenic needs, as determined by the assessment; be adjusted according to responsivity factors; build on the youth's strengths; support the youth by engaging family members and the community whenever possible; address the harm caused by the delinquent act; and support restorative interaction between the youth and victim when appropriate. CQI assesses the degree to which case plans incorporate these features.
   Related BARJ Goals: Community protection, competency development, accountability
   Affected parties: Youth, family, victim, community

5. **One-on-one interventions:** Probation officers can reduce re-arrest rates by engaging in skill-building activities during their appointments with youth. These interventions, coupled with skill practice and homework, can have a profound impact on public safety if conducted in accordance with the research. CQI provides probation officers with coaching feedback to enhance their ability to effectively deliver these interventions to youth.
   Related BARJ Goals: Community protection, competency development
   Affected parties: Youth, family, community

6. **Cognitive-behavioral interventions:** The most effective interventions designed to reduce re-arrests are cognitive-behavioral programs. These programs utilize a structured, manualized approach to teach participants prosocial ways of thinking, problem solving skills, social skills, and more. Youth who successfully complete these programs are, on average, less likely to engage in future delinquent activity. This means that the community is better protected, and the youth is better prepared to live in the community without harming themselves or others. CQI provides a means to ensure that these programs are delivered in the way they were intended.
   Related BARJ Goals: Community protection, competency development
   Affected parties: Youth, family, community

7. **Graduated responses:** Effective behavioral responses when youth are compliant (incentives) or noncompliant (sanctions) help guide youth to act responsibly. Risk reduction research supports the goals of responding swiftly, fairly, and with certainty, using a ratio of incentives to sanctions of at least 4:1. CQI processes help ensure that probation staff and the courts respond to youth behavior in a manner that is more likely to positively shape future behavior, thereby benefiting all parties impacted by delinquent activity.
   Related BARJ Goals: Community protection, accountability, competency development
   Affected parties: Youth, family, victim, community

Each chapter related to one of these areas describes what "good practice" looks like; suggests activities that can be implemented to support the CQI effort; details important policy considerations; lists data and performance measures; recommends materials to assist in the facilitation of CQI around the area; and outlines future considerations. This guide also offers direction on establishing an overall CQI plan and on implementing a coaching infrastructure.

> **MORE DEFINITIONS**
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> For purposes of this guide, these terms are defined as follows:
> - **Criminogenic needs:** A youth's characteristics, traits, problems, or issues that are directly related to their likelihood to engage in delinquent behavior.
> - **Risk:** The likelihood of committing a future delinquent act.
> - **Responsivity factor:** An individual trait that may influence how an offender responds to programs and approaches. Interventions should be tailored to individuals' responsivity factors to maximize learning.
> - **Strengths:** Personality traits, skills, and external supports that lead to accomplishment and self-efficacy.
> - **Triggers:** A stimulus that has been repeatedly associated with the preparation, anticipation, or execution of a harmful behavior; can be a person, place, or thing.
> - **Four-Point Structured Appointment:** A structured interaction for a 20-minute appointment between a probation officer and youth that addresses supervision and risk reduction goals It includes a check-in, a review of past assignments, an intervention, and a take-home assignment.

CQI ACTIVITIES

There are a range of activities that a juvenile probation department should consider implementing to ensure high quality in the various CQI areas. These methods should highlight the positive work that is occurring as well as the areas that might need some more attention. Among the CQI activities described in this guide are inter-rater reliability testing, whereby multiple people assess the same case to determine if they arrive at the same score (i.e., a measure to ensure consistent scoring and to ensure that assessors are measuring what they are supposed to measure); the collection of process and outcome measures to determine if drift has occurred; and the introduction of various post-training experiences.

Every year, juvenile probation departments invest a significant portion of their budget on educating staff. The most common tool utilized is formal classroom trainings. Classroom training assumes that staff will transfer new knowledge and skills to the workplace—that a single event will achieve its goal—but experience tells us differently. The probation profession is increasingly discovering what other professionals have learned: training by itself does not yield significant behavioral changes in staff. Post-training experience demonstrates that staff who receive training in skills usually fail to apply those skills due to pressing work demands, lack of urgency, lack of appreciation for the benefit of the new skills to them and/or youth, discomfort in attempting to

use the skills, lack of confidence in their level of competency, an inability or lack of willingness to replace old habits with new processes, lack of organizational support, and/or contradictory messages from management.

Training is necessary but insufficient for skills to be transferred from the classroom to the work setting. Fortunately, research has provided department administrators with a roadmap to successful technology transfer. This research has demonstrated that training followed by coaching services improves comfort with, competency in, and adherence to the new skills. In a particularly compelling research study, Joyce and Showers (2002) showed that 95% of new skills were applied to the work environment when staff received training, had the skills modeled, practiced the skill, received feedback after practicing the skill, and received on-the-job coaching. This compares to a 5% transfer of new skills when staff received only classroom training.

In a study of corrections professionals, coaching improved the transfer of skills and contributed to reductions in recidivism (Lowenkamp, Robinson, Koutsenok, Lowenkamp, & Pearl, 2012; Robinson et al., 2012). Face-to-face EBP coaching sessions after initial training increased corrections professionals' understanding of how to use their newly learned skills on the job and their likelihood to apply these skills in their interactions with justice-involved individuals. In fact, clients on the caseloads of corrections professionals who had received training and coaching were 24% less likely to recidivate than those who did not receive training and coaching.

The following are among the post-training experiences explored in this guide:

- **Booster trainings, unit or staff meetings, brown bag lunches, and learning teams:** Booster trainings, unit or staff meetings, and brown bag lunches all offer opportunities for continued learning. Booster trainings are refreshers on specific topics. These trainings might last a whole day or a half day, or they might take place for one hour every month. They give participants the opportunity to further discuss and practice skills introduced at an initial training, including the opportunity to discuss challenges they have experienced while trying to implement the new skills. Unit or staff meetings can be used to reinforce an important EBP skill, similar to teaching a "skill of the week." Brown bag lunches are informal—usually voluntary—gatherings where staff meet to discuss what is and what is not going well related to a risk reduction activity. Staff bring their lunches, and their supervisor may bring a food item to share. With learning teams, small groups meet for 1 to 2 hours monthly or bi-monthly to practice skills, troubleshoot challenges, and share experiences. Learning teams can be structured—led by a coach—or informal.

- **Peer-to-peer case staffings:** A case staffing is a structured process whereby staff share details about an existing case in order to gain insight from peers on how to maximize results. This process is not the same as a supervisor case review process (sometimes called a case plan audit). Rather, it is a peer-to-peer learning process designed for peers to discuss how they can improve their skills around case planning. There are different ways to choose which case to discuss. It could be a random choice, staff might submit cases of their choosing on a rotating basis, or staff could volunteer a case. Whichever way a case is chosen, a case staffing sheet should be used to focus staff's attention on key factors to consider when developing a case plan, for example, an individual's risk level, criminogenic needs, driver, skill deficits,

responsivity factors, strengths, and triggers, as well as interventions to help the individual develop skills.

- **Individual coaching:** With individual coaching, a coach might observe a probation officer's session with a client in person (i.e., while sitting in on the appointment), through a one-way mirror, using software such as Skype, listening to an audio tape, or watching a videotape. Alternatively, a coach might conduct a case plan review, which is a review of the probation officer's electronic or paper client records. Coaches would use a short checklist to guide their observations and reviews; a coaches' manual would provide more detailed definitions of the items on the checklist, as well as narratives describing what to look for in terms of each item (i.e., the manual might describe the difference between performance scales such as "on target," "largely on target," and "misses the mark"). Staff would be given a copy of the checklist before the observation or review both as a reminder of what effective skills look like and as a "heads up" as to what coaches will be looking for. After coding their observations, coaches would meet with staff, invite staff's thoughts as to how well the session or review went, offer their own feedback, and discuss a path for addressing areas of potential improvement.[1]

Any CQI plan needs to include a number of these activities to ensure that practices, processes, and services are administered as intended and in concert with the research that supports their fidelity. These activities can take place in combination with one another or sequentially. For example, a department might begin with individual coaching and then conduct booster sessions that focus on common areas in need of improvement. Note that not every activity listed above is required in order to effectively implement CQI. Rather, this list offers realistic options that can lead to enhanced performance for both individual probation officers and the department.

KEEPING IT FRESH

Departments are encouraged to consider variations of the CQI methods described in this manual in order to identify what works best for them, and to modify CQI practices in order to keep them from becoming stale and routine.

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[1] For more information about coaching, see appendix 1.

CHAPTER 2: GETTING STARTED

EMBRACING THE SPIRIT OF CONTINUOUS QUALITY IMPROVEMENT:

BECOMING A LEARNING ORGANIZATION

Continuous quality improvement is a key component of a learning organization. In his book *The Fifth Discipline,* Peter Senge (1990) describes learning organizations as places "where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together" (p. 1). In order for CQI to thrive, organizations must adhere to the spirit of continuous learning; professionals must embrace growth and constantly seek ways to hone their craft. CQI is not the responsibility of management or some external source; rather, it is the responsibility of the collective "we." As justice system professionals, we must all seek to achieve the best possible outcomes for those we serve: youth, families, victims, and the community.

For a learning organization to thrive, features such as the following should be present:[2]

- **Engaged leaders:** Engaged leaders emphasize quality and model openness and eagerness to learn.
- **Shared aims:** The vision and mission of the department are clear and unambiguous.
- **External and internal looking:** Participants look internally for answers while recognizing that they are part of a larger juvenile justice community that has additional insights and ideas.
- **Fluid:** A learning organization is not rigid or hierarchical. It embraces a natural and continuous approach to arriving at solutions which is inclusive of all levels of an organization.
- **Incremental:** Participants understand that improvement takes time and patience; growth is often nonlinear and gradual.
- **Reflective and responsive:** Participants spend time reflecting and pushing themselves to change. They do not "sit on" information; rather, they seek to implement new ideas as soon as they understand how improvement can occur.

Naturally, data is a key part of this culture of learning. Data collection and analysis leads to data-driven decision making and an increased likelihood of successful outcomes.

DEVELOP A PLAN, STEP BY STEP

Departments will have different needs, resources, and circumstances that will enhance or restrict opportunities to apply CQI. For instance, a department's CQI activities will vary depending on where the department is in the implementation of case planning: in the early stages of identifying risk domains, in the middle stages of acquiring behavior change tools, or in the later stages of coaching implementation.

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[2] Adapted from C. Joseph McCannon and Rocco J. Perla's *Learning Networks for Sustainable, Large-Scale Improvement.*
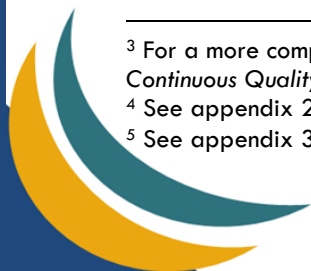
The following is a brief, practical, step-by-step guideline[3] for establishing an overall CQI process within an organization.[4] This guideline will need to be modified for smaller, rural departments.[5]

Step	Description of Step
1. Establish a CQI committee	Set up an ongoing committee of approximately 5–12 individuals representing a diagonal cross-section of agency/department staff. Identify a lead person (CQI coordinator). Create a charter that describes the goals, membership, decision-making process, meeting frequency, and communication expectations. Consider rotating membership to increase input and ownership and involving community service providers. Describe responsibilities such as overseeing the development and implementation of the CQI plan, providing guidance to the CQI coordinator, recruiting and supporting subject matter experts, disseminating performance data, and arranging for targeted booster sessions.
2. Prioritize CQI areas and timelines	Select 1–2 areas in which to conduct CQI. Focus on higher priority areas first. Establish timelines for other areas, recognizing the limitations of department and staff resources, time, and energy. Consider adopting the adage of "go slow to go fast." Set the stage for the entire agency/department around the reasons for the CQI effort and what to expect in the future.
3. Develop a logic model	Define the inputs, activities, outputs, outcomes, goals, and impacts; prepare an initial action plan. The logic model will make transparent assumptions about theory of change and how the inputs and activities will lead to short- and long-term outcomes.
4. Select CQI processes and policies	Determine which methods to use for CQI, and establish policies around the CQI processes (e.g., how often to conduct CQI, how to use the results, etc.). Develop coaches' manuals to ensure a consistent approach.
5. Secure expertise for implementing CQI processes	Determine who will implement CQI processes and the level of training required. Assess the degree to which internal staff can become subject matter experts. Consider a coach for the coaches until no longer needed.
6. Develop opportunities for continuous learning	Set up booster trainings and other opportunities for continuous learning around each core risk reduction activity (especially motivational interviewing, assessing youth using the YLS/CMI, screening youth using the PaDRAI, case planning, conducting effective one-on-one interventions, using cognitive-behavioral interventions, and employing graduated responses). Develop a structure for the trainings that identifies their format, their

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[3] For a more comprehensive step-by-step model, see Jennifer Loeffler-Cobia, Teri Deal, and Anne Rackow's *Continuous Quality Improvement Guide for Juvenile Justice Organizations*.
[4] See appendix 2 for a checklist designed to help departments assess their planning and implementation of CQI.
[5] See appendix 3 for more information about implementing CQI in rural settings.

	frequency, and their leadership. Communicate expectations regarding the number of trainings in which staff will participate and the frequency of their participation.
7. Develop a data collection and utilization plan	From the logic model, identify which key data points will be measured and how the data will be disseminated. Make sure the data identifies short- and long-term outcomes and establishes baseline measures to detect movement over time. Avoid collecting too much data, especially at first. Provide a user-friendly means of sharing the data and holding structured conversations to extract learning.
8. Utilize data to identify areas for improvement	Determine targets for each CQI performance measure and when improvement plans will be activated. Use the data to identify which areas are most in need of improvement and analyze the data to fully understand what is transpiring.
9. Develop improvement plans	Develop a plan to improve performance based on data results. Once the improvements are in place, continue to track performance data to determine if the improvements were successful.
10. Select the next CQI area	Select the next CQI area to implement. Repeat steps 3–10.

TIPS FOR IMPLEMENTATION

CQI is not a project with a beginning and end. It is a process that cycles as improvement opportunities are discovered. Observations and performance measures identify areas for future growth; further learning takes place; new research adds policies and practices requiring additional CQI; staff turnover necessitates renewed efforts. At first blush, CQI can appear to be intimidating; however, much like riding a bike, it becomes second nature as the activities are routinely employed. In fact, it becomes "how we do business." Getting started can be the most daunting task given how vast the subject matter appears to the end user. A few common-sense tips can help probation departments proceed with confidence, for example:

- Pilot the CQI process before rolling out the CQI initiative to the entire agency/department.
- Begin with the easiest CQI effort, to get some experience.
- Wait until the time is right before expanding CQI efforts to other areas.
- Learn from others who have implemented CQI.
- Have in place comprehensive, written policies to ensure the smooth implementation of CQI, as well as mechanisms to systematically review, at pre-determined timeframes, the effectiveness and feasibility of these policies. View policies as "living, breathing" documents, subject to change as required.[6]
- Encourage staff input. For example, if you will be implementing a peer coaching plan for front-line officers, invite them to participate in determining how this will be done and for what reasons. This helps not only to build buy-in but to build a "culture of quality," and it ensures that you are designing a CQI initiative that will actually work—not one that simply sounds good in theory.
- "Go slow to go fast." Don't rush the CQI process; learn as you go, in a measured way.

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[6] See appendix 4 for information about policies specifically related to the observation of staff–client interactions.

Chapter 3: Motivational Interviewing

Motivational interviewing (MI) is a communication style that assists individuals in resolving their ambivalence toward change by focusing on their internal motivation and commitment. As a Stage 2 activity within the JJSES framework, MI allows juvenile probation officers to better determine a youth's readiness to change, to develop a professional alliance with the youth, and to help increase youth motivation to develop the thinking patterns and skills needed to lead a positive, prosocial life.

CQI Activities

Initially, staff should attend a 1.5- or 2-day motivational interviewing training, facilitated by an MI expert, to learn about the fundamentals of MI, including:

- stages of change
- the spirit of MI
- OARS (open-ended questions, affirmations, reflections, and summarizations)
- recognizing and reinforcing change talk
- eliciting and strengthening change talk
- rolling with resistance
- developing a change plan
- consolidating client commitment
- switching between MI and other methods.

