

STATE OF FLORIDA  
DEPARTMENT OF JUVENILE JUSTICE

**BUREAU OF MONITORING AND  
QUALITY IMPROVEMENT  
PROGRAM REPORT FOR**

**Probation & Community Intervention Circuit 1**  
*Department of Juvenile Justice*  
(State-Operated)  
1800 Saint Mary Avenue  
Pensacola, Florida 32501

*Review Date(s): July 28 - 31, 2020*



PROMOTING CONTINUOUS IMPROVEMENT AND ACCOUNTABILITY  
IN JUVENILE JUSTICE PROGRAMS AND SERVICES



## Rating Definitions

Ratings were assigned to each indicator by the review team using the following definitions:

<b>Satisfactory Compliance</b>	No exceptions to the requirements of the indicator; or limited, unintentional, and/or non-systemic exceptions that do not result in reduced or substandard service delivery; or systemic exceptions with corrective action already applied and demonstrated.
<b>Limited Compliance</b>	Systemic exceptions to the requirements of the indicator; exceptions to the requirements of the indicator that result in the interruption of service delivery; and/or typically require oversight by management to address the issues systemically.
<b>Failed Compliance</b>	The absence of a component(s) essential to the requirements of the indicator that typically requires immediate follow-up and response to remediate the issue and ensure service delivery.

## Review Team

The Bureau of Monitoring and Quality Improvement wishes to thank the following review team members for their participation in this review, and for promoting continuous improvement and accountability in juvenile justice programs and services in Florida:

Lea Herring, Office of Accountability and Program Support, Lead Reviewer (Standard 1)

Derrick Henderson, DJJ Probation, Circuit 14, Senior Juvenile Probation Officer (Standards 2 & 3)

Patrick McKinstry, Office of Accountability and Program Support, Regional Monitor (Standards 2 & 3)

Ken Phillips, Office of Accountability and Program Support, Regional Monitor (Standards 2 & 3)

Julia Robertson, DJJ Probation, Circuit 14, Juvenile Probation Officer Supervisor (Standards 2 & 3)

Nicole Wilder, DJJ Probation, Circuit 3, Senior Juvenile Probation Officer (Standards 2 & 3)

Program Name: Probation & Community Intervention Circuit 1  
Provider Name: Department of Juvenile Justice  
Location: Escambia County / Circuit 1  
Review Date(s): July 28-31, 2020

MQI Program Code: 1176  
Contract Number: N/A  
Number of Beds: N/A  
Lead Reviewer Code: 127

### **Methodology**

This review was conducted in accordance with FDJJ-2000 (Contract Management and Program Monitoring and Quality Improvement Policy and Procedures), and focused on the areas of (1) Management Accountability, (2) Assessment and Performance Plan, (3) Mental Health and Substance Abuse Services, (4) Health Services, and (5) Safety and Security, which are included in the Residential Standards.

### **Overall Rating Summary**

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**All indicators have been rated Satisfactory and no corrective action is needed at this time.**

## Standard 1: Management Accountability Probation and Community Intervention Rating Profile

Indicator Ratings		
Standard 1 - Management Accountability		
1.01	* Initial Background Screening	Satisfactory
1.02	Five-Year Rescreening	Satisfactory
1.03	Protective Action Response (PAR)	Satisfactory
1.04	Pre-Service/Certification Training	Satisfactory
1.05	In-Service Training	Satisfactory
1.06	*Incident Reporting	Satisfactory
1.07	*Abuse Free Environment	Satisfactory

\* The Department has identified certain key critical indicators. These indicators represent critical areas that require immediate attention if a program operates below Department standards. A program must therefore achieve at least a Satisfactory Compliance rating in each of these indicators. Failure to do so will result in a program alert form being completed and distributed to the appropriate program area (detention, residential, probation).

## Standard 2: Assessment Services Probation and Community Intervention Rating Profile

### Indicator Ratings

Standard 2 - Assessment and Performance Plan		
2.01	Community Assessment Tool (CAT) Pre-Screen	Satisfactory
2.02	CAT Full Assessment	Satisfactory
2.03	CAT Reassessment	Satisfactory
2.04	Mental Health/Substance Abuse Screening	Satisfactory
2.05	* Comprehensive Assessment	Satisfactory
2.06	State Attorney Recommendation (SAR)	Satisfactory
2.07	Pre-Disposition Report (PDR)	Satisfactory

\* The Department has identified certain key critical indicators. These indicators represent critical areas that require immediate attention if a program operates below Department standards. A program must therefore achieve at least a Satisfactory Compliance rating in each of these indicators. Failure to do so will result in a program alert form being completed and distributed to the appropriate program area (detention, residential, probation).