The training should include both lecture and an opportunity for staff to practice MI skills.

Following the initial training, agencies may consider implementing CQI activities such as the following to ensure that staff are successfully transferring what they learned in the classroom to their day-to-day interactions with clients:

1. **Booster trainings:** At booster trainings, an in-house MI coach or an outside expert could review a small aspect of MI, such as using affirmations or reinforcing change talk, depending on staff's needs. These trainings should take place routinely, for example, every 6 months.

2. **Learning teams:** Small groups could share their experiences using MI, perhaps bringing cases to the session for discussion and processing; problem solve challenges with MI; and practice their skills.

3. **Individual coaching:** Coaches' observations of staff's MI skills could focus on the following skills and qualities:

   - OARS: To what extent do staff ask open-ended questions, use affirmations where appropriate, conduct reflections, and provide summaries?
   - Collaboration: To what extent do staff demonstrate a partnership with, and mutual respect for, youth? Do they exchange ideas about the case plan? Do they remain grounded in the point of view and experiences of the youth, even during points of disagreement?

- Evocation: To what extent do staff demonstrate an ability to draw out a youth's own thoughts and ideas rather than imposing their opinions on the youth?
- Autonomy: To what extent do staff reinforce that there is no single "right" way to change and that there are multiple ways that change can occur? To what extent do they encourage youth to take the lead in developing a "menu of options" for achieving the desired change?
- Nonjudgmental: To what extent do staff demonstrate respect towards, and acceptance of, youth, regardless of a youth's values or lifestyle?
- Empathy: To what extent do staff demonstrate that they understand the youth's emotions and feelings, and show warmth and caring?
- Promotes self-efficacy: To what extent do staff reinforce a youth's successful efforts, help them visualize success, highlight their progress, and employ other strategies that catalyze youth to continue making behavioral changes to achieve case plan goals?

COACHING DETAILS

- Departments new to MI may want to use experienced, external coaches to train staff in MI and, over time, to establish competencies and proficiencies in potential internal coaches.
- For MI to be successful, coaches should believe in the effectiveness of MI, demonstrate proficiency in MI skills, and be able to teach and provide support to probation officers within the department.
- Coaches should determine which sessions to observe or record in order to assess a juvenile probation officer's MI skills. Not all sessions are equally conducive to these types of observations. For example, the highly structured nature of an intake conference may make this a less than ideal time to assess MI.
- To ensure MI coaching fidelity, inter-rater reliability testing should be implemented. The following are some questions that might be asked when evaluating the inter-rater reliability of MI observations:
    a. Did the coaches capture the same number of open and closed-ended questions?
    b. Were all the coaches able to identify when the probation officer was eliciting change talk with the youth?
    c. Did the coaches evaluate and provide similar ratings for "spirit of MI"?

Policy Considerations

Policies around the effective implementation of MI should address the following areas:

- the purpose of MI
- the department's expectations around staff's use of MI (i.e., with which types of activities?)
- training of staff—both new hires and trained staff—in MI
- ways to measure improvements in the use of MI skills (e.g., increase in staff's MI scores, decrease in youth's YLS/CMI scores, decrease in out-of-home placements and related costs)
- roles and qualifications of MI coaches
- ways to ensure coaching fidelity.

Data and Performance Measures

The following are potential data and performance measures to determine how well motivational interviewing is being implemented and conducted by department staff:

Data Measures

- % of staff who participate in MI 101 training, as measured by successful completion
- Number of subject matter experts training on advanced motivational interviewing
- % of staff who receive coaching from an MI expert according to policy

Performance Measures

- % of staff who use OARS skills, as measured by coding of direct observations or recordings
- % of staff who identify and elicit change talk, as measured by coding of direct observations or recordings
- % of staff who roll with resistance, as measured by coding of direct observations or recordings
- % of staff who partner with the youth, as measured by coding of direct observations or recordings
- % of staff who promote the spirit of MI within all interactions, as measured by coding of direct observations and recordings
- % of times staff respond appropriately to the youth's stage of change:
  - Pre-contemplative (elicit problem recognition)
  - Contemplative (elicit expression of concern)
  - Preparation (elicit intention to change)
  - Action (elicit optimism about change and develop a plan)
  - Maintenance (maintain optimism and monitor the relapse prevention plan)

Future Considerations

Additional development is needed to enhance the CQI effort around MI, including but not limited to:

- establishing regionalized trainings and booster trainings
- having the state MI committee develop MI boosters.

Resources

A number of resources are available through JJSES[7] to assist departments with CQI around MI, including the following:

- *Motivational Interviewing Implementation and Practice Manual*, including the Motivational Interviewing Coding & Feedback Form: https://www.jcjc.pa.gov/Publications/Documents/Motivational%20Interviewing%20Manual.pdf
- *Motivational Interviewing* training video available via Articulate, accessible to local juvenile probation departments
- *Motivational Interviewing Coaches' Workbook*: https://www.jcjc.pa.gov/Publications/Documents/JJSES/Motivational Interviewing Workbook.pdf
- *Motivational Interviewing Bench Card*: https://www.jcjc.pa.gov/Publications/Documents/JJSES/Motivational%20Interviewing_Bench%20Card.pdf.

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[7] Most of the resources listed at the end of each chapter are available through the Pennsylvania Council of Chief Juvenile Probation Officers (PCCJPO) or Juvenile Court Judges' Commission (JCJC) unless otherwise noted

Chapter 4: Youth Level of Service/Case Management Inventory (YLS/CMI)

The Youth Level of Service/Case Management Inventory (YLS/CMI) is an assessment tool that helps identify a youth's level of risk to re-offend, criminogenic needs, and other information useful in determining what supervision level, treatment services, and dosage targets to include in the case plan. As a Stage 2 activity within the JJSES framework, the proper and consistent use of the YLS/CMI is essential to achieving a reduction in recidivism.

CQI Activities

Staff's introductory training on the YLS/CMI is designed to promote the appropriate and effective use of the assessment tool not only initially but over time. The training should be conducted by a certified master trainer and require that staff score a minimum of two standardized practice cases and receive feedback on their scoring. It is recommended that the scoring and feedback be completed in groups.

The maximum number of items that staff can score/rate incorrectly while still being considered proficient or credentialed in administering the YLS/CMI is two incorrect scorings/ratings of items within a domain, or a maximum of four incorrect scorings/ratings in the entire instrument. Staff who have more incorrect responses than the established threshold should receive individual feedback from the master trainer.

COACHING DETAILS

- YLS/CMI master trainers are responsible for training and implementing YLS/CMI within the department and for ensuring continued quality assurance around its use. It is recommended that probation departments designate at least two YLS/CMI master trainers; in larger departments, the number of YLS/CMI master trainers should be proportional to the size of the department.

- Staff members interested in becoming YLS/CMI master trainers will be required to participate in training provided by the Center for Juvenile Justice Training and Research (CJJT&R) or by the Pennsylvania Council of Chief Juvenile Probation Officers (PCCJPO). The training should focus on the development of the YLS/CMI and relevant research on juvenile delinquency, and it should have a skill-based component that requires the participant to score at least two practice cases for discussion and illustrative purposes. Individuals will be required to demonstrate a level of proficiency in scoring two additional standardized practice cases in order to be certified as YLS/CMI master trainers. This training is normally two days in length.

- YLS/CMI master trainers will be required to participate in a one-day recertification training every other year during which they demonstrate proficiency by scoring/rating a standardized practice case. The recertification training should also serve as a forum to discuss and share policy and protocol issues and advanced practices in the use of the YLS/CMI. YLS/CMI master trainers are also expected to participate on master trainer conference calls, currently scheduled twice a year.
- To help ensure inter-rater reliability[8] for master trainers, departments that have more than one master trainer could compare the trainers' scoring of standardized practice cases. In departments with only one master trainer, the master trainer could partner with the master trainer from a neighboring department for inter-reliability testing.

After the initial training, agencies may consider implementing CQI activities such as the following to ensure ongoing fidelity to the YLS/CMI's intended application:

1. **Booster trainings:** All staff who are responsible for completing the YLS/CMI assessment should receive YLS/CMI booster trainings twice a year (generally every 6 months). Trainings should focus on the following topics:
   - when, and for which cases, to conduct the YLS/CMI assessment
   - how to complete the YLS/CMI assessment
   - how to share YLS/CMI assessment results with:
     - youth
     - their families
     - the court or other stakeholders
   - how to use the results of the YLS/CMI assessment for case planning and management, including making a referral for disposition, selecting appropriate service referrals, and determining the appropriate level of supervision.

   Initial booster trainings can be conducted in one of the following ways:
   - All staff complete another standardized practice case and receive feedback from master trainers.
     - Standardized practice cases and scoring keys are developed by the PCJJPO Assessment and Case Planning Subcommittee and are disseminated bi-annually to county juvenile probation departments.
   - YLS/CMI master trainers present a case that all staff score/rate, and there is discussion about the most appropriate ratings.

   Both these training methods assess staff's inter-rater reliability.[9] Following inter-rater reliability testing, staff would discuss how to use the assessment results for case planning, as described above.

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[8] Inter-rater reliability is a measure used to assess the degree of agreement among raters in accordance with the fidelity of an instrument. Sufficient inter-rater reliability ensures that the same individual would be scored consistently and accurately by different raters in different locations.

[9] Departments may wish to keep a record of the date of each training and of each probation officer's score to determine how inter-rater reliability changes over time.

Future booster sessions could build upon the results of inter-rater reliability testing. For example, if staff frequently scored the "Peer Relations Domain" inaccurately, future trainings could focus on this area.

2. **Individual coaching:** With coaching on the YLS/CMI, master trainers would observe a staff member administering the assessment while simultaneously completing it themselves. Then, they would compare their results with those of the observed staff member. The master trainer would also verify that staff used all available information to score the tool. At a minimum, this would include all current, relevant, existing file information as well as information gleaned from interviews with the youth and their family.

3. **Reports:** Currently, there are 11 reports within the Juvenile Case Management System (JCMS) that hold value in ensuring YLS/CMI quality assurance. Below is a description of each report and ways to use it to ensure QA.

   i. **Overrides by Interviewer:** This report allows the juvenile probation department to examine assessment overrides within a given date range. (Overrides should not exceed 10% of all cases.[10]) This report can be used to:
      - highlight if an override is being used to increase or decrease the overall risk level of a juvenile offender
      - identify if a particular officer or unit is more likely to override a YLS/CMI risk score than others within the department.

   ii. **Probation Officer Caseloads with YLS/CMI Scoring:** This report provides an overall picture of the YLS/CMI assessment for each youth on a specific probation officer's caseload, including the date of the most recent approved YLS/CMI, most recent assessment type, score, risk level, and average YLS/CMI score. The report can be used to ensure that the ratio of high- (or low- or medium-) risk youth on each probation officer's caseload is reasonable.[11]

   iii. **YLS/CMI Scoring Detail by Date Range:** This report is one of the most detailed reports in JCMS. It includes the following data points for an identified date range: the juvenile's name, assessment type, assessment date, score, risk level, risk factor breakdown, strengths, and identified probation officer. The report can be filtered by initial, review, or closing assessment. This report can be used to:
      - determine if the appropriate number of assessments are being completed, as outlined by departmental policy
      - review the risk factors within a certain date range and/or by assessment type to evaluate the needs of the juvenile offender population
      - find assessments that have not been completed or that have been disapproved in the system[12]

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[10] For more information, see "Professional Override Procedure" in the "Policy Considerations" section of this chapter.
[11] This report is also available in iDashboards and can be filtered by probation officers under specific supervisors. Supervisors/master trainers should have access to iDashboards in order to be able to review this information.
[12] When an assessment has been disapproved, the juvenile's name will appear, but the information will be blank.

- assess inter-rater reliability data within a specific date range (e.g., monthly, quarterly, etc.).

iv. **YLS/CMI Interviewers' Strength Selection by Date Range:** This report highlights the percentage and number of juveniles with a particular YLS/CMI domain marked as a strength. The report can be used to identify:

- the degree to which probation officers are indicating youths' strengths within the YLS/CMI
- strengths common among youth, so that trainings could be conducted on how to use those strengths in case planning.

v. **YLS/CMI History for Closed Juveniles with Date Range:** This report allows users to review the YLS/CMI history for any juvenile closed within a selected date range. Information gathered through this report helps:

- evaluate the progression of a juvenile's risk level and risk factors while the youth is active with the juvenile probation department
- evaluate performance measures as they relate to risk reduction in juvenile offenders
- determine if assessments were completed or missed according to departmental policy.

vi. **YLS/CMI Scoring Detail Report for Juvenile:** This report provides a visual representation of the information for a specific juvenile, as identified in the report "YLS/CMI History for Closed Juveniles with Date Range," including a bar graph showing the juvenile's progression of overall risk scores.[13]

vii. **YLS/CMI Interviewer History (date range) – Total Score Risk Level Classification:** This report offers a detailed overview of the YLS/CMI assessments a specific probation officer has completed within a specific timeframe. This is especially important information for supervisors who are reviewing new probation officers' YLS/CMI assessments. In addition, this report allows for the identification of patterns or trends in an officer's scoring of the YLS/CMI over time.

viii–xi. **Comparison of YLS/CMI Initial Assessment and Closing Assessment Scores:** These four reports compare, for all closed cases within a specified date range, the initial and closing assessment results of juveniles at all risk levels, and they identify the number and percentage of juvenile offenders who remained at the initial risk level or moved to another risk level, by:

a. probation officer and age group of the youth
b. probation officer and gender of the youth
c. probation officer
d. probation officer and race/ethnicity of the youth.

This information helps identify whether there is greater success around risk reduction within a specific age range, gender, or race/ethnicity, and/or with a specific probation officer.

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[13] In order to run this report, a juvenile must be selected in the search option within the reports section of JCMS.
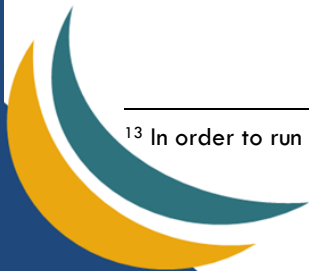
Policy Considerations

Policies around the effective implementation of YLS/CMI assessments should address the following areas:

- **Staff Training Requirements (including boosters):** Each juvenile probation department should outline in its YLS/CMI policies the requirements for a probation officer's initial YLS/CMI training. In addition, it is strongly encouraged that YLS/CMI booster training requirements be articulated in the policies. Policies should indicate timeframes and activities for all trainings to ensure that they are delivered with consistency. Departments are strongly encouraged to track the YLS/CMI data on booster cases to identify staff proficiency in completing the YLS/CMI accurately and consistently.

- **Using the YLS/CMI Inventory Ratings Guide When Completing Assessments:** It is important for probation officers to know what practices to adhere to when completing a YLS/CMI assessment. For quality assurance purposes, it should be noted in a department's policy guidelines that probation officers should ALWAYS use their YLS/CMI Inventory Ratings Guide when completing a YLS/CMI assessment.

- **Standards for Initial Assessment, Reassessment, and Case Closing Assessment:** Each juvenile probation department should outline within their YLS/CMI policies when an initial assessment, reassessment, and case closing assessment should be completed. Initial assessment timeframes may vary slightly among juvenile probation departments because of differences in intake and court procedures and practices. Best practice is to complete the initial assessment prior to the youth's disposition and to use assessment results to help guide disposition and treatment decisions. It is recommended that all reassessments occur at least every 6 months. Case closing assessments should be completed for all cases where an initial assessment was completed (with a few potential exceptions, such as diversion cases).

- **Supervisor/Master Trainer Approval:** YLS/CMI policies should stipulate that supervisors and/or master trainers should initially review, for accuracy and completeness, all YLS/CMI assessments conducted by newly trained staff for a period of 6 months.

- **Professional Overrides:** Rules for professional overrides should be included in YLS/CMI policies. As mentioned above, the YLS/CMI manual dictates that a department's professional override rate should not exceed 10% of assessments. If a department's override rate is greater than 10%, internal mechanisms should be established to examine and review the reasons for the override cases and to take corrective action.

- **Sharing Assessment Results with Youth/Family:** Sharing assessment results is one of the first steps to completing case plans and moving toward positive behavior change. Juvenile probation departments should include procedures for when and how to share assessments results with youth and their families.

- **Integrating YLS/CMI Results into the Case Plan:** YLS/CMI assessment results should form the basis of a youth's case plan to ensure that their criminogenic needs are properly addressed. This requirement should be articulated in the YLS/CMI policy and the case planning policy. (For more information on case planning, see the "Case Planning" chapter.)

- **Inclusion of YLS/CMI Results in Referral Information to Providers:** Department policy should indicate that the most recent YLS/CMI results should be included in any referral packet given to a community-based or residential placement service provider.

- **Supervision Level and Contact Requirements:** Each probation department's YLS/CMI policy should include contact requirements for every YLS/CMI assessment risk level, with distinct and separate requirements for each level. (Reports in JCMS allow for the tracking and monitoring of probation officer contacts according to the YLS/CMI risk level.)

- **Quality Assurance Procedures:** Juvenile probation departments should establish policies regarding YLS/CMI quality assurance, such as those noted in the "CQI Activities" section of this chapter.

Data and Performance Measures

The following are potential data and performance measures to determine how well YLS/CMI assessments are being administered and used by department staff:

Data Measures

- % of YLS/CMI assessments (initial, review, and closing) that are completed according to the respective department's policy, as measured by various JCMS reports or iDashboards
- % of YLS/CMI overrides in a department, as measured by the "Overrides by Interviewer" report
- % of YLS/CMI overrides in a given timeframe, as measured by the "Overrides by Interviewer" report
- % of YLS/CMI assessments (initial, review, and closing) completed according to departmental policy
- % of officers who use effective information-gathering techniques to complete YLS/CMI assessments, as measured by direct observations and/or case file reviews
- # and % of officers who demonstrate competency in booster sessions
- # and % of master trainers who demonstrate competency in recertification booster sessions

Performance Measures

- % of youth whose risk level decreases from initial assessment to closing assessment[14]
- % reduction in the "big four" risk factor areas (attitudes/orientation, personality/behavior, peer relations, family circumstances), as measured by changes in scores within each of the four risk domains

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[14] This performance measure is an extremely important measure that every juvenile probation department should aim to achieve with each youth.

Future Considerations

Additional development is needed to enhance the continuous quality improvement effort around the use of the YLS/CMI, including but not limited to:

- adopting a means to ensure counties' participation on the bi-annual YLS/CMI master trainer conference calls
- applying the remediation plan to address implementation challenges.

Resources

A number of resources are available to assist departments with CQI around the use of the YLS/CMI, including the following:

- *YLS/CMI Bench Card*: https://www.jcjc.pa.gov/Balanced-Restorative-Mission/Pages/SystemEnhancementStrategy.aspx
- *YLS/CMI Ratings and User Guide*: Requires training for use and is distributed on an annual basis to juvenile probation chiefs and master trainers
- Standardized practice cases for inter-rater reliability testing: Currently, 21 practice cases have been developed and are available upon request
- YLS/CMI Report Overview
- YLS/CMI Manual: Available through Multi-Health Systems Inc.—https://www.mhs.com/MHS-Publicsafety?prodname=yls-cmi)
- PA Statewide Quality Assurance document: forthcoming.

Chapter 5: Pennsylvania Detention Risk Assessment Instrument (PaDRAI)

The Pennsylvania Detention Risk Assessment Instrument (PaDRAI) is an objective assessment tool that has been validated specifically with a juvenile offender population in Pennsylvania (Maloney, 2016). It is used to help probation officers and juvenile probation departments decide whether to securely detain a youth, release the youth to an alternative to detention (ATD), or release the youth to the custody of a parent or responsible adult while the youth is awaiting their juvenile court hearing (see figure 2).[15]

Figure 2: The PaDRAI's Purpose

The PaDRAI evaluates a youth's likelihood to:

| Appear for a juvenile court hearing | → | While awaiting their juvenile court hearing |
| Commit additional offenses | | |
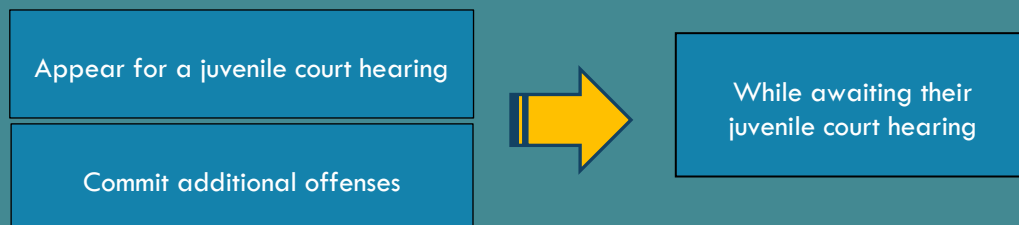
The PaDRAI is designed to minimize bias while promoting fair and transparent decisions for the use of secure detention and alternatives. These decisions are critical given the harmful effects that secure detention may have on youth who do not present a significant risk to community safety and who are not a flight risk (Holman & Ziedenberg, 2006). See figure 3 for more information about how the PaDRAI is used for detention screening.

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[15] While the instrument is named the Pennsylvania Detention Risk Assessment Instrument (PaDRAI), it is technically a screening instrument. A screening instrument is commonly defined as being a very brief tool (e.g., less than 10 minutes to complete) that uses limited information in a standardized, consistent manner for a specific decision. The terms of "assessment" and "screening" are used interchangeably in this chapter.

Figure 3: The PaDRAI

Purpose and Benefits of Detention Screening

Purpose of Detention: To ensure youth appear in court and to minimize the risk to public safety (reoffending), for the specific, short period of time while youth are awaiting final case disposition.

Purpose and Benefits of Detention Screening			
Promotes	**Enhances**	**Ensures**	**Creates**
• Fairness • Consistency • Equity	• Accountability • Effective resource allocation	• Transparency	• Defensible, rational system

What the PaDRAI is designed to measure:

The PaDRAI is designed to measure risk to re-offend and/or fail to appear during the specific time period while the youth is awaiting his/her first Juvenile Court hearing.

Principles Underlying the PaDRAI

Objectivity ➕ Uniformity ➕ Risk-Based ＝ **Fundamental Fairness**

Detention Risk Screening: Supervision Recommendations

The PaDRAI provides for 3 detention-decision recommendations:

Secure Detention

Release
• Release to a parent/guardian/responsible adult pending appearance in court

ATD
• Direct placement onto an Alternative to Detention (ATD) pending appearance in court
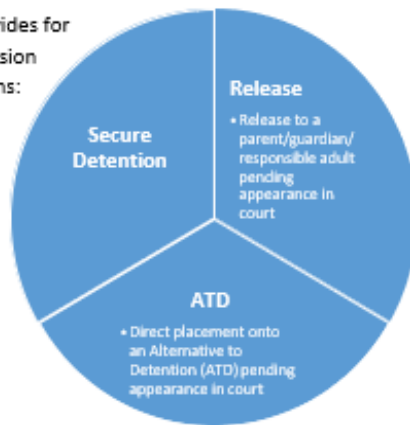
Recommendation is based upon the youth's cumulative risk score:

Detention Risk Screening: The Decision "Tree"

- 15 + points **Secure Detention**
- 10-14 points **ATD**
- 0-9 points **Release**
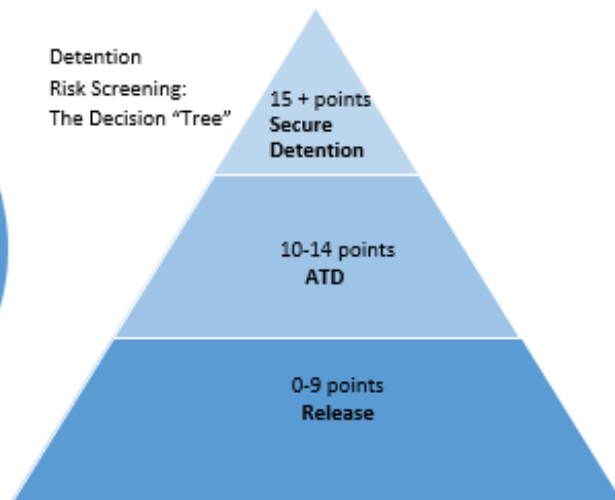
The Critical Role of the ATD

- Often youth are released following short periods of secure detention
- Appropriate use of ATDs are safe, allow for the youth to remain in the community, and provide for effective use of resources

ATD

Purpose of ATD

Mirrors Purpose of Secure Detention

Minimize risk to re-offend

Ensure appearance in court

CQI Activities

There are at least three important ways to CQI around the use of the PaDRAI:

1. **Initial Training:** Training on the purpose, principles, and use of the PaDRAI should be conducted as part of local efforts to orient new juvenile probation officers. Training should include proper scoring of the instrument, use of discretionary overrides, judicial mandatory detention decisions, and the use of the PaDRAI to guide detention-related decisions, including local alternatives.

2. **Inter-Rater Reliability Testing:** During the initial stages of implementation, a juvenile probation administrator or designated PaDRAI coordinator should review all PaDRAIs for accuracy and completeness. After the initial stages of implementation, reviews of completed PaDRAIs should be conducted every 6 months, with no less than 10% (at least five cases) of a staff member's completed PaDRAIs reviewed.

3. **Booster trainings:** Booster trainings should occur at least annually or any time there is a change in local policy regarding the use of secure detention and/or alternatives. Depending on the circumstances, booster trainings would include discussions about new policies or refreshers on how to conduct screenings using the PaDRAI. For example, small groups of staff might use the PaDRAI to screen youth from the department. Discussions would follow to ensure inter-rater reliability and the effective use of PaDRAI results to assist in case planning.

> **COACHING DETAIL**
> The proper application of the PaDRAI and resulting decisions should be a regular topic of supervisors' meetings with staff.

4. **Reports:** There are eight reports within the Juvenile Case Management System (JCMS) specifically geared to ensuring CQI in the area of the PaDRAI. Reports that provide override information are especially important because of the potential overuse of discretionary overrides; these reports should be reviewed monthly for best practice standards.

   i. **PaDRAI Completed by Date Range Brief:** This report provides an aggregated look at the number of assessments completed during an identified date range. It can be used as a quick check to determine if the number of assessments that should be completed during the timeframe are occurring.

   ii. **PaDRAI Completed by Date Range Detail:** This report provides details about the assessments completed during the identified date range, including demographic information pertaining to each juvenile, the outcome of the assessment, the decision that was actually made by the assessor, override information, and the most serious charge at the time of assessment. With this report, supervisors or identified CQI probation officers can examine department trends within the date range.

iii. **PaDRAI Override Reason OTHER Comments:** This report provides a review of approved overrides and information from the comments section, including required justifications for overrides. This information helps determine whether policy or practice changes need to be made to prevent the overuse of overrides.

iv. **PaDRAI Override Summary:** This report offers a visual representation of the percentage/number of overrides and the assessor's final determination. It also shows, at a glance, if overrides are for secure detention, alternatives to detention, or releases.

v. **PaDRAI Override Type Counts:** This report provides a breakdown on PaDRAI overrides by type, with the appropriate count. It can be used as a quick reference when evaluating the reasons for an override.

vi. **PaDRAI Approvals Pending:** This report can be used to ensure that outstanding assessments are being approved in the appropriate timeframe and by the appropriate individuals.

vii. **PaDRAI Totals by Gender, Race, and Ethnicity:** This report offers demographic information—specifically, related to race, gender, and ethnicity—related to PaDRAI assessments completed within the department. This information helps highlight developing trends.

viii. **PaDRAI Totals Summary:** The Totals Summary report allows users to look at the number of assessments that have been completed, those cases in which an assessment was not administered and the reason why, and the actual decision versus the PaDRAI results.

Policy Considerations

Policies around the effective implementation of the PaDRAI should address the following questions:

- **Who will be assessed and when?** A county can determine that all youth who have contact with the juvenile probation office, any youth who is petitioned for juvenile court, or any youth who is being considered for secure detention should be assessed. It is important for a jurisdiction to select an option that minimizes the potential for bias.

- **How should technical violations be addressed?** Probation officers might assume that the PaDRAI can assist in determining whether secure detention is appropriate for a youth with a technical violation. Policies should clearly indicate that the PaDRAI is specifically designed to assess risk to fail to appear for a hearing or risk of committing an offense while awaiting a juvenile court hearing. It is not appropriate to use the PaDRAI in the case of technical violations. Instead, a system of graduated responses should be utilized. (See chapter 9 for more information about graduated responses.)

- **Under what circumstances are discretionary overrides acceptable?** No structured decision-making instrument is able to account for every unique scenario with which a probation department may be faced. When using the PaDRAI, overrides may be necessary to reflect mitigating and aggravating factors. With mitigating factors, a youth's score on the PaDRAI might result in a recommendation of secure detention; however, factors such as the age of the youth or mental health problems may lead a juvenile probation officer to determine that an alternative to detention or release to a parent or responsible adult would be more appropriate. With aggravating factors, a youth's score on the PaDRAI might result in a recommendation of an alternative to detention or release to a parent or responsible adult; however, factors such as threats against a prior victim or significant destabilizing factors may lead the officer to conclude that secure detention would be more appropriate.

  Clear policies should be in place that outline when overrides—whether a result of mitigating or aggravating factors—are appropriate. For example, policies might state the following:
  - All overrides must be documented.
  - A specific factor or reason must be provided for the override.
  - The override must be approved.
  - The overrides must be monitored on a consistent basis.

MONITORING OVERRIDES

In cases where overrides are due to mitigating factors, tracking would reveal a youth's rate of failure to appear for hearings and/or re-offending while awaiting their juvenile court hearing. In cases where overrides are due to aggravating factors, tracking would reveal the length of detention pending release. High rates of overrides may stem from a variety of reasons (e.g., lack of buy-in, tool calibration, etc.). It is standard practice to accept a small percent of overrides in recognition of unique circumstances. Significant levels of overrides undermine the integrity of the risk instrument. According to the Annie E. Casey Foundation, a standard of acceptable practice is an override rate of no more than 15% (Steinhart, 2006). Juvenile probation departments with high override rates are encouraged to acquire technical assistance to determine the causes and solutions.

- **Under what circumstances should mandatory detentions be adopted?** With mandatory detentions, youth are detained regardless of their score on the PaDRAI. The circumstances of mandatory detention are set by local judicial policy and may include, for example, possession of a firearm or certain drug offenses. It is strongly recommended that the use of mandatory detentions be limited; that policies regarding mandatory detentions be specific, in writing, and signed by the Juvenile Court Judge and/or Chief Juvenile Probation Officer; and that mandatory detentions be reviewed at least every 6 months to determine if they should remain in effect.

- **What alternatives to detention are available?** The availability of quality alternatives to detention is important to the successful use of the PaDRAI. Each county must continually evaluate the need and effectiveness of the identified alternatives. If more options are required, counties should look to develop or contract with providers to obtain the necessary services.