## Standard 3: Intervention Services Probation and Community Intervention Rating Profile

### Indicator Ratings

Standard 3 - Intervention Services		
3.01	Youth-Empowered Success (YES) Plan Development	Satisfactory
3.02	Youth Requirement/PACT Goal Elements	Satisfactory
3.03	Pre-Release Notification	Satisfactory
3.04	Transition Planning/Reintegration	Satisfactory
3.05	* Referrals for Intervention and Treatment Services	Satisfactory
3.06	YES Plan Implementation/Supervision	Satisfactory
3.07	Youth and Parent/Guardian Contact	Satisfactory
3.08	Ninety-Day Supervisory Reviews	Satisfactory
3.09	Ninety-Day Yes Plan Updates	Satisfactory
3.10	Termination of Supervision	Satisfactory

\* The Department has identified certain key critical indicators. These indicators represent critical areas that require immediate attention if a program operates below Department standards. A program must therefore achieve at least a Satisfactory Compliance rating in each of these indicators. Failure to do so will result in a program alert form being completed and distributed to the appropriate program area (detention, residential, probation).

## Program Overview

Probation and Community Intervention - Circuit 1 is a state-operated program which serves youth who have been placed on probation, post-commitment probation (PCP), or conditional release (CR) by a circuit court judge. The circuit currently has five office locations throughout Escambia, Santa Rosa, Okaloosa, and Walton Counties in Northwest Florida. The circuit utilizes two separate Juvenile Assessment Centers (JAC); one is state-operated and co-located at the Juvenile Justice Center in Escambia County. The other is contracted through G4S Secure Solutions, Inc. located at the Okaloosa Regional Juvenile Detention Center. Each JAC is designed to screen all youth entering into the juvenile justice system.

The circuit's management team consists of one chief probation officer (CPO), one assistant chief probation officer (ACPO), one government operations consultant II (reform specialist), one administrative assistant (AA), eight juvenile probation officer supervisors (JPOS), fifteen senior juvenile probation officers (SJPOs), thirty-one juvenile probation officers (JPOs), and five secretary specialists. The circuit provides services which include diversion, probation supervision, commitment, and transition services. The JPOs are responsible for conducting intake and assessment services for all youth presented to the Department with violations of the criminal code. During the intake process, screeners are responsible for completing the intake wizard in the Department's Juvenile Justice Information System, which captures each youth's demographic information and criminal record. The JPOs and/or JAC Screeners are also required to complete the Detention Risk Assessment Instrument, State Attorney Recommendation (SAR), when necessary, Community Assessment Tool (CAT) Pre-Screen, Massachusetts Youth Screening Instrument – Second Version, and other intake documents dictated by the region's practices.

The Escambia County State Attorney's Office has an agreement with the circuit which does not require a SAR for youth with a second or subsequent offense, unless a recommendation for non-judicial handling is made for the youth. Additionally, the Santa Rosa County State Attorney's Office has an interoffice agreement which gives the Department an additional twenty-four hours for youth placed on home detention, to complete and submit the SAR. JPOs are responsible for completing a Youth-Empowered Success (YES) Plan for each youth placed on supervision. Youth who are identified with mental health, substance abuse, and/or medical needs are referred by the assigned JPO to the appropriate community-based resources. The program also utilizes specialized services including evidence-based programming, such as the redirections program which utilizes functional family therapy and cognitive behavioral therapy. Some offices throughout the circuit also facilitate evidence-based groups for youth, when necessary, such as Thinking for a Change (T4C) and Life Skills Training (LST). At the time of the annual compliance review, the circuit had one JPOS and two JPO vacancies, and three JPOs will attend the JPO academy in August 2020.

## Standard 1: Management Accountability

1.01 Initial Background Screening (Critical)	Satisfactory Compliance
<i>Background screening is conducted for all Department employees and volunteers and all contracted provider and grant recipient employees, volunteers, mentors, and interns with access to youth and confidential youth records. A contracted provider may provide training and orientation to a potential employee before the screening process is completed. However, these individuals may not have contact with youth or confidential youth records until the screening is completed, the determination is "Eligible," a copy of the criminal history report has been reviewed, and the employee demonstrates he or she exhibits no behaviors warranting the denial of employment. An Annual Affidavit of Compliance with Level 2 Screening Standards is completed annually.</i>	

The circuit has a written policy and procedures documenting practices for background screening. Twelve staff were applicable for an initial background screening during the annual compliance review period, which included nine staff and three volunteers. Each of the nine staff and three volunteers reviewed had a background screening completed prior to hire or start date. As part of the hiring process, a criminal history report was reviewed for each of the staff and volunteers. None of the background screenings reviewed required an exemption prior to working with youth.

Eleven of the twelve background screenings reviewed had no break in service. The remaining staff had a previous background screening with the Department, as indicated within the Staff Verification System (SVS). Eight of the twelve staff were administered a pre-employment assessment tool. The staff without the pre-employment assessment included a secretary specialist position, which does not require the pre-employment assessment, in addition to the three volunteers. Seven of the eight staff who completed the pre-employment assessment tool received a passing score and the one juvenile probation officer (JPO) received a waiver, as a result of the non-passing score. The pre-employment assessment results were documented within each staff's personnel record. The hiring authority reviewed the Central Communications Center (CCC) Person Involvement report, the SVS module, and the Florida Department of Law Enforcement (FDLE) Automated Training Management Systems (ATMS) results prior to each staff's employment. An Annual Affidavit of Compliance with Level 2 Screening Standards was completed and submitted to the Department's Background Screening Unit (BSU) on January 10, 2020.

1.02 Five-Year Rescreening	Satisfactory Compliance
<i>Background rescreening/resubmission is conducted for all Department employees and volunteers and all contracted provider and grant recipient employees, volunteers, mentors, and interns with access to youth and confidential youth records. Employees and volunteers are rescreened every five years from the initial date of employment. When a current provider staff member transitions into the Clearinghouse, the rescreen/resubmission date starts anew and is calculated by the Clearinghouse. (Note: For the new date, see the Retained Prints Expiration Date on the applicant's personal profile page within the Clearinghouse.)</i>	

Eight staff and one volunteer were applicable for a five-year background rescreening during the annual compliance review period. All nine background rescreenings were completed within the year prior to the five-year anniversary of the staff or volunteers original hire or start date. All nine

records reviewed had a five-year rescreening submitted to the Background Screening Unit (BSU) at least ten business days prior to the five-year anniversary date.

<b>1.03 Protective Action Response (PAR)</b>	<b>Satisfactory Compliance</b>
<i>The program uses physical intervention techniques in accordance with Florida Administrative Code. Any time staff uses a physical intervention technique, such as countermoves, control techniques, takedowns, or application of mechanical restraints (other than for regular transports), a PAR Incident Report is completed and filed in accordance with the Florida Administrative Code.</i>	

The circuit had one Protective Action Response (PAR) report during the annual compliance review period. The PAR report was completed by the end of the juvenile probation officer's (JPO) work day and included statements from all staff involved. The PAR incident took place at the youth's home and both the staff and youth were cleared by the Emergency Medical Team (EMT) before the youth was charged and taken into the custody of the Escambia County Sheriff's Department. The JPO supervisor reviewed and signed the PAR report. There was not a signature from a PAR instructor or chief probation officer (CPO). A post-PAR interview could not be conducted as the youth was taken into custody.

<b>1.04 Pre-Service/Certification Training</b>	<b>Satisfactory Compliance</b>
<i>Contracted and state non-residential staff are trained in accordance with Florida Administrative Code. Contracted and state non-residential staff satisfy pre-service/certification requirements specified by Florida Administrative Code within 180 days of hiring.</i>	

Six staff training records were reviewed for pre-service training. One staff reviewed was hired February 21, 2020 and had not completed the juvenile probation officer's (JPO) academy; however, the JPO completed phase one of training. An extension was requested July 24, 2020 to allow additional time for phase two training completion. Each of the five remaining staff completed training, as required. Five staff were applicable for completion of phase two training requirements. Four of the five staff completed the JPO academy and were certified within the required 180 days of hire. One staff completed training five days passed the initial 180 days of hire. All training was entered into the Department's Learning Management System (SkillPro) within thirty-days of training completion.