  Figures 4 and 5 show two examples of alternative to detention continuums.
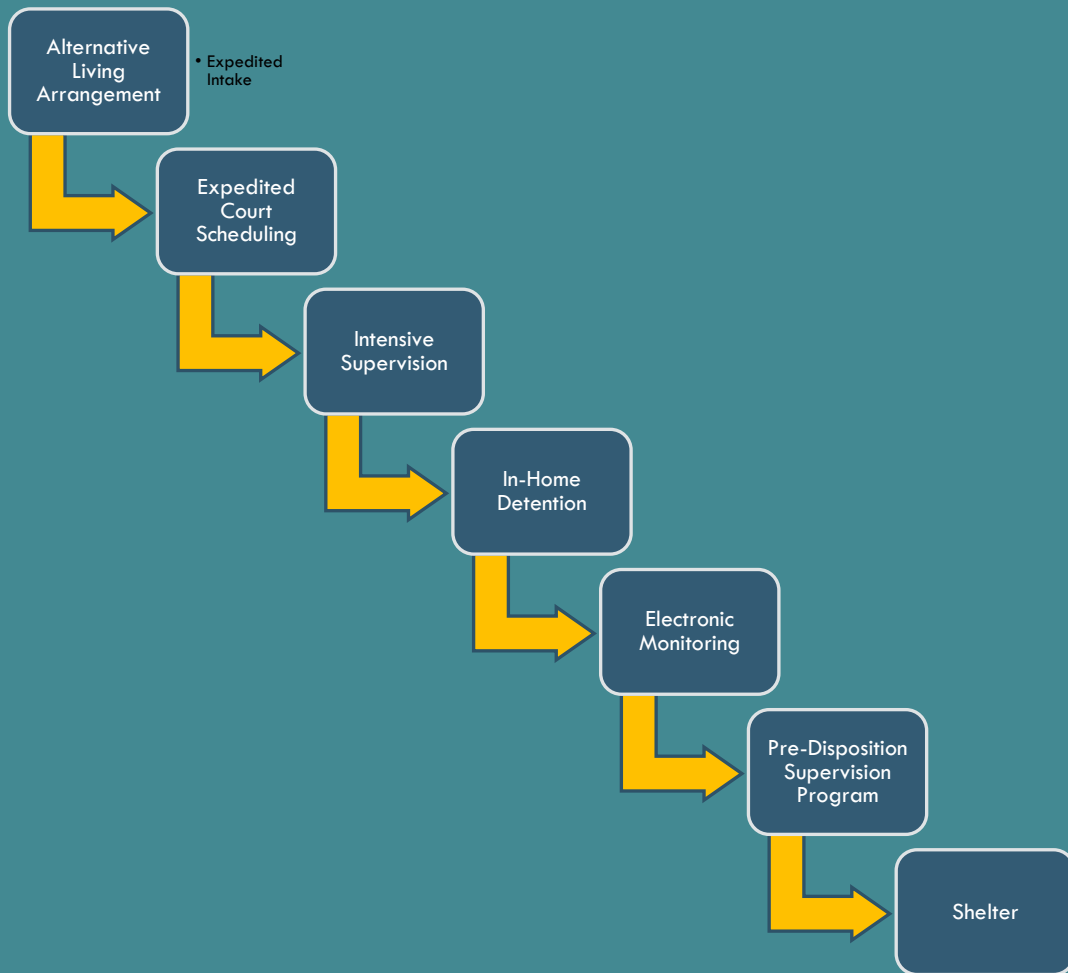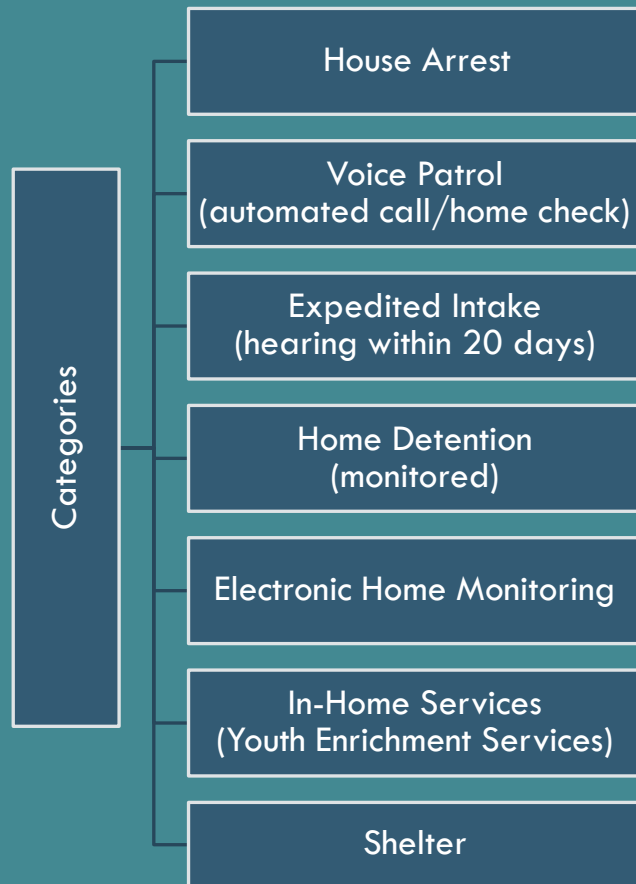

Figure 4: Conceptual Model of Alternatives to Detention

Figure 5: Allegheny County Court of Common Pleas Alternatives to Detention

Categories
- House Arrest
- Voice Patrol (automated call/home check)
- Expedited Intake (hearing within 20 days)
- Home Detention (monitored)
- Electronic Home Monitoring
- In-Home Services (Youth Enrichment Services)
- Shelter

Data and Performance Measures

The following are potential data and performance measures to determine how well PaDRAI assessments are being administered and used by department staff:

Data Measures

- # of detention admissions
- # of completed PaDRAIs
- # and % of detentions without PaDRAIs
- Reasons by # and % for detentions without PaDRAIs
- Mitigating overrides:
  - # and % of mitigating overrides
  - # and % of mitigating overrides by reason

- # and % of mitigating overrides by race, ethnicity, gender, and age
- # and % of mitigating overrides that fail to appear
- # and % of mitigating overrides that re-offend
- # and % of mitigating overrides by offense type and grading
- Aggravating overrides:
  - # and % of aggravating overrides
  - # and % of aggravating overrides by reason
  - # and % of aggravating overrides by race, ethnicity, gender, and age
- # and % of mandatory detentions
- # and % of mandatory detentions by reason
- # and % of mandatory detentions that scored +15 on the PaDRAI
- # and % of decisions that did not adhere to PaDRAI recommendations
- # and % of decisions that did not adhere to PaDRAI recommendation and where the youth failed to appear or re-offended

Performance Measures

- # and % of youth who failed to appear for a hearing
  - # and % of youth who failed to appear for a hearing by race, ethnicity, gender, and age
- Length of time between the PaDRAI and failure to appear (<10 days, 10–30 days, 30–60 days, >60 days)
- # and % of failures to appear by type of ATD and release to parent/responsible adult
- # and % of youth who re-offended before hearing
  - # and % of youth who re-offended before hearing by race, ethnicity, gender, and age
  - # and % of youth who re-offended by type and grading of offense
- Length of time between the PaDRAI and re-offense (<10 days, 10–30 days, 30–60 days, >60 days)
- # and % of re-offense by type of ATD and release to parent/responsible adult

Future Considerations

JCJC should distribute quarterly reports to counties using the PaDRAI to allow for consistent analysis of data and ongoing communication about areas of possible concern. In addition, departments should consider:

- conducting revalidation studies of the PaDRAI at regular intervals
- evaluating the collection of PaDRAI data and modifying the process, as necessary
- establishing a PaDRAI Steering Committee to evaluate the use of the PaDRAI and to address operational issues.

Resources

A number of resources are available to assist departments with CQI around the use of the PaDRAI, including the following:

- PaDRAI Implementation Manual
- *Juvenile Detention Risk Assessment: A Practice Guide for Juvenile Detention Reform*: http://www.aecf.org/resources/a-practice-guide-to-juvenile-detention-reform-1/
- *Pennsylvania Detention Risk Assessment Instrument (PaDRAI)*: https://www.pachiefprobationofficers.org/docs/PaDRAI_Handbook_0318.pdf
- PaDRAI Data & Performance Measures Checklist

Chapter 6: Case Planning

Case plans are written documents that outline goals and activities that a youth, their family, and the juvenile probation officer will engage in over the course of supervision to address the youth's skill deficits, reduce the risk of recidivism, address restorative objectives, and increase the possibility of a successful completion of supervision. Case plans are not the same as a juvenile probation department's standard conditions of supervision or rules of probation.

Case plans are based on the results of the YLS/CMI assessment. This point is reflected in the *JJSES Implementation Manual*'s description of case planning competency: "Staff will demonstrate an understanding of matching identified criminogenic risks/needs with appropriate interventions, engaging families in the assessment process, the components of an effective case plan, and using a SMART process in developing case plans."

CQI Activities

Case planning CQI assesses two processes: the writing of an effective case plan (e.g., ensuring that it is SMART: **s**pecific, **m**easurable, **a**chievable, **r**ealistic, **t**imebound) and the ongoing management of the plan (e.g., ensuring that the plan is responsive to the individual's risk level, criminogenic needs, and responsivity factors). There are three common ways to conduct case planning CQI: individual coaching, booster trainings, and learning teams.

1. **Individual coaching:** With individual case planning coaching, a coordinator/coach[16] conducts a case file review. They thoroughly review the file, including the YLS/CMI assessment, case plan, and case notes that describe the nature of the ongoing interactions between the probation officer and the youth and their family.[17] Then, they use a checklist to identify whether the plan meets the criteria of an effective case plan and ongoing case management.[18]

   Case plans should consider:

   - the criminogenic needs that the youth will address during supervision, especially the driver (i.e., the dynamic risk factor that most influences the delinquent behavior), not conditions of supervision unless they address one of these needs
   - skill deficits related to the prioritized criminogenic need areas
   - responsivity factors (e.g., mental health, trauma, language/culture, developmental age, motivation)
   - the youth's strengths
   - potential triggers.

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[16] The term "coordinator/coach" is used for coaching-related duties that are focused on case planning. Given the number and diversity of coaches (e.g., MI, EPICS, etc.), this term is used to distinguish a case plan coach from other coaches.

[17] Case notes should be jotted down after every one-on-one appointment and indicate which criminogenic need was the focus of the appointment; whether a skill was taught and, if so, which one; whether a skill practice was conducted; whether homework related to the criminogenic need was assigned; and how long the appointment was.

[18] Appendix 5 contains one example of a case plan coaching checklist that a department might use. Efforts are underway in Pennsylvania to complete sample case plan coaching checklists for both community-based and residential environments.

Case plans should:

- be completed within the required timeframe
- be linked to the assessment results
- apply to moderate- or high-risk youth (i.e., avoid over-servicing low-risk youth)
- be simple and brief, with only one or two goals and one or two activities per goal
- include cognitive-behavioral activities
- be written using SMART activities
- be developmentally appropriate
- include dosage targets (hours, duration, and intensity)
- document incentives and graduated sanctions
- be created collaboratively with the youth, youth's family, and service providers
- be signed by the youth and their family.

In terms of effective case management:

- case plans should be reviewed and updated on a regular basis, as new responsivity factors emerge, it is discovered that certain strategies are not working, goals are met, risk level changes (i.e., increases or decreases), and so on
- referrals to services and interventions should be linked to the youth's assessment, specifically their risk level, criminogenic needs, and responsivity factors
- discharge should be tied to completion of criminogenic need programming.

COACHING DETAILS
- Case plan coordinators/coaches can be supervisors, or they can be peers properly trained in effective case planning. Case plan coordinators/coaches are often YLS/CMI master trainers who also participate in case planning-related forums. In addition, they are involved in YLS/CMI booster sessions which include case planning-related subject matter.
- A department may wish to have two individuals review the same probation officer's case plan and compare notes to arrive at a common analysis. Both individuals would then meet with the probation officer to provide coaching.
- In rural areas, a neighboring county might review a couple case plans and share their observations with the originating county.

2. **Booster trainings:** Case planning booster trainings can take two main forms:
   i. In a structured, facilitated training, staff might score a YLS/CMI assessment and then identify the top three criminogenic needs, the driver, related skill deficits, responsivity

factors, strengths, and triggers. Then, they would write a case plan that includes goals and SMART activities to address the skill deficits.[19]

ii. Booster trainings can be customized based on performance gaps found in case file reviews. Trainings such as these might focus on one particular aspect of case planning and management, such as identifying the driver, identifying skill deficits associated with a youth's criminogenic needs, matching interventions/services to the criminogenic needs, writing goals and SMART activities, building on strengths, addressing responsivity factors, addressing triggers, revising case plans as needed, and aligning case plan development with case plan policies (e.g., when case plans should be developed, what level of family involvement and engagement is expected, when case plans should be updated).

3. **Learning teams:** Learning teams would use the case plan checklist to review an actual case plan and provide the author with constructive feedback. Different learning team meetings would focus on different probation officers' case plans.

Policy Considerations

Policies around effective case planning and management should answer questions such as the following:

- For whom should case plans be created? Who should be excluded from having a case plan?
- How should departments handle case plans for youth in placement?
- How long after a YLS/CMI assessment is conducted should a case plan be written?
- Should case plans be completed on paper or electronically?
- What should be addressed in case plans (e.g., how many criminogenic needs, and which ones)?
- With whom should case plans be shared?
- What level of family/guardian involvement and engagement is expected?
- What level of involvement and engagement by community-based and residential treatment providers is expected?
- How frequently should case plans be updated?
- How will case plan coordinators/coaches be selected?
- What is the process for conducting case plan reviews? How frequently should they be conducted? How will they be conducted? Will scoring be used when conducting a case plan review or will case plan coordinators/coaches use some other means of measuring compliance with expectations? How many cases will be reviewed per staff member? How will the information be used?

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[19] The *Case Plan Best Practice Recommendations* document, developed by the Case Plan Workgroup (a subgroup of the Assessment/Case Planning Committee) in 2016, details a 14-step process for conducting a combined YLS/CMI/case plan booster. Documents provided to probation officers prior to the booster, such as the *Case Plan Handbook*, *Field Case Plan*, and *Skill Deficit Sheet*, would help prepare staff for the training.

The department may want to establish a policy committee to answer some of these questions and/or seek advice from other Pennsylvania juvenile probation departments that have already developed their own policies.[20]

POLICIES REGARDING RISK LEVELS AND MOST INFLUENTIAL CRIMINOGENIC NEEDS IN CASE PLANS

All departments are encouraged to adopt policies that require the probation officer to integrate into the case plan the risk level and top criminogenic needs, as identified by the YLS/CMI. The four most influential criminogenic needs (see table 1) should take priority over the other four risk factors, since addressing those needs produces the greatest reductions in recidivism. The non-criminogenic needs may also have to be addressed in the case plan before the youth is able to work on their criminogenic needs.

Table 1: Criminogenic and Non-Criminogenic Needs

Most Influential Criminogenic Needs	Other Criminogenic Needs	Non-Criminogenic Needs
Attitudes/orientation	Substance abuse	Self-esteem
Personality/behavior	Education	Personal distress
Peer relations	Employment	Learning disability
Family circumstances	Leisure/recreation	Mental health

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[20] The *Case Plan Best Practice Recommendations* document is a very helpful resource for those interested in developing policies related to case planning and management. It offers best practices around who gets a case plan, how case plans are developed, and how to manage case plans. It also contains a template for a letter to a youth's parent or guardian about their case plan and various checklists. It should be noted that, at the time of this writing, case planning policies and tools are still being developed by the JJSES Case Planning Committee.

Data and Performance Measures

The following are potential data and performance measures to determine how well department staff are developing and managing case plans. Ultimately, progress in these areas is determined by a reduction in risk assessment domain scores and recidivism.

Data Measures

- % of medium- and high-risk case plans completed in the timeframe set by agency policy
- % of reviewed case plans developed with youth input
- % of medium- and high-risk case plans addressing the driver
- % of medium- and high-risk youth whose four most influential criminogenic needs are addressed during supervision
- % of medium- and high-risk youth referred to programming who attend programming (specify programming type)
- % of medium- and high-risk youth referred to programming who complete programming (specify programming type)
- % of medium- and high-risk youth who receive programming that addresses their criminogenic needs
- % of intervention referrals in which the right program is matched to the right youth, given responsivity factors
- % of medium- and high-risk youth who receive the targeted intervention dosage in the intended duration
- % of youth released from residential care who have a reentry plan before release
- % of medium- and high-risk youth whose families are involved in the development of their case plans
- % of medium- and high-risk cases where interventions occur in the proper sequence
- % of reviewed case plans that reflect the youth's responsivity factors
- % of reviewed case plans that take into account the youth's strengths
- % of reviewed case plans that take into account the youth's triggers (i.e., a relapse plan is developed)
- % of reviewed case plans that are written according to SMART guidelines

Performance Measures

- Average change in antisocial attitudes, coping skills, and other behavioral indicators based on pre- and post-testing with an instrument designed to measure the need area (e.g., the "How I Think" instrument, which measures antisocial cognition)
- Average decrease in overall risk level based on YLS/CMI reassessment
- Average decrease in four most influential needs upon discharge

Future Considerations

Significant progress has been made in creating policies around case planning and management, developing a case plan template, and training staff in case planning and management. As departments incorporate the newly developed practices, additional advancements will be required. The following are suggestions for further enhancements:

- Determine statewide performance measures for case plans and case planning (e.g., decrease in YLS/CMI scores, use of SMART criteria in writing case plans, etc.).
- Stay informed of emerging research and be prepared to modify case plan guidelines as needed. For example, as new research on dosage emerges, recommended programming targets for different risk levels or service types may require revision.
- Continue to diversify and expand case planning support activities, including core case planning training, webinars, boosters, and so on. For example, develop and deliver core case planning training across the state.
- Disseminate departments' innovative CQI practices related to case planning.
- Expand and clarify criteria for case plan coordinators/coaches.
- Complete a case planning manual for coordinators/coaches that provides instructions on how to score measures on the case planning checklist.