<b>1.05 In-Service Training</b>	<b>Satisfactory Compliance</b>
<i>Contracted and state non-residential staff completes in-service training in accordance with Florida Administrative Code. Contracted and state non-residential staff completes twenty-four hours of in-service training, including mandatory topics specified in Florida Administrative Code, each calendar year, effective the year after pre-service/certification training is completed.</i>	
<i>Supervisory staff completes eight hours of training (as part of the twenty-four hours of annual in-service training) in the areas specified in Florida Administrative Code.</i>	

Five staff training records were reviewed for in-service training, which included three juvenile probation officer supervisors (JPOS) with additional training requirements. Each reviewed staff completed, at a minimum, twenty-four hours of in-service training, as required. Four of the five staff completed the Protection Action Response (PAR) update, as required by Florida Administrative Code, as well as the annual cardiopulmonary resuscitation (CPR) and first aid

certification. The assistant chief probation officer (ACPO) reported one supervisor was unable to complete the annual PAR, CPR, and first aid due to losing the circuit's only PAR trainer and trainings were unable to be held regularly. Additionally, the assistant chief probation officer (ACPO) reported the issue was brought to the attention of the Assistant Secretary Probation & Community Intervention at headquarters, and the circuit was instructed to postpone training until an instructor could be obtained. The supervisor completed the PAR update, including CPR and first aid in April 2020.

Each of the five staff completed trainings in suicide recognition, prevention, intervention, professionalism and ethics, and active shooter. Each of the three JPOS staff completed the minimum eight hours of supervisory training in management, leadership, personal accountability, employee relations, communication skills, and fiscal training. The circuit submitted, in writing, a list of in-service training to the Office of Staff Development and Training on December 19, 2019, which included course names, descriptions, objectives, and training hours for instructor-led training. In addition, the circuit has an annual in-service training calendar which was provided for review. All required training was entered into the Department's Learning Management System (SkillPro) within thirty-days of training completion, as required.

<b>1.06 Incident Reporting (CCC) (Critical)</b>	<b>Satisfactory Compliance</b>
<i>Whenever a reportable incident occurs, the program notifies the Department's Central Communications Center (CCC) within two hours of the incident, or within two hours of becoming aware of the incident.</i>	

The circuit had forty-four incidents reported to the Central Communications Center (CCC) during the previous six months. Thirty-nine of the forty-four CCC reports were related to the COVID-19 pandemic. A review of five CCC reports revealed each incident was reported within two hours of the incident or within two hours of the circuit becoming aware of the incident. There were no additional internal incidents or grievances which should have been reported to the CCC and there were no reportable incidents discovered during the annual compliance review.

<b>1.07 Abuse-Free Environment (Critical)</b>	<b>Satisfactory Compliance</b>
<i>Any person who knows, or has reasonable cause to suspect, a child is abused, abandoned, or neglected by a parent, legal custodian, caregiver, or other person responsible for the child's welfare, as defined by Florida Statute, or a child is in need of supervision and care and has no parent, legal custodian, or responsible adult relative immediately known and available to provide supervision and care, reports such knowledge or suspicion to the Florida Abuse Hotline.</i>	

A review of Central Communications Center (CCC) and internal incident reports found there were no allegations of abuse reported during this annual compliance review period. The circuit ensures youth have unimpeded access to self-report alleged abuse to the Florida Abuse Hotline or the CCC. This is accomplished through on-going staff training. Observations found postings of the Florida Abuse Hotline and the CCC telephone numbers for staff and youth. Staff complete employee code of ethics and employee responsibility training prior to contact with youth. Staff complete this training as part of the hiring and orientation process which is completed in the Department's Human Resource Employment System. A review of sixty-nine youth records reflected there were no allegations of abuse needing to be reported to the Florida Abuse Hotline.

## Standard 2: Assessment Services

<b>2.01 Community Assessment Tool (CAT) Pre-Screen</b>	<b>Satisfactory Compliance</b>
<i>Staff complete the CAT Pre-Screen whenever a youth is referred to the Department for a new law charge.</i>	

Forty-seven youth records were reviewed for completion of an initial Community Assessment Tool (CAT) Pre-Screen/Full for referrals made. Forty-six of the forty-seven CAT Pre-Screenings were completed, and thirty-seven of the forty-six were complete during the intake process within twenty days. Nine records reflected a late CAT assessment from five to twenty-four days. A risk to re-offend was documented on the initial CAT Pre-Screen/Full for each of the youth records reviewed.

<b>2.02 CAT Full Assessment</b>	<b>Satisfactory Compliance</b>
<i>Staff complete a CAT Full Assessment for youth identified as moderate-high or high risk to reoffend by the CAT Pre-Screen, referred for Redirection services, or if a residential commitment is anticipated.</i>	

Forty-seven youth records were reviewed within the Department's Juvenile Justice Information System (JJIS) Intake Web Assessment Module. Four of the forty-seven youth records were applicable for a Community Assessment Tool (CAT) Full Assessment. In each of the applicable youth records reviewed, the CAT Full Assessment was completed due to each youth identified as moderate-high or high-risk to re-offend by the CAT Pre-Screen, referred for Redirection services or a residential commitment was anticipated.

<b>2.03 Mental Health/Substance Abuse Screening</b>	<b>Satisfactory Compliance</b>
<i>Whenever a youth is referred to the Department for a new law charge (taken into custody or at-large) or taken into custody and screened for a non-law violation of supervision, staff shall complete the MAYSI-2, and applicable sections of the Suicide Risk Screening Instrument (SRSI) in JJIS.</i>	

The Massachusetts Youth Screening Instrument – Version II (MAYSI-2) was completed in forty-four applicable youth records reviewed. Thirty-six of the forty-four applicable records indicated an elevated score which required a referral for an evaluation and thirty-four of thirty-six completed a referral for services. In twenty-five youth records, the youth were released to the custody of a parent/guardian. Sixteen of the twenty-five records documented the parent/guardian received the youth's screening results, notification of referral made, and information on location to get an evaluation. Six of the nine records in which the parent/guardian did not receive the youth's screening results were marked as "Not Applicable" which indicates the youth's assessment did not rise to the level of a referral. Each of the MAYSI-2 assessments were administered in the Department's Juvenile Justice Information System (JJIS) by trained staff. Eleven of the thirteen applicable records for youth with a MAYSI-2 which indicated an elevated suicide risk, were placed on suicide precautions and referred for an Assessment of Suicide Risk (ASR).

Forty-one of the forty-three records had a Suicide Risk Screening Instrument (SRSI) completed in JJIS and electronically signed by the juvenile probation officer (JPO) or Juvenile Assessment Center (JAC) screener. Complete entries included a summary and recommendations in the

screening sections for each of the youth; however, one record reviewed was marked “Not Applicable.” Twenty-one youth records were applicable for youth with positive responses on the SRSI. Each of the applicable youth were placed on suicide precautions and a mental health referral was completed and documented the youth’s need of an ASR. Fifteen of the twenty-one youth records were for youth remaining in the custody of the Department. Each of the youth had a suicide risk alert entered into JJIS, documentation indicated the detention center was notified of the youth’s status, and the youth was placed on constant supervision until seen by the mental health professional at the detention center. Each of the nine reviewed youth records for youth released to the custody of a parent/guardian contained documentation indicating the parent/guardian was provided the Suicide Risk Screening Parent/Guardian Notification Form (MHSA 003), when applicable. A copy of each form was filed in the youth’s record for all seven applicable records. Two records did not reflect an evaluated suicide risk level and a notification to the parent/guardian was not required.

<b>2.04 Comprehensive Assessment (Critical)</b>	<b>Satisfactory Compliance</b>
<i>Youth shall be referred for a comprehensive assessment (e.g., TASC/SAMH) if the MAYSI Form or any other information indicates a need for further assessment.</i>	

Thirty-two records were applicable for youth who received a comprehensive assessment referral. Twenty-eight of the thirty-two records documented the referrals were completed. In thirty of the thirty-two records, the juvenile probation officer (JPO) completed referrals for services recommended as a result of the comprehensive assessment. The remaining two records did not require additional services and were listed as “Not Applicable.” JPO staff do not wait for disposition to refer a youth for identified service needs. Each of the referrals for services were made based on recommendations of the comprehensive assessment. The comprehensive assessment reports on a youth’s physical, psychological, educational, vocational, social conditions, and family environment as it relates to a youth’s need for rehabilitative and treatment services. Rehabilitative and or treatment services may include, substance abuse and mental health treatment, literacy, medical, psychiatric, family, and other specialized services, as deemed necessary.