Resources

A number of resources are available to assist departments with CQI around case planning, including the following:

- Case Plan Best Practice Recommendations document
- *YLS & Case Plan Bench Card*: https://www.jcjc.pa.gov/Publications/Documents/JJSES/Youth%20Level%20of%20Service%20and%20Case%20Plan%20–%20Bench%20Card.pdf
- Case Planning Handbook – YLS/CMI Version: https://pachiefprobationofficers.org/docs/Case_Planning_Handbook.pdf
- Case Plan Quality Assurance Checklist (Community-Based and Placement): forthcoming
- Booster cases for inter-rater reliability testing
- Blank and completed case plans
- Carey Group Publishing's *Supervisor's EBP BriefCASE* http://careygrouppublishing.com/supervisors-ebp-brief-case[21]
- Examples of case plan policies: available from regional case planning coordinators
- Carey Group Publishing's *Case Planning* Carey Guide http://careygrouppublishing.com/the-carey-guides.

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[21] Modules 6–11 of the *Supervisor's EBP BriefCASE* focus on case planning.

Chapter 7: One-on-One Interventions

One-on-one interventions between a probation officer and justice-involved youth can significantly reduce recidivism when they are conducted in accordance with research-informed principles. The interactions are more likely to lead to success when there is rapport between the probation officer and the youth, interventions address the youth's criminogenic needs and the skill deficits associated with those needs, a cognitive-behavioral approach is applied, skill practice around an influential risk factor is conducted, and skills are rehearsed with sufficient frequency to become second nature.

CQI Activities

Evidence-based practices can be challenging to apply effectively and consistently. Some officers may be uncomfortable with their risk reduction role; others may have difficulty motivating youth to engage in risk reduction activities; still others may experience challenges focusing their appointments on a youth's criminogenic needs and skill deficits. Booster trainings, learning teams, and individual coaching are some of the CQI activities that can be used to ensure that officers are employing evidence-based practices in their one-on-one interventions effectively, consistently, and with fidelity.

1. **Booster trainings:** Booster trainings in the area of effective one-on-one interventions would highlight various skills that probation officers could use to help youth learn new, positive behaviors. For example, trainings might focus on how to:
   - structure appointments so they remain focused on youths' criminogenic needs and skills deficits
   - select appropriate tools to address skill deficits
   - model new behaviors
   - conduct effective practice sessions
   - graduate the difficulty of practice sessions
   - help youth transfer skills learned in one-on-one interactions to a range of situations in their daily environment.

   During booster trainings, juvenile probation officers could also be introduced to tools to support their work, such as the following:
   - the Appointment Structure Four-Point Checklist,[22] which provides clear guidance about how to structure a 20-minute appointment:
     - 4–5 minutes for a **check-in** to determine if there are any crises that need to be addressed and to monitor youth's compliance with supervision conditions
     - 4–5 minutes for a **review** of the previous appointment's take-home assignment
     - 10 minutes for an **intervention**, when a new skill is taught, demonstrated, modeled, and practiced
     - 1 minute to assign a **take-home assignment** related to the appointment's skill practice

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[22] The Appointment Structure Four-Point Checklist is one of several tools that the JJSES has made available to help probation officers prepare for skill-building appointments and for coaches to use as coaching aids. Individual counties have made available a range of other tools.

- the Driver Workbook, by Carey Group Publishing, which helps probation officers and youth jointly determine the criminogenic need that most influences the illegal behavior
- a list of skill deficits that probation officers can use to help determine a focus for case plan activities
- cognitive behavioral tools to help teach new skills, including the Carey Guides and Brief Intervention ToolS (BITS), both by Carey Group Publishing; The Change Companies' journals[23]; and the Youth Crossroads curriculum, published by the National Curriculum and Training Institute
- a session preparation sheet to help probation officers prepare for their next appointment (see figure 6)

Figure 6: Session Preparation Sheet

Youth's Name: Justin Young

Session Date: May 22

Session Goal: Learn how to negotiate/compromise about household rules

Activities During One-on-One Intervention

- Identify five household rules
- Discuss why it is important to have household rules
- Teach and practice negotiating/compromising about one household rule that the youth finds problematic

Take-Home Assignment

- Negotiate with the person who created the household rule and come up with a compromise, if possible

- the Effective Practices in Community Supervision (EPICS) model, which promotes, among other teachings, a strong professional alliance, the use of cognitive restructuring and structured skill building to address criminogenic needs, problem solving skills, the effective use of disapproval/approval, and the effective use of authority.
- a contact note template to help probation officers document the key risk reduction activities in JCMS

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[23] See chapter 8 for information about cognitive behavioral interventions provided to groups rather than to individuals in one-on-one interventions.

- quality contact checklists for certain key PO functions, such as initial appointments, one-on-one contacts, and responses to prosocial and noncompliant behaviors[24]
- skill transfer forms, which provide a structured set of questions that juvenile probation officers can use to help youth transfer the knowledge and skills they learn in group programming to diverse situations in their day-to-day lives (e.g., home, school, work).[25]

The use of tools such as these has been demonstrated to have a positive impact on probation officers' use of risk reduction strategies.

2. **Learning teams:** Small groups could meet to discuss a probation officer's one-on-one interventions with a particular youth, sharing a different case at each learning team get-together. Probation officers would discuss their successes and challenges, and problem solve together. Learning teams might also role-play interactions and offer feedback to one another.

3. **Individual coaching:** Coaches would observe a probation officer's one-on-one interventions and note whether the probation officer is following the four-point appointment structure, focusing appointments on criminogenic needs, choosing cognitive tools to address skill deficits, modeling skills, engaging the youth in skill practice, and helping the youth transfer skills to their natural setting. Alternatively, coaches could review staff's appointment notes to see what activities they conducted during their one-on-one interventions. Coaches should be cautioned, however, that this type of review will not necessarily reveal the quality of staff's interventions.

Observations or reviews of appointment notes would be followed by a meeting during which staff share their impressions of their one-on-one interventions, coaches offer their feedback, and together they make a plan to address areas of concern.

COACHING DETAILS

- Coaches for one-on-one appointments should be proficient in a wide variety of skills, including using motivational interviewing, demonstrating professional alliance, employing cognitive-behavioral interventions, and conducting skill practice sessions. All these skills contribute to effective one-on-one interventions.
- In smaller counties, one-on-one intervention coaches would most likely also be involved in other CQI risk reduction activities such as motivational interviewing or case planning.
- Not all one-on-one appointments are appropriate for risk reduction activities and, therefore, for observation and coaching. The goal of an appointment may be to build rapport, gather additional youth or family information, address a violation behavior, and so on. CQI coaches looking to assess the effectiveness of one-on-one interventions should be sure to observe appointments that focus on risk reduction.

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[24] Lehigh County Juvenile Probation Department developed a list of skill deficits, a contact note template, a session preparation sheet, and quality contact checklists. An internal review revealed that the consistency of key risk reduction services delivered by POs who used the quality contact checklists increased by 20–30%.

[25] Authors of some cognitive-behavioral interventions have provided skill transfer forms for their curricula (e.g., for Aggression Replacement Training® [ART®] and for the National Curriculum and Training Institute's Youth Crossroads curriculum [Cog Talks™ and structured homework]). In other cases, counties, such as Mercer County Probation Department, have created their own skill transfer forms.

- To ensure one-on-one intervention coaching fidelity, inter-rater reliability testing should be implemented.

Policy Considerations

Policies around effective one-on-one interventions should address questions such as the following:

- How should staff document their activities in one-on-one appointments?

DOCUMENTING ACTIVITIES CONDUCTED IN ONE-ON-ONE APPOINTMENTS

A policy might stipulate that activities must be recorded in detailed behavioral terms, indicating, for example:

- whether a previous assignment was reviewed during an appointment and what transpired
- which skill deficit was addressed in the appointment
- whether a new skill was taught, demonstrated, and practiced
- what tools were used
- whether a take-home assignment was given
- how much time was devoted to addressing the youth's criminogenic needs.

This information facilitates the CQI process, making it possible for the department to determine the degree to which the specific activities were conducted and the degree to which the way they were conducted is consistent with the research.

- How do staff determine what is an appropriate, high-quality cognitive tool when there are so many options?
- How much time should the check-in take when the youth describes a self-reported crisis?
- What should staff do when discussions start to become more therapeutic in nature?
- When is it appropriate to "back off" during a one-on-one intervention (e.g., if the youth is exhibiting anxiety)?
- What should a one-on-one intervention look like when it is in the home or school rather than in the office?
- How long should an appointment be in a school setting (i.e., where academic schedules must be met)?
- When should staff engage the family in the intervention?
- How comprehensive should department-created checklists be?[26]

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[26] While rating forms that are 1–3 pages in length may seem easier and less time-consuming to administer than longer forms, and while they may feel more user-friendly to most staff, departments would have to rely on coaches to pick up nuances that are not included on these shorter forms. This may reduce the likelihood that staff receive consistent and targeted feedback on effective interventions.

- How should coaches handle long checklists created by organizations to support their intervention models?[27]

Fortunately, many policies related to one-on-one interventions have been drafted and implemented throughout Pennsylvania Juvenile Justice and can be requested from individual county departments. Departments creating new policies will not need to start from scratch.

Data and Performance Measures

The following are potential data and performance measures to determine the effectiveness of staff's one-on-one interventions:

Data Measures

- % of one-on-one appointments during which staff teach a concrete skill related to a criminogenic need
- % of times when staff teaching a concrete skill related to a criminogenic need demonstrate the skill before asking the youth to practice it
- % of one-on-one appointments during which staff conduct a practice session (role-play) related to a criminogenic need
- % of one-on-one appointments during which staff teach a concrete problem-solving skill using a worksheet, journal, or other structured written tool
- % of one-on-one appointments during which staff give the youth a take-home assignment related to a criminogenic need
- % of appointments during which the probation officer reviews the homework that was previously assigned
- % of one-on-one appointments that are 20 minutes or longer

Performance Measures

- % decrease in antisocial attitudes (based on pre- and post-test scores)
- % increase in prosocial behavior (or decrease in antisocial behavior), as determined by a behavioral checklist
- % decrease in YLS/CMI domain scores

Future Considerations

Pennsylvania has made great progress ensuring that probation officers teach skills that reduce recidivism in their one-on-one appointments, especially when compared to the field on a national level. However, the JJSES expectation around one-on-one interventions still represents one of the biggest challenges going forward. Youth motivation to work on skills varies widely; staff often express discomfort with their role demonstrating and practicing skills with youth; and teaching

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[27] One example of a long checklist is the nine-page checklist, with 116 items, developed by the University of Cincinnati Corrections Institute to rate staff's use of EPICS. While a coach would not code all 116 items—since all the risk reduction activities listed on the form would not be used in a single appointment—there is nonetheless a large number of items that would need to be coded and analyzed.

skills with fidelity requires constant CQI attention. In light of these challenges, the following are suggestions for further enhancements:

- Develop teaching videos for staff on effective one-on-one interventions and on overcoming barriers.
- Provide a quicker and more efficient means of helping staff identify the cognitive tools that work best with each skill deficit.
- Routinize the use of cognitive-behavioral skill transfer forms.
- Adopt model CQI policies on effective one-on-one interventions.
- Clarify the circumstances under which one-on-one interventions contribute toward target dosage.
- Develop a written structure and model protocols to enhance departments' use of one-on-one skill practice and introduce these structures and protocols at booster sessions.
- Continue to modify JCMS to allow staff to explicitly document risk reduction activities in one-on-one interventions.

Resources

A number of resources are available to assist departments with CQI around one-on-one interventions, including the following:

- *Case Planning Handbook – YLS/CMI Version*: https://pachiefprobationofficers.org/docs/Case_Planning_Handbook.pdf
- Carey Guides *Behavioral Techniques* and *What Makes an Effective Corrections Professional?* http://careygrouppublishing.com/the-carey-guides [28]
- Pennsylvania Juvenile Department CQI checklists and policies from local Pennsylvania counties, including:
  - examples of one-on-one effective intervention checklists
  - case plan activities and homework options
  - list of skill deficits
  - skill transfer forms
- Carey Group Publishing's *Supervisor's EBP BriefCASE* http://careygrouppublishing.com/supervisors-ebp-brief-case[29]
- Professional Alliance Traits Self-Assessment
- Sequential Steps of Skill Practice.

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[28] The Carey Guide *Behavioral Techniques* helps probation officers prepare clients for appointments in which they will be practicing skills to address their criminogenic needs. The Carey Guide *What Makes an Effective Corrections Professional?* invites probation officers to reflect on their skills, including their case planning and management skills, and to create a plan to address areas of potential improvement.

[29] Modules 12–16 of the *Supervisor's EBP BriefCASE* focus on conducting skill practice sessions.

Chapter 8: Cognitive-Behavioral Interventions

Cognitive-behavioral interventions (CBI) are among the most effective form of interventions available to the juvenile justice system. This effectiveness is, in part, because they address the most influential criminogenic needs (attitudes/orientation, personality/behavior, and peer relations). More specifically, they examine the association among thoughts, feelings, and behaviors; focus on cognitive restructuring; and build social and problem-solving skills. Cognitive-behavioral interventions can be provided in one-on-one interventions, but many tend to be group programs. These programs are usually manualized to promote standardized content and a standardized approach; this helps ensure that interventions are delivered with fidelity to the model.

This chapter focuses on the most common cognitive-behavioral interventions delivered to groups in Pennsylvania's Juvenile Justice System:

- Aggression Replacement Training® (ART)
- The Change Companies' Forward Thinking®
- Moral Reconation Training® (MRT)
- The National Institute of Corrections' Thinking for a Change (T4C)
- The National Curriculum and Training Institute's Youth Crossroads

Most cognitive-behavioral interventions used in Pennsylvania, such as those listed above, have been developed outside of the local jurisdiction, are proprietary, have been determined to be evidence-based or evidence-informed, and are facilitated by service providers. However, a number of local probation departments have developed their own CBI services and/or developed internal capacity to facilitate CBI groups.

CQI Activities

CQI activities for CBI do not follow the same process as the other risk reduction activities described in this manual. This is because, in Pennsylvania, JJSES has adopted the Standardized Program Evaluation Protocol (SPEP™) for CBI, including for services offered within a program. As such, the SPEP™ is the preferred method of assessing whether fidelity mechanisms are in place for any CBI—whether it is proprietary or locally developed, administered to individuals or to groups (see figure 7).

Figure 7: Uses of the SPEP™
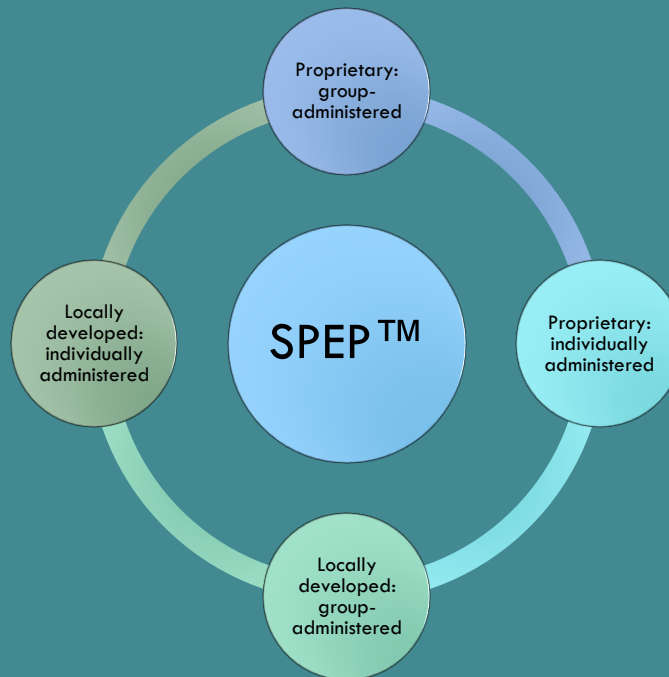
The SPEP™ is a validated, data-driven rating system that assesses how well an existing program matches research evidence regarding risk reduction. The SPEP™ is based on a meta-analysis conducted by Dr. Mark Lipsey and his colleagues of more than 740 controlled studies of interventions with juvenile offenders carried out over the last 20 years. It is used to determine the potential effectiveness of 14 types of juvenile justice services, including restorative, counseling, and skill-building services, in reducing recidivism and to identify areas for improvement. Services are assigned points based on how closely they align with four characteristics that research has shown to be effective in reducing recidivism including:

1. Program type: Different points are assigned to different types of services. For example, cognitive-behavioral interventions[30] are scored higher than social skills training. Group counseling scores higher than individual counseling.