<b>2.05 State Attorney Recommendation (SAR)</b>	<b>Satisfactory Compliance</b>
<i>Staff shall complete the State Attorney Recommendation (SAR) to document the Department’s recommendation of judicial or non-judicial handling of the case, unless waived pursuant to an Interagency Agreement with the local State Attorney’s Office (SAO), or the SAO makes a filing decision prior to the twenty-day deadline for non-detained youth.</i>	

Twenty-seven youth records were applicable for a State Attorney Recommendation (SAR). Each of the applicable SARs addressed the attitude of the youth, cooperation of parent/guardian, ability of parent/guardian to control the youth, attitudes of the complainant and victim. In addition, information related to the youth’s involvement or association with a criminal street gang and any available information on mental health and/or substance abuse needs. In each record, youth issues were identified by the screening or intake process and discussed further in the narrative sections of the SAR. Seventeen of the twenty-seven applicable records included evidence the youth was considered for non-judicial action or diversion based on charges, criminal history, and other relevant information. The remaining ten records not included were noted as not applicable. Twenty-five of the twenty-seven SARs were submitted to the State Attorney’s Office (SAO) within the required timeframe. All SARs were signed by the supervisor or designee prior to submission.

**2.06 Pre-Disposition Report (PDR)****Satisfactory Compliance**

*Staff shall prepare the Pre-Disposition Report (PDR) when ordered by the court, detailing the Department's recommendations for disposition and interventions to address needs in the most appropriate, least-restrictive environment reasonably ensuring public safety.*

Fifteen youth records were applicable for a Pre-Disposition Report (PDR). All fifteen records included evidence the PDR was completed after the completion of the Community Assessment Tool (CAT) and included recommendations in the PDR which reflected treatment needs identified within the CAT and other collateral sources. In all fifteen applicable youth records, the juvenile probation officer (JPO) incorporated the recommendations of the comprehensive assessment and attached the comprehensive assessment summary to the PDR. The PDR was submitted in the committing court at least forty-eight hours prior to disposition in twelve of the fifteen records reviewed. Three records included post-disposition reports completed by the JPO. There was evidence in all fifteen records, the supervisor or designee signed the PDR prior to submission.

## Standard 3: Intervention Services

<b>3.01 Youth-Empowered Success (YES) Plan Development</b>	<b>Satisfactory Compliance</b>
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*Staff complete the YES Plan for youth on Probation, Conditional Release, and Post-Commitment Probation.*

Fifty-three youth records were applicable for completion and development of the Youth-Empowered Success (YES) Plan. A Community Assessment Tool (CAT) was completed prior to the development of the YES Plan for fifty of the fifty-three records reviewed. Fifty-one of fifty-three youth records included evidence documenting the youth and parent/guardian participated in the development of the YES Plan, within the youth case notes. One YES Plan was twenty-five days late obtaining the youth's signature and fifteen records were noted for COVID-19 regarding the thirty-day timeframe of the youth's signature on the initial YES Plan, the remaining thirty-seven YES plans were signed by the youth within the appropriate time-frame. Thirty-seven of the fifty-three youth records included signatures from the parent/guardian on the initial YES Plan within thirty days of the youth's disposition. Fifteen of the remaining records were marked as "Non-Applicable" as the youth was eighteen years of age or older. One record documented the parent/guardian signature was twenty-five days late. Forty-nine of the fifty-three records documented the juvenile probation officer (JPO) and JPO supervisor signatures, as required. Fifty of the fifty-three youth records indicated the youth and parent/guardian were provided a copy of the YES Plan within ten calendar days of approval.

<b>3.02 Youth Requirements/Change Goal Elements</b>	<b>Satisfactory Compliance</b>
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*For youth identified as moderate-high or high risk to reoffend by the CAT, the YES Plan includes at least one Change Goal. The YES Plan provides appropriate and individualized target dates for the completion of each Youth Requirement and Goal. All youth requirements and goal action steps include the intervention plan elements (i.e., who, what, and how often).*

Fifty-three youth records were reviewed for implementation of the Youth-Empowered Success (YES) Plans, which required Change Goal elements. Eight youth records were for youth identified as moderate-high or high risk to re-offend on the Community Assessment Tool (CAT). Each of the eight records contained Change Goals on the YES Plan and five YES Plans contained at least one of the youth's top three criminogenic needs identified in the CAT. Two of the eight youth were identified as high risk to re-offend and required an evidence-based intervention to be included on the YES Plan. One youth was not receiving the evidence-based intervention and one high risk youth was reported as receiving the evidence based intervention which targets one of the youth's top three criminogenic needs. The youth who was not receiving evidence based services did not have clear documentation within case notes which indicated the barriers to participating in the intervention. There was a total of 495 youth requirements and goals in the initial YES Plans reviewed. There were 493 requirements which contained intervention plan elements for the parent/guardian. There were 460 youth requirements which contained the intervention plan elements for the youth and the juvenile probation officer (JPO).