2. Quality of service delivery: Ratings for quality of services are based on four features:
   i. Written protocol: Is there, and do staff use, a written manual or similar protocol that describes the service and how it should be delivered?
   ii. Staff training: Do staff who are delivering the service have the appropriate license or other credentials to deliver the service? Have they been trained in the particular service?
   iii. Staff supervision: What process is in place to monitor the quality of the service delivery?
   iv. Responses to drift: What procedures or policies are in place and are used for responding to departures in protocol?

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[30] The SPEP™ refers to "cognitive-behavioral interventions" as "cognitive-behavioral therapy (CBT)."

3. Amount of service: The SPEP™ assesses the proportion of youth who are receiving the recommended duration (i.e., number of weeks) and dosage (i.e., number of hours) of the service. The higher the proportion of youth receiving the recommended duration and dosage, the higher the score.

4. Level of risk: Research has shown that juvenile justice services are most effective with higher risk youth, so services delivered to higher risk youth receive more points.

Each service is given a basic score (total points received out of a possible 100) and a program optimization percentage (POP). The basic score compares the service to other services found in the research, regardless of service type (e.g., cognitive-behavioral interventions compared to individual counseling), while the POP compares the service to the same service types found in the research (e.g., cognitive-behavioral interventions compared to all other cognitive-behavioral interventions). Suggestions are provided to improve performance (i.e., to improve the capacity for recidivism reduction). These improvements might include, for example, updating a program manual, developing a written policy, improving communication, developing data systems, using checklists, increasing service duration, or using a pre/post-test. Then, probation and service providers jointly develop and implement a performance improvement plan.

THE SPEP™

In Pennsylvania, the SPEP™ process is led by a consortium of partners, including:

- **Evidence-Based Prevention & Intervention Support Center (EPISCenter):** The EPISCenter staff work alongside juvenile probation departments and service providers to conduct the SPEP™ assessments. They provide full-time Vanderbilt-certified SPEP™ trainers and are available for consultation services. Their role includes:
  - ensuring that Pennsylvania has a network of trained SPEP™ assessors
  - preparing agencies for the SPEP™
  - analyzing the assessment findings
  - promoting performance improvement.

The EPISCenter website provides many helpful resources, including SPEP™ service type fact sheets, an SPEP™ logic model, scoring worksheets, checklists, research underlying the SPEP™, a performance improvement guide, a template for a performance improvement plan, and other related information.

- **Pennsylvania Commission on Crime and Delinquency (PCCD):** PCCD provides leadership, coordination, and financial support to infuse the state with services that have gone through the SPEP™ process. PCCD further supports the effort by hosting a webpage on the SPEP™, encouraging local county probation departments and community service organizations to utilize the SPEP™ process, and posting results for community-based and residential services on their website. PCCD also co-chairs the SPEP™ Advisory Group, which meets on a quarterly basis.

- **Pennsylvania Department of Human Services (DHS):** DHS, through the Office of Children, Youth and Families, provides funding for probation departments through memorandums of understanding, assists service organizations in acquiring CBI programs, and coordinates the conduct of SPEP™ assessments by the EPISCenter.

- **Vanderbilt University:** Under the direction of Dr. Gabrielle Chapman and Dr. Mark Lipsey, Vanderbilt University has provided ongoing technical assistance regarding the implementation of the SPEP™ in Pennsylvania. Through Learning Community meetings, Learning Community calls, and ongoing training, Dr. Chapman supports Pennsylvania's continued efforts to have services engage in the SPEP™ assessment.

Other consortium partners include the Juvenile Court Judges' Commission, the Pennsylvania Council of Chief Juvenile Probation Officers, the Pennsylvania Department of Health Services, residential and community-based service providers, and individual local juvenile probation departments. Among juvenile probation departments, the level of engagement in the SPEP™ varies: some counties are not trained to administer the SPEP™ but have received preliminary training to be SPEP™-informed, while other counties provide Level 1 certified SPEP™ representatives or, in some cases, Level 2 trainers as points of contact.

The SPEP™ process follows seven steps (see figure 8) that can be administered only by individuals who have been properly trained and certified.

Figure 8: The SPEP™ Process

Step	Description
Identify	• Identify juvenile justice programs
Match	• Classify programs into services • Match with research-based SPEP™ service categories
Data	• Obtain demographic, risk, quality, and quantity data for each service
Score	• Enter data into the SPEP™ model to generate the SPEP™ score
Evaluate	• Evaluate performance based on the SPEP™ components and overall score
Implement	• Establish and implement a written performance improvement plan with measureable goals
Rescore	• Generate the SPEP™ rescore, after ample time for plan implementation has passed

Juvenile probation departments should be prepared to commit the time required to conduct the SPEP™ process effectively; this amount of time increases as the number of interventions and desired pace of the evaluation process increases. In addition, implementing the performance improvement plan that results from the feedback report requires a commitment of resources and time. Most individuals participating in the SPEP™ process would attest to the fact that the benefits far outweigh the commitment of resources, both in terms of improving services and reducing youth recidivism.

Policy Considerations

Policies around cognitive-behavioral interventions should focus on ensuring that, when interventions are first rolled out, they are delivered with fidelity to the model; when interventions are assessed using the SPEP™, probation departments and service providers are prepared for the assessment; and when feedback is generated by the SPEP™, performance improvement plans are developed and implemented. Examples of policies in each of these areas follow:

- **Fidelity to the model:** As mentioned above, one of the characteristics that the SPEP™ considers is the amount of service a youth receives; the SPEP™ recommends a certain duration and dosage for each type of service. In some jurisdictions, the amount of service a youth receives is provided to courts for review. Courts and attorneys are strongly urged to promote practices that ensure youth continue receiving cognitive-behavioral interventions until their duration and dosage targets have been reached rather than prematurely removing youth from these interventions, except under extenuating circumstances. Providing interventions for the recommended duration and dosage will lead to maximum risk reduction.

- **Preparing for the SPEP™:** Policies should be put in place to help determine which cognitive-behavioral interventions should be prioritized for the SPEP™. Interventions that the majority, or that most, youth receive; interventions with the greatest potential for recidivism reduction; and service provider and stakeholder preferences should be prioritized.

  Policies and protocols should also be put in place to ensure that those conducting the SPEP™ have all the resources they need for their review, for example, CQI protocols such as logic models, facilitator proficiency certification, implementation guides, suggested readings, observation requirements, quality assurance reviews, pre/post-testing, online reporting (for data entry and evaluation purposes), facilitator evaluation forms, participant assessment instruments, and participant progress instruments. Probation departments should provide service providers with the SPEP™ Pre-Visit Checklist, available on the EPISCenter website, so that they can prepare for their SPEP™ interview.

- **Implementing performance improvement plans:** Results from the SPEP™ process will likely evoke policy and practice changes (e.g., development of manuals, changes in referral criteria or program length). SPEP™-generated performance improvement plans will need to be discussed with service providers, probation department staff, courts, and stakeholders. To ensure that this dialogue is as productive as possible, the goal of the SPEP™—to improve risk reduction—should be kept front and center.

It should be noted that no single program or service will likely achieve the desired outcomes. Many of the CQI areas discussed in this manual are interconnected. For example, an actuarial risk instrument completed with fidelity helps identify whether CBI is appropriate for a given youth. Effective motivational interviewing and rapport-building during a cognitive-behavioral intervention can improve the readiness of a youth to undergo a change process. Effective one-on-one interventions between a probation officer and youth can reinforce what the youth is learning through CBI. As such, CBI policies and practices designed to reduce youth re-arrest must be considered in conjunction with policies and practices in the other areas.

Data and Performance Measures

The following are potential data and performance measures to determine the effectiveness of cognitive-behavioral interventions in general and as related to the SPEP™:

Data Measures

- % youth who successfully complete the CBI
- % youth who indicate on a survey that the CBI helped them make better choices
- # and % of community-based and residential services designed to reduce youth risk of re-offense that underwent the SPEP™ process
- % improvement on the basic SPEP™ score or program optimization percentage

Performance Measures

- % reduction of youth antisocial sentiment based on pre/post-CBI test
- % reduction in the YLS/CMI score as a result of the CBI

Future Considerations

The SPEP™ is advancing the quality of CBI and other risk reduction services. Service providers—whether community-based, residential, or probation departments—benefit from performance improvement plans brought about through the SPEP™ process. Although the structure is in place for the SPEP™ process, not all departments and service providers are taking advantage of the opportunity. Some of this has been due to a lack of both staffing/capacity at EPISCenter and of trained juvenile probation officers available to conduct the SPEP™ outside of their own county. Looking forward, it is hoped that more departments will engage in the SPEP™ process in order to ensure CBI fidelity.

Pennsylvania would also benefit from a Pennsylvania-specific SPEP™ validation study to determine the scoring threshold that represents positive impact on recidivism. Until now, two SPEP™ validation studies had been conducted—both in Arizona. Other SPEP™ validation studies are underway. Fortunately, PCCD is currently funding a University of Pittsburgh validation study; results are expected in 2019–2020.

Resources

A number of resources are available to assist departments with CQI around cognitive-behavioral interventions, including the following:

- *SPEP™ Bench Card*:
  https://www.jcjc.pa.gov/Publications/Documents/JJSES/Standardized%20Program%20Evaluation%20Protocol%20(SPEP).pdf
- PCCJPO webpage on SPEP™: https://www.pachiefprobationofficers.org/spep.php
- PCCD's webpage on SPEP™: http://www.pccd.pa.gov/Juvenile-Justice/Pages/Standarized-Program-Evaluation-Protocol.aspx
- EPISCenter webpage on SPEP™: http://episcenter.psu.edu/juvenile/SPEP.

Chapter 9: Graduated Responses

The use of graduated responses is an empirically based strategy for responding effectively to prosocial and noncompliant behaviors. Incentives and sanctions that are administered incrementally, proportionately, and predictably encourage and reinforce positive behavior and discourage negative, noncompliant behaviors. The goal for a graduated response system is for incentives to exceed sanctions by at least a 4:1 ratio.

> **BEHAVIOR CHANGE RESPONSES**
>
> In some situations, violations and negative behavior may require a behavior change response, such as treatment or an intervention, perhaps in addition to a sanction. It is important that these types of responses not be considered sanctions; rather, they are responses intended to help youth build skills and address challenges that may make it difficult for them to achieve their goals.

CQI Activities

There are several ways to implement CQI processes for graduated responses, including the following:

1. **Initial training:** All juvenile probation officers who are responsible for administering graduated responses should be trained on their department's graduated responses policies and protocols. Thoroughly understanding the policies and protocols, including the guiding principles and definitions, will help officers clearly explain to youth and their families the reasons for implementing graduated responses and how this approach is grounded in evidence-based practices and Pennsylvania's JJSES.

> **EXPLAINING THE GRADUATED RESPONSE SYSTEM TO YOUTH AND THEIR FAMILIES**
>
> It is recommended that juvenile probation departments develop and present an overview of the graduated response system to youth and their families. This overview should provide a rationale for the approach and establish the expectations and responsibilities of the youth, parents/guardians, and juvenile probation officers. It is important that juvenile probation officers determine whether a youth and their family fully understand the requirements of the probation supervision, the expected behaviors, the behaviors that must be avoided, and the incentives and sanctions that will result from engaging in those behaviors.

2. **Individual coaching:** One-on-one observations and case reviews, followed by individual coaching, will support probation officers' implementation and continued use of graduated responses.

- Probation officers should be coached on the department's incentives and sanctions/interventions policies, as well as on how to document contacts with youth, behavioral progress, and responses to prosocial and noncompliant behavior.
- A carefully developed checklist will ensure that both probation officers and coaches focus on the key principles and practices behind responding to prosocial and noncompliant behavior.
- A variety of training curricula, tools, and techniques can support a coach's work with staff around effectively using incentives and sanctions, increasing compliance, reducing violations, and improving youth outcomes:
  - Examples of training curricula: Effective Practices in Community Supervision (EPICS); Motivational Interviewing courses; The Carey Group's Four Core Competencies training
  - Examples of tools: The Center for Children's Law and Policy's *Graduated Responses Tool Kit*; interest inventories; thinking reports; Carey Group Publishing's *Responding to Violations, Rewards and Sanctions,* and *Responsivity* Carey Guides
  - Examples of techniques: Prosocial modeling; conducting skill practice with youth; using professional alliance traits.

3. **Reports:**[31] The Juvenile Case Management System (JCMS) includes a graduated response module which tracks, monitors, and provides data regarding an organization's use of incentives and sanctions to ensure that they are being administered in accordance with the department's policies and procedures. The graduated response module tab can be accessed from the calendar entry screen (see figure 9).

Figure 9: JCMS's Calendar Entry Screen

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[31] For more information, see the JCMS Graduated Responses User's Guide.

From the calendar screen, the module (see figure 10) can be accessed by clicking on the Graduated Response tab.

Figure 10: JCMS's Graduated Response Module

All behaviors and responses tracked in the module can be customized based on the department's graduated response matrix.

The following reports and dashboards can be generated from the graduated response module:

i. **Graduated Responses by Date Range and PO:** This report, meant for probation officers, provides information by date range on individual officers' use of incentives and sanctions overall and with each youth on their caseload. It provides the individual youth's name, their JID number, the last YLS score, the number of incentives and sanctions issued, and the ratio of incentives to sanctions. The report can be used to identify the number of youth who received a response, the number of youth who received an incentive or a sanction/intervention, and the ratio of incentives to sanctions/interventions. A similar management report, **Graduated Responses for a Date Range by P.O.**, allows management to see the same kind of information for a particular probation officer or for all probation officers.

ii. **Graduated Responses by Date Range and PO/Unit:** This staff report provides the same information as the report above but also organizes information by probation department unit. Similar information is available in the management report **Graduated Responses for a Date Range by Unit/P.O.**

iii. **Graduated Responses Management Reports:** This report provides managers with information on total numbers of incentives and sanctions/interventions, as well as ratios of incentives to sanctions/interventions, by probation officer and department or by supervisor and department.

Reports can be further narrowed by checking "Incentives Used" and/or "Sanctions Applied" in the calendar entry screen (see figure 11); however, the information that these reports will yield will

not be as detailed and may limit the department's ability to analyze information and, if necessary, to develop a plan to improve the use of graduated responses within the organization.

Figure 11: "Incentives Used" and "Sanctions Applied"

4. **Learning teams:** Learning teams could meet to discuss how to apply graduated responses effectively. During the learning team process, probation officers could discuss their successes and challenges, ask questions, receive feedback, and problem solve together.

Policy Considerations

The development and implementation of policies around a graduated response system will require significant stakeholder engagement. Multiple methods can be used to gather input for these policies, including:

- conversations with local juvenile court judges, defense attorneys, prosecutors, and community service providers
- conversations with probation officers and juvenile court judges from other jurisdictions that have implemented graduated response systems
- focus groups of youth, parents/guardians, and probation officers
- surveys of youth, parents/guardians, and probation officers
- interviews with individual youth, parents/guardians, and probation officers.

INVOLVING THE COURT

Given the court's (and court attorneys') interest in youth adjustment on supervision, policies for graduated responses should be developed and implemented with as much court involvement as possible. CQI processes are vital in documenting success and maintaining the support of juvenile justice stakeholders.

The following items should be considered for inclusion in a department's graduated response policy:

- **Mission statement:** It is recommended that, as one of its first activities, each jurisdiction adopt a mission statement for the use of graduated responses. The mission statement of the Pennsylvania Council of Chief Juvenile Probation Officers' Graduated Response Workgroup is provided as an example.

Sample Mission Statement of the Pennsylvania Council of Chief Juvenile Probation Officers' Graduated Response Workgroup

"A graduated response system uses incentives and sanctions to foster the pro-social behavior of juvenile justice-involved youth, promote accountability, restore victims, and decrease recidivism. Through a structured process that accounts for a youth's level of risk, needs, and responsivity, graduated responses recognize and reinforce positive behaviors and provide proportional responses to negative behaviors to improve short- and long-term outcomes. Responses are certain, swift, targeted, proportionate, and fair."

- **Principles that guide graduated responses:** It is important that probation officers and other stakeholders, including the juvenile and their family, understand the principles behind graduated responses, including the following:

  - Certain, swift, targeted, proportionate and fair: All responses should be certain or predictable, occur as soon as the behavior has been identified, be targeted to those behaviors that we want to see continue or change, and be fair or equal to the demonstrated behavior.
  - Individualized: There are various ways a probation officer can incentivize or sanction a youth; each youth values different things. Incentives and sanctions/interventions should be individualized to increase their effectiveness.
  - 4 to 1 ratio: Research indicates that to maximize long-term behavior change, the number of rewards given should exceed the number of sanctions/interventions by a ratio of at least 4:1.
  - Instrumental learning and operant conditioning: Underlying graduated responses is an understanding that the adolescent brain is different than a fully matured adult brain. Adolescents are wired to value short-term rewards for their behavior rather than long-term outcomes.[32]

- **Structured incentives and sanctions/interventions matrices:** The department should develop structured incentives and sanctions/interventions matrices. These matrices would provide a parameter of response options based on the significance or severity of the

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[32] For a more comprehensive list of principles that underlie an effective graduated response system, see *Graduated Response Systems: Guiding Principles and Protocol Development* (https://www.pachiefprobationofficers.org/docs/GR_Guiding_Principles_and_Protocol_Development.pdf).

behavior and the youth's level of risk, as determined by the youth's YLS/CMI score. (See figure 12 for examples of incentives and sanctions grids.)

Figure 12: Incentives and Sanctions Grids

Example: Chester County Incentives Grid   Example: Lebanon County Sanctions Grid

Specific sanctions and incentives may require approval from a supervisor and/or judge, such as incentives with a higher financial cost, the waiving of previously ordered financial obligations, the use of secure detention, and so on. Each jurisdiction will have to discuss the range of sanctions and incentives that will require additional approval, as well as a protocol for obtaining and documenting that approval.

- **Policy for administering incentives**: A jurisdiction's policy for administering incentives should reflect the following key ideas:
  - It is important to acknowledge positive behavior, especially early in the change process. As an individual begins to respond favorably and behave in a positive manner on a consistent basis, incentives can be given less frequently so as not to lose relevancy. As time progresses and positive prosocial behavior is internalized, incentives should be earned for

more significant behaviors and when case plan milestones are achieved. Incentives and positive reinforcement early on, followed by intermittent reinforcement of more significant positive behaviors, should help transition youth from reliance on external motivation for change to internalized motivation to embrace positive attitudes and engage in positive behavior.

- It is important to identify which incentives are most important to each individual youth. This information can be gathered from the youth and their family through interviews, using a structured questionnaire, and/or with a commercially available tool. The incentive should be matched to the factors, circumstances, and characteristics that motivate the individual youth, with the understanding that these may change over time. These factors are considered responsivity factors and may reflect information about the youth's culture, cognitive ability, maturity, and gender.

- The department's "Incentives Grid" should be used in combination with information gathered directly from the youth and their family about incentives that the youth values and that will increase their motivation to engage in the desired behaviors.

- Consideration should be given to identifying the individual(s) who would have the greatest impact or would most meaningfully deliver incentives to the youth. For example, a parent might be able to take an active role in swiftly and meaningfully reinforcing positive behavior. A teacher, coach, mentor, juvenile probation officer, or judge may also be identified as the most appropriate individual to administer the incentive.

- Contacts, behavioral progress, and incentives should be documented according to the department's policy.

- **Policy for classifying and sanctioning consent decree/probation violations:** It is recommended that whenever a probation violation is identified, the following should occur:
    - **Gather sufficient information related to the alleged violation** to confirm that the violation occurred. This should include talking with the youth and their parent(s)/guardian(s), and, if appropriate, other agencies and/or individuals (e.g., school personnel, outpatient providers, and/or police).

    - **Determine the youth's risk to re-offend** through the most recently scored YLS/CMI. If necessary, as indicated by the department's YLS/CMI policy, update the YLS/CMI before making this determination.

    - **Determine the severity of the violation** using the department's violations matrix. If multiple violations result from a single event, local policy should establish how violations should be addressed. As a general rule, it is recommended that only the most serious violation be considered when determining the resulting sanction.

    - **Identify which sanction from the department's sanctions list would be most appropriate for a given youth**, considering the information obtained above about what is most important to the youth, as well as the youth's responsivity factors and strengths. The following are some points for consideration:
        - The choice of sanction should reflect the least restrictive option needed to redirect the youth's behavior.

- If appropriate, obtain input from the youth and/or their parent(s)/guardian(s) when assigning a sanction.
- The same sanction may be used multiple times. A youth may repeat an undesired behavior, but the severity of the response may not need to be increased. Normal adolescent development suggests that youth may engage repeatedly in undesired behaviors, but they can learn to refrain from participating in these behaviors if a proportional response is applied consistently and repeatedly.
- Approval for use of certain sanctions may be required via a court order or some other form of communication. Sanctions that may require a court order or additional communication may include placement of a youth on electronic monitoring, mandated attendance at an evening reporting center, or extension of supervision.
- Probation officers should seek to identify the individual who may have the most powerful impact in administering or delivering a sanction.

– **Document** the violation, all contacts, and the sanction in accordance with the department's documentation policy.

– **Complete the process accurately and as quickly as possible** so that the sanction occurs as close in time to the behavior as possible to achieve maximum impact. A timely response will allow the youth to make the connection between their behavior and the response. Imposition of a sanction will decrease the likelihood of the youth performing or continuing the undesired behavior in the future; similarly, administration of an incentive will increase the likelihood that the youth will repeat a desired behavior in the future.

– **Consider a minor or moderate violation addressed**, and do not include it in future petitions for Violation of Behavior, when the assigned sanction is successfully completed. If the youth fails to complete an assigned sanction, however, or if the violation is defined as serious, the violation should be included in the information provided to the juvenile court in subsequent Violation of Probation proceedings.

- **A process for documenting behaviors and responses to behaviors:** JCMS's graduated response module provides documentation on the use and proportion of incentives and sanctions. At a more sophisticated level, the module can also document whether the response to the behavior conforms to the established response guidelines. Responses that fall outside of established parameters require justification.

- **A protocol for overrides:** Every policy should include a protocol that indicates the circumstances under which a probation officer might request an override for a recommended response as well as the process for approving or rejecting the request.

Data and Performance Measures

The following are potential data and performance measures to determine how well graduated responses are being implemented and used by department staff:

Data Measures

- # and % of cases where rewards/incentives outnumber sanctions by a ratio of at least 4 to 1
- # (and average by person) of positive behaviors reported
- # (and average by person) of rewards/incentives provided
- Types of rewards/incentives provided
- # and type of prosocial behavior by criminogenic need
- Time lapse between prosocial behaviors and rewards
- Patterns of identification of, and reward for, prosocial behaviors that are linked to unit, supervisor, officer, specific types of behaviors, or particular offense types
- # and % of cases that match individual youth preferences and rewards/incentives provided
- Patterns of violations and revocations by offense type, risk level, and criminogenic need

- Time lapse between violation behaviors and responses
- % of probation officers who use JCMS to track incentives and sanctions issued for each youth
- % of times that case reviews indicated that probation officers used incentives and sanctions that were individualized to the youth[33]
- # and % of overrides in graduated responses
- # and % of overrides that were compliant with the override policy
- Responses chosen by type of prosocial behavior and violation behavior
- Responses chosen by level of risk
- Most and least frequently utilized responses by risk level

Performance Measures[34]

- # of incentivized or rewarded behaviors that increased in frequency
- # of sanctioned behaviors that decreased in frequency
- # and % of violation behaviors
- # and % of supervision cases resulting in revocation

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[33] This would require documentation of a youth's interests and responsivity factors early in the youth's supervision.

[34] The use of incentives and sanctions is designed to help shape behavior. However, the effectiveness of incentives and sanctions in producing long-term reductions in recidivism must be considered in combination with skill-building interventions. Rewards and sanctions are tools that have utility in recidivism reduction but not as standalone interventions; therefore, performance measures by themselves are limited in their contribution toward shaping behavior.

Future Considerations

Additional development is needed to enhance CQI around the use of graduated responses, including but not limited to:

- training and ongoing technical assistance for the development of a graduated responses plan and policy[35]
- the use and enhancement of the JCMS graduated response module for monitoring and managing the behavior of youth under supervision
- the development of online and in-person training and support
- the integration of graduated responses with case plans, EPICS, and so on.

Resources

A number of resources are available to assist departments with CQI around graduated responses, including the following:

- *Graduated Response Systems: Guiding Principles and Protocol Development*: https://www.pachiefprobationofficers.org/docs/GR_Guiding_Principles_and_Protocol_Development.pdf
- *Graduated Response Systems Bench Card*: https://www.jcjc.pa.gov/Publications/Documents/JJSES/Graduated%20Response%20Systems%20Bench_Card.pdf
- County examples of graduated responses matrices
- Center for Children's Law and Policy's Graduated Responses Tool Kit: http://www.cclp.org/graduated-responses-toolkit/

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[35] Information and assistance will likely be needed as counties develop plans to create a graduate response policy and matrices. The court and juvenile justice stakeholders often have strong and sometimes competing views about how to approach this policy. Staff and management may have differing views about the necessity for such a policy and/or express concern with the perceived burden of administering the policy at the line level. And, counties may need additional assistance to customize their JCMS reports to include pertinent information, including overrides.
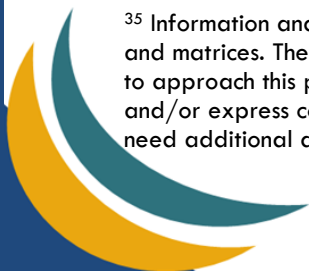
APPENDIX 1
COACHING POLICY AND PRACTICE

Existing culture and practice will almost always negate new culture and practice without determined intervention to prevent reversal to long-held views and previous habits. In order for skills learned in the classroom to be operationalized in the workplace, the following elements are necessary:

- **Motivation:** Staff need to be sufficiently motivated to want to learn and apply skills. Departments seeking to gain staff buy-in will benefit from assessing existing levels of staff motivation to learn and grow, and from determining how to generate and sustain such motivation.
- **Outcomes:** Staff are more likely to use new skills when they experience improvements on the job due to the use of these skills, when youth are more responsive to interventions and behave more prosocially, and when violation and re-arrest statistics decline.
- **Comfort and confidence:** Staff are more likely to use new skills when they are comfortable in applying them and when they possess sufficient confidence in their own competency.
- **Support and reinforcement:** The likelihood of skill use increases when the department provides support for staff, such as holding booster sessions, creating user guides, providing helpful feedback on their skill use, and developing processes and protocols that make the use of the skill less difficult or cumbersome.

A key approach to responding to the challenges of skill integration and to the lessons from technology transfer research is to implement a coaching infrastructure. A strategically developed coaching plan can address staff comfort and confidence, increase organizational support, and lead to improved outcomes. The following information has been developed to assist Pennsylvania probation departments seeking to establish a continuous quality improvement plan—in particular, one that includes coaching. This appendix is not designed to answer all the policy questions related to setting up and sustaining a CQI plan but rather to identify issues that need to be answered and lessons learned from others who have implemented coaching services.

COACHING POLICY AND PRACTICE ISSUES

The following list of coaching policy questions was generated from the National Institute of Corrections' Core Correctional Interventions Curriculum Development Initiative. The issues are listed here as questions that a department seeking to create a coaching infrastructure should consider.

General Issues
- Language
  - Should we call it "peer coaching," "coaching," or another term?
  - Should we call the person being coached "the learner," "the coachee," or something else?
- What are our coaching objectives? Have we articulated them clearly and written them down?

- What do we coach on? Do we address criminogenic needs, drivers, and so on, or do we put more emphasis on motivational interviewing and, if so, do we spend more or less resources on MI?
- When we conduct a coaching session, should we address multiple issues, such as motivational interviewing, professional alliance, effective case planning and management, use of skill practice, and appropriate use of rewards and responses to noncompliance?

Recruitment and Retention

- What should we look for in selecting a coach for the department (e.g., someone who has the trust and respect of staff, someone who is knowledgeable and skilled in the area involved in coaching, someone who has the time to perform the coaching role and be highly accessible)?
  - How do we measure a potential coach's knowledge?
  - What process do we use to assess proficiency in skills?
  - How do we sustain a coaching structure and coaches over the long term?
  - Prior to recruiting coaches, how do we let staff know what qualities we are looking for in a coach?
  - How do we recruit, expand, and replace coaches over time?
  - Should coaches be internal (i.e., from the department) or external (i.e., from outside the department)? If the preference is for coaches to be internal, are there times when an external coach may be required (e.g., an experienced external coach may be helpful for establishing competencies and proficiencies in internal coaches)?
  - What is the proper vetting process to determine if a trained coach should remain in that role or perhaps participate in a professional development plan before further coaching?

Tip #1

When recruiting staff to be coaches, seek individuals who have these traits:

- Supportive; encouraging; patient; approachable; accessible
- Skilled; knowledgeable
- Organized; use time efficiently
- Honest and fair; help others stretch to improve
- Set realistic expectations
- Nonjudgmental; provide feedback in a way in which others can hear it; target behavior, not the person
- Responsive; match coaching style to person's learning style; flexible, not rigid
- Solution-oriented; helpful
- Invested; have the person's best interests in mind; genuine
- Look for opportunities to give praise; watch for strengths
- Able to engage the other person; guiding instead of telling

CREATING AN ENVIRONMENT FOR LEARNING

- How do we create a culture of learning that is less hierarchical and more collaborative than other models?

- How do we create a safe environment where we are free to learn from mistakes?

- Should we set up learning teams like departments do for motivational interviewing? If so, what should that look like? Should attendance be voluntary or required? Who would facilitate the meetings? How often should the meetings take place? How should the agenda be established?

- How can we create an infrastructure around coaching? Should we have a coordinator who organizes the effort, creates learning teams, develops policies, creates forms for consistency, arranges for taping equipment, collects data, and so on?

- Do we want the coordinator to provide a level between coaches and learners (and coaches and supervisors) when learners are not cooperating (i.e., so that the coordinator can intervene instead of the coach, who needs to maintain a supportive environment)?

- How often should we provide booster sessions and how should those sessions be selected?
  - Who will facilitate the booster sessions?
  - Will the topics be pre-selected/scheduled or based on needs that arise from coaching and learning teams' recommendations?

> **Tip #2**
>
> Creating a learning organization is critical to aligning your culture with evidence-based practices and a commitment to continual learning.
>
> Consider creating ongoing learning teams, whereby staff participate in monthly one-hour discussions and learning sessions on the risk reduction processes, skills, and tools deemed to be most important in promoting client behavior change.

ORGANIZING THE COACHING PLAN FOR THE DEPARTMENT

- Should we encourage staff and coaches to begin using practices learned in training with youth newly placed on supervision, or should we ask staff to pick those youth from their caseloads with whom they feel most comfortable starting?

- Should a coaching schedule be set up (e.g., start coaching one skill for a period of time and then move to another)? If so, should we start with those skills that are used more routinely/frequently (i.e., start with Level 1 skills and then move to Level 2 skills)? Or, should staff being coached pick whatever skills they think are best/they require most for their cases?

- How do we pair coaches and learners?

- (In departments that manage both juveniles and adults under supervision) How do we handle juvenile versus adult coaching? That is, should we attempt to match a coach from the juvenile

unit with a learner from the juvenile unit and a coach from the adult unit with a learner from the adult unit?

- Should coaching be done by supervisors or peers? Should we give staff the option of a peer coach or supervisor coach? If supervisors coach, should they coach staff they don't supervise?

Tip #3

Don't feel compelled to assign the coaching role to supervisors.