**3.03 Pre-Release Notification (PRN)****Satisfactory Compliance**

*For all youth being released from a residential program, a Pre-Release Notification (PRN) shall be completed and submitted to the courts for approval.*

Seven youth records were applicable for a Pre-Release Notification (PRN). Five of the seven youth records included evidence of a PRN and six youth records included the discharge summary and other pertinent information provided by the residential program. In the seven youth records reviewed, the Department concurred with the youth's proposed release date and notified the committing judge of the program's intent to release and the plan for aftercare supervision utilizing the Request for Release Letter. In six of the seven records, the juvenile probation officer (JPO) documented delivery of the Request for Release Letter, PRN, and a copy of the program's Release Discharge Summary to the court within three working days of receipt of the PRN. Documentation was also evident of program notification in one applicable record, indicating the court's denial of the Request for Release Letter.

**3.04 Transitional Planning/Reintegration (Critical)****Satisfactory Compliance**

*The juvenile probation officer (JPO) will actively participate in the transitional planning process for youth who are being released from a residential program.*

Seven youth records were reviewed for transition planning and reintegration. In three of the seven youth records, the Department's Juvenile Justice Information System (JJIS) case notebook module reflected the juvenile probation officer (JPO) was in contact with the parent/guardian, as required, while the youth was in the residential program. Three of the seven records documented the JPO or designee participated in monthly treatment team meetings. The remaining four records revealed one to three monthly treatment team meetings were missed with no follow-up with the program by the JPO. Each youth's record included documentation the JPO assisted the youth's parent/guardian and program staff to ensure communication was conducive to the youth's successful program completion. The JJIS case notebook also reflected the JPO had at least one contact with the youth during transition phase and the JPO, or designee, participated either in person or by telephone in each youth's transition conference.

Each applicable record included evidence the youth had an internal staffing or a Community Re-Entry Team (CRT) meeting. For each of the youth records, the case notes reflected the meeting and the participants. Six of the seven applicable records documented the assigned JPO sent the CRT meeting notification to all required participants fourteen days in advance of the meeting. A review of the CRT meeting notes found evidence the youth, parent/guardian, JPO, regional education coordinator, receiving school district transition coordinator, transition services provider, a representative for the program's education and case management department, a career source representative, and a clinical therapist, when necessary, were invited to each meeting. The remaining record reviewed did not have any notation of who attended the CRT meeting. Two records reviewed were applicable for youth involved with the Department of Children and Families (DCF). One of the two records documented the youth's DCF involvement was identified as crucial. DCF was provided invitations to participate in the transition planning process. The JPO or circuit transition liaison sent the link for video conferencing to all required participants in six of the seven youth applicable records reviewed. Each of the seven applicable CRT case summaries were reviewed. All seven summaries documented the youth's living arrangements were discussed. Four of the seven summaries documented the youth school placement, transportation arrangements, referrals for community-based services, identified

barriers, and health insurance. One summary documented only the youth's living arrangements was discussed and two summaries did not include the youth's health insurance

<b>3.05 Referrals for Intervention and Treatment Services (Critical)</b>	<b>Satisfactory Compliance</b>
<p><i>Staff shall ensure all referrals for services are made as indicated by the court order or as negotiated to address criminogenic needs identified by the CAT (for youth who are moderate-high or high risk to reoffend). Referrals for mental health and substance abuse treatment services are based upon court-ordered requirements. Staff shall develop a follow-up and monitoring plan for all referrals for treatment made as a result of the Comprehensive Assessment and YES Plan. If referred for services, staff follows-up with the service provider within thirty days to ensure the youth and parent/guardian have taken the appropriate steps to initiate services. Staff receives, reviews, and documents written and verbal progress reports from the provider.</i></p>	

Thirty-eight youth records were applicable for referrals of intervention and treatment services identified within the Youth-Empowered Success (YES) Plan. Thirty-five of the thirty-eight youth records documented the youth and parent/guardian were referred or provided referral information identified within the youth requirements and goals. Referrals for services were made within ten calendar days of the approval of the YES Plan for thirty-four of the thirty-eight records reviewed. Two of the remaining referrals were not completed, one was referred eight days late, and in one record the referral date was not marked and a determination could not be made as to when it was completed. Thirty-five of the thirty-eight records reviewed were applicable for the juvenile probation officer (JPO) to complete follow-up within thirty calendar days of the YES Plan approval with the service provider. The juvenile probation officer (JPO) did not follow-up within thirty-days as required in eleven of the records reviewed. One record documented the JPO followed-up with the service provider fifty-three days late. The remaining twenty-three records revealed the JPO followed-up with the service provider within thirty-days, as required. The JPO received, reviewed, and documented progress reports from service providers for thirty-four of the forty-five youth records reviewed. The JPO did not follow-up on one of the eleven progress reports.