While an EBP supervisor's role includes that of guiding and coaching staff, not every supervisor has the traits to be an effective coach. Furthermore, sometimes staff are more receptive to receiving feedback from their peers. Finally, bear in mind that peer coaching can provide an excellent growth opportunity for staff who are coaches.

- Should supervisors who coach have a small (i.e., 1–2 person) caseload to keep their skills fresh? If not, should supervisors seek opportunities (with or without staff members) to participate in skill-building exercises with youth, such as with youth who are on violation status, to get additional experience?
- Should coaches observe staff directly or indirectly (e.g., using video or audio tapes)?
- How long should a coaching checklist be? What should be included on a coaching checklist?
- Should our coaching vary depending on the person and the person's skill level (i.e., be different depending on the level of proficiency)?
- Should coaches begin by focusing on whether staff are using the skills and then review for quality (i.e., so that staff don't become so overwhelmed by the idea of using the skills correctly that they don't use the skills at all), or should coaches work on quality from the very beginning (i.e., so that staff don't develop bad habits)?
- How do we establish expectations and timeframes around skill proficiency and performance assessments for learners? How long should we establish for the learning curve? Will the coaching interactions be part of the assessment process? Should we

Tip #4

Consider customizing what is being assessed based on the individual's stage in the learning process, for example:

Initial learning period: Assess performance based on *effort*.

Post-learning period: Assess performance based on *proficiency*.

Longer term: Assess performance based on *outcomes*.

measure *effort* during the learning period and *proficiency* later? Should proficiency be tied to performance assessment and, if so, at what point?

Tip #5

Consider changing your expectations of the coaching session based on the learner's growth.

New learners (just completed training): Focus your coaching on whether learners follow the correct skill steps, in the right order, instead of on how well they perform the steps or whether they use the right skill for the circumstance. Limit feedback for improvement to one key item; that item should focus on conducting the correct skill steps.

Developing learners (good understanding of skills and steps but not yet integrating the skills with other key principles such as responsivity or stage of change): Offer more feedback—maybe 2–3 items—and focus on issues such as making sure learners tie the skills to the client's driver and stage of change.

Advanced users (proficient; understand and integrate knowledge and skills): Give feedback on nuances and more sophisticated material, and on combining more than one skill in an interaction (such as effective disapproval and problem solving). You might offer many tips, but they will relate to more minor points to enhance learners' skills.

- How long should a coaching session last? Is there a different amount of time expected for a new learner versus a veteran user of the skill? Should we expect that the amount of time needed for a coaching session decreases as proficiency increases?
- How do coaches know when staff move from Level 1 to Level 2 to Level 3 (i.e., from beginner to experienced to advanced)?
- How should coaches stage-match learners? That is, what should coaches do when staff are in the pre-contemplative versus action stage?
- How should coaches give critical feedback when learners have more education degrees and experience than the coaches or when learners are not very open to feedback?
- Should learners complete a written self-assessment before reviewing their coach's feedback?
- What feedback form should coaches use? Should they write their notes directly on the form as they observe learners? Should they take their own notes on a separate notepad and then transfer their notes to the feedback form?
- Should coaches adjust how much to write on the form based on learners' level of proficiency (e.g., one item for new users and many more for advanced users)?

When providing feedback, coaches should follow these principles in order to increase staff reflection, ownership, and reception of areas of strength and improvement:

- Avoid adopting the expert role.
- Make it a conversation, not a robotic, step-by-step process.
- Think of the coaching session as a brainstorming session.
- Focus on the big picture (i.e., whether there was an improved outcome) rather than on whether staff did everything perfectly.
- Match your approach to the learner's developmental level. Give only as much feedback as the learner can receive.

In addition, coaches should follow these steps for providing effective feedback:

1. Ask staff if they are ready for feedback.
2. Ask staff what they did well.
3. Tell staff what they did well.
4. Ask staff what they did that needs improvement.
5. Tell staff what you observed that needs improvement.
6. Check for understanding.
7. Ask staff how you can assist in the areas in need of improvement

- Should coaches give all of their notes to learners (i.e., the ratings and specific observations that coaches may or may not verbalize during debriefings)? If not, what should be given in writing?

- What do coaches do with the information they gather as they observe learners? Do they collect and/or tabulate this information? Do they share it with supervisors? Do they share it with the implementation coordinator, should one be assigned? Will the information be used so that the department knows what to work on in booster sessions or so that the department can see progress in their work?

- Should we do a pilot test first with a few staff, perhaps those who went through a train the trainer class, before rolling it out to others? Should we stagger the staff who receive coaching, perhaps by coaching one-quarter of the staff first, then the second group of staff, until eventually all staff receive coaching? How do we make sure that staff receive coaching immediately after a training (which may mean that we would roll out the training in phases as well)?

TRAINING, GUIDANCE, AND SUPPORT FOR COACHES

- What coaching principles do we want to reinforce?
- What is the expectation for coaches? Who will monitor their activities to make sure they are regularly meeting with their learners and offering constructive feedback?
- How do we create consistency among coaches (e.g., same feedback forms, message, and process)?

- What logistics does the department need to consider in order to make sure that potential barriers are addressed before the coaching commences (such as ensuring that there is taping equipment and private offices for coaching sessions)?
- Should the department develop an audio library for training and inter-coaching reliability purposes?
- Who "coaches the coaches" over the short term and long term? That is, over the short term, should we give coaches assistance from external faculty so they feel competent coaching staff? Over the long term, do we need to periodically have an external coach check to make sure that coaches are coaching effectively?

ADDITIONAL TIPS

Be Clear on the Message. Carefully craft messages to staff about the coaching process and give staff many opportunities for discussion and involvement before the implementation of coaching. Staff can exhibit fear of failure in many ways, including and especially demonstrating overt resistance. You can expect staff to be resistant if they perceive that the coaching process is designed to catch them "doing stuff wrong." Your message about coaching should emphasize learning.

Anticipate Discomfort and Take Strides to Reduce it. For many staff, the kind of oversight and feedback that coaching provides is foreign to them. This will likely create a sense of discomfort, especially if it means that staff have to face areas in their job performance that are in need of improvement. Discuss possible discomfort and the reasons for that discomfort before beginning the coaching process. Ensure that coaches communicate messages of support and reassurance such as "We are all learning this at the same time," "You don't have to be perfect at this," and "I am here to help you make incremental steps toward mastering these skills." Suggest that, to help create a safe environment, coaches pay particular attention to their body language and tone of voice, and that they avoid providing feedback in a group setting unless learners are comfortable with this method.

Encourage Coaches to Give Feedback Effectively. Make sure that coaches give feedback to staff in the same way most of us would want to receive it. They should be specific, factual, respectful, strength-based, behavior-oriented, and nonjudgmental. They should stay focused on the positive and reinforce what learners are doing well. At the same time, coaches should not shy away from giving constructive feedback for fear that learners will be uncomfortable. Often, we don't share constructive feedback out of concern that individuals will not receive it well or will be defensive. Not sharing information does not give the person an opportunity to grow. Coaches should emphasize that their goal is to give learners information in a way that will help them be successful on the job. They should ask staff "How can I best help you?" In addition, coaches should be open and should listen carefully to learners' reactions upon receiving feedback.

Build in Time. Do not underestimate the amount of time and energy it takes for learners to participate in coaching and respond to feedback; for coaches to prepare themselves and learners for the coaching session, listen to/watch tapes, code the interaction, provide feedback, collect information for possible booster sessions, communicate with department management, and keep their skills fresh; and for the department to develop expectations and protocols, discuss possible policy changes, address possible barriers (e.g., data privacy, union concerns, lack of equipment), maintain a pool of trained coaches as a result of attrition, and support learners and coaches on an ongoing basis.

Avoid Doing Too Much at Once. Do not attempt to implement too many coaching processes at once or too quickly. Focus on the few areas that lead to the greatest risk reduction results; only after mastering these areas should you consider expanding to others. By starting slowly and building, you can grow your coaching plan strategically and not create workload or other barriers.

Make Sure There Is Formal and Informal Organizational Support. Administrative, management, and supervisory staff need to be at least as supportive of coaching as the coaches themselves. They can demonstrate that support by showing interest in the coaching session outcomes, organizing booster training sessions for staff, offering coaches additional training and preparation time, and routinely asking coaches what else they might need. They can also lead by example—welcoming opportunities to receive feedback on their own work. For example, they can ask for feedback when they facilitate a staff meeting, present a budget, or testify at the legislature.

APPENDIX 2
CQI SELF-ASSESSMENT CHECKLIST

The following checklist is designed to help departments assess their planning and implementation of CQI.

Department:_____   Date:_____

PLANNING

CQI Committee: Meet routinely; have a clear mission and expectations (written charter); made up of a cross-representative section of the department.

    Needs Work   Good   On Target

CQI Coordinator: Have a lead person to coordinate the CQI effort.

    Needs Work   Good   On Target

Communication: Have communicated clearly and often with all staff regarding the department's CQI direction, what to expect, how to be involved, and a general plan for implementation.

    Needs Work   Good   On Target

Prioritized CQI Areas: Determined which CQI areas to implement and in what order; established timelines for immediate and long-term implementation in an effort to reduce surprises.

    Needs Work   Good   On Target

Logic Model/Theory of Change: Developed a logic model for each CQI goal area; the logic model describes the theory of change, inputs, activities, outputs, outcomes, and impacts in measurable terms.

    Needs Work   Good   On Target

IMPLEMENTING

Action Plan: Developed an action plan for the CQI area to be implemented which includes a detailed description of tasks, the lead person, timelines, and how it will be measured (derived from the logic model).

Needs Work   Good   On Target

Pilot: Piloted or plan to pilot the CQI goal before agency/department-wide implementation.

Needs Work   Good   On Target

Policies: Developed specific policies for each CQI goal area including, for example, frequency of CQI effort, how results are shared, who conducts the CQI assessment, etc.

Needs Work   Good   On Target

Coaching Infrastructure: Established a coaching infrastructure and policies that outline how coaches are selected, trained, and supported; how checklists will be used; how coaching information will be collected and communicated with management; what implications coaching has for performance management; etc.

Needs Work   Good   On Target

Written Coaching and Audit Manuals: Wrote manuals for each coaching checklist; manuals describe what to assess and how to score the measuring scales.

Needs Work   Good   On Target

External Review: Have an external expert to review internal CQI activities to ensure that coaches are providing guidance in accordance to the research principles.

Needs Work   Good   On Target

ASSESSING

Performance Data: Have clearly defined benchmarks for CQI performance (e.g., MI proficiency scores, frequency and quality of role plays, percent of assessment overrides, etc.).

Needs Work   Good   On Target

Supervisor Role: Have clearly defined roles for front-line EBP supervisors (e.g., providing support, guidance, affirmation, and accountability).

Needs Work   Good   On Target

Opportunities for Continuous Learning: Have one or more trainings for the key CQI areas; trainings have clear objectives and are led by a subject matter expert; all appropriate staff participate in trainings.

Needs Work   Good   On Target

Reward/Accountability System: Have a formal and an informal system in place to recognize staff who have mastered key EBP competencies or are showing effort (e.g., promotions, growth opportunities, attendance at conferences), and an accountability system for those who do not show effort.

Needs Work   Good   On Target

ADJUSTING

Communication of Performance Data: Have a user-friendly means of sharing CQI performance data (e.g., graphs or short bulletins with information that is meaningful to the end user).

Needs Work   Good   On Target

Improvement Plans: Have in place improvement plans (e.g., booster sessions, inter-rater reliability processes, etc.) based on the results of the performance data and coaching observations.

Needs Work   Good   On Target

APPENDIX 3
IMPLEMENTING CQI IN A RURAL SETTING

There are nine county classes in Pennsylvania, each one representing a population size:

- First Class (population size 1.5 million or more): 1 county
- Second Class (population size 800,000–1,499,999): 1 county
- Second Class A (population size 500,000–799,999): 3 counties
- Third Class (population 210,000–499,999): 12 counties
- Fourth Class (population 145,000 –209,999): 9 counties
- Fifth Class (population 90,000–144,999): 7 counties
- Sixth Class (population 45,000 –89,999): 24 counties
- Seventh Class (population 20,000–44,999): 4 counties
- Eighth Class (population less than 20,000): 6 counties

Given the significant disparity in population, as well as resources, the application of JJSES in general and CQI specifically will need to be customized to suit the county, especially in the case of Fifth through Eighth Class counties. It is not realistic to expect that a juvenile probation department with three staff members will develop in-house expertise to address the numerous CQI areas and activities in each area.

The report entitled *Juvenile Justice Evidence-Based Practices in Rural Communities: Challenges and Solutions* (The Carey Group, 2014), completed after the JJSES Rural Summit held in Bradford, Pennsylvania, examined this issue. Participants encouraged the use of rural-responsive techniques such as building EBP coalitions, formalizing EBP partnerships with the service provider community, and redirecting funding.

These ideas can extend into the area of CQI. The following are some ways that departments in rural areas can modify CQI processes and procedures to overcome the challenges of limited resources and geographical distances between staff:

- Establish a statewide network of rural counties to share resources and best practices.
- Use technologies such as Skype to observe interactions when it is impractical to conduct in-person observations or review taped appointments.
- Provide staff with training videos or audiotapes that demonstrate the correct way to administer an interaction.
- Acquire workbook exercises on skills such as motivational interviewing and practice them as a staff.
- Conduct booster sessions with another county department through webinar.
- Use nontraditional personnel to provide CQI services if they have the required skill set (e.g., service providers, administrative assistants, victim advocates, etc.).

APPENDIX 4
POLICIES RELATED TO THE OBSERVATION OF STAFF–CLIENT INTERACTIONS

The following are some policy considerations to keep in mind for observations of staff–client interactions:

- **Obtaining consent/releases:** A juvenile should always be given the choice to participate in an observation session or recording, and their family's consent must be sought. Neither the juvenile nor their family must be made to feel coerced or fearful of being penalized should they not grant consent. Policies should be established for requesting consent and, if consent is granted, for completing the consent and release form. The form itself should be included in the policy. In addition, the department should decide where to keep copies of signed releases and how often the officer should re-administer the release (e.g., due to expired releases). Should there be a sharp increase in the number of cases where the youth/family declines to sign the release, this information should be tracked to determine if there is an issue that needs to be addressed. Parents and youth should also know that they can revoke a signed release at any time.

- **Recording interactions:** Policies should indicate:
    - what audio and video equipment can be used for recordings
    - what can and cannot be recorded
    - when and where recordings can take place
    - how recordings should be shared (e.g., if they are sent via email) to ensure the safety and security of the data
    - how long recordings should be stored
    - when and how to destroy recordings.

- **Dealing with the disclosure of sensitive information during recorded sessions:** Recording sessions could expose the juvenile probation department and the juvenile/family to the **recorded** disclosure of a new offense, potential/suspected abuse, suicidal/homicidal ideations, or the threat of one of the aforementioned. It is imperative that agencies have clear and concise directives on how probations officers should handle such disclosures, should they occur.

APPENDIX 5: CASE PLANNING COACHING CHECKLIST

Case Planning Coaching Checklist

PO: _____

Coach: _____

Date Reviewed: _____

Youth Name/ #: _____

Risk Level: ☐ Moderate   ☐ High

On Target	Largely On Target	Largely Not On Target	Misses the Mark	N/A or Need more info		Comments
					Case plan goal(s) & activities reflect appropriate dosage and intensity of intervention given risk level	
					Case plan goal(s) & activities address two need areas (at least one is a highly influential criminogenic need, preferably the driver; one may be an acute stabilization need or a second highly influential need)	
					Case plan goal(s), activities, and interventions are addressed in proper sequence	
					Case plan goal(s) & activities identify and address responsivity factors	
					Case plan goal(s) & activities identify and consider youth strengths	
					Case plan goal(s) & activities identify trigger(s) & relapse plan(s)	
					Case plan activities target identified skill deficits	
					Case plan activities include skill-building opportunities	
					Case plan goal(s) & activities include family participation, if possible/appropriate	
					Case plan activities meet SMART guidelines	
					Case plan goal(s) & activities are developed with youth input	
					Case plan goals & activities are continually revised and updated	
Yes	**No**	**Other**			Case plan is initiated within 30 days or according to department policy	

Overall comments:

Summary of proficiency:

Summary of areas in need of improvement:

Professional development plan:

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