<b>3.06 YES Plan Implementation/Supervision</b>	<b>Satisfactory Compliance</b>
<p><i>Youth on supervision (probation, conditional release, or post-commitment probation) are supervised in a manner ensuring compliance with the court order and the completion of the YES Plan (youth requirements and goals). Case notes demonstrate compliance (or attempted compliance) with the youth and parent/guardian.</i></p>	

A review of fifty-one youth records found 1,368 action steps required for the juvenile probation officer (JPO) within the first ninety-day supervision period. The JPO completed 959 of the action steps; however; three records were still within the first ninety-day period. Within the second ninety-day supervision period, twenty applicable youth records determined there were 454 action steps required, of which 451 were documented as completed. Within the third ninety-day supervision period, five applicable youth records found there were ninety-five action steps required and eighty-seven were completed. The JPO documented face-to-face interactions within case notes with the youth. The JPO documented face-to-face interactions with the parent/guardian and providers; telephone contacts with the parent/guardians, youth, and providers; and written or verbal reports from collateral sources were documented in all applicable youth records reviewed.

**3.07 Youth and Parent/Guardian Contact****Satisfactory Compliance***Juvenile probation officer (JPO) staff shall maintain on-going and regular contact with the youth and parent/guardian.*

In the first ninety-day supervision period, there was documentation found in thirty-two of thirty-four youth records for face-to-face contact with the youth each month by the juvenile probation officer (JPO). These were contacts made for those youth determined to be low or moderate-risk to re-offend based on the Community Assessment Tool (CAT) results. In addition, there was evidence in thirty-three of forty applicable youth records reviewed, the JPO made contact with the youth's parent/guardian. There were at least two face-to-face contacts made with youth who were determined to be moderate-high or high-risk to re-offend for each of the six applicable youth records reviewed. Six of the youth records had evidence the parent/guardian was contacted by the JPO monthly, as required.

In the second ninety-day supervision period, there was documentation found in twenty of twenty-one youth records for face-to-face contact with the youth each month by the JPO. These were contacts with youth determined to be low or moderate-risk to re-offend. In addition, there was evidence in all twenty-one applicable youth records indicating the JPO made contact with the youth's parent/guardian. One file was applicable file to be reviewed for having at least two face-to-face contacts with youth who were determined to be moderate-high or high-risk to re-offend. In the one applicable youth record reviewed there was not evidence to support the two face-to-face contacts were made, however there was evidence the parent/guardian was contacted by the JPO monthly, as required.

For the third ninety-day supervision period, there was documentation found in four of the four applicable youth records for face-to-face contact with the youth each month by the JPO. These were contacts with youth determined to be low or moderate-risk. In addition, there was evidence in two applicable records indicating the JPO made contact with the youth's parent/guardian. There were no face-to-face contacts in at least two instances with youth who were determined moderate-high or high-risk to re-offend in the one applicable youth's records reviewed, but there was evidence the parent/guardian was contacted by the JPO monthly as required.

For the fourth ninety-day supervision period, there was documentation found in one applicable youth record reviewed which indicated face-to-face contact with the youth was conducted each month by the juvenile probation officer. These were contacts with youth determined to be low or moderate-risk to re-offend. There were no youth records applicable for requiring JPO contacts with the parent/guardian during the fourth ninety-day period. There were no applicable records for review regarding the two face-to-face contacts with youth who were determined to be moderate-high or high-risk for to re-offend or parent/guardian was contacted by the JPO monthly.

**3.08 Ninety-Day Supervisory Reviews****Satisfactory Compliance***Cases under supervision (probation, conditional release (CR), or post-commitment probation (PCP)) are reviewed by the supervisor at least once every ninety calendar days.*

Forty-one youth records were reviewed for ninety-day supervisory reviews. A review of case notes found thirty-four of the forty-one records included documentation indicating the juvenile probation officer supervisor (JPOS) conducted a case review at least once during the first ninety-day supervision period. Five of the seven remaining youth records documented the

supervisory reviews were completed one day late, one review was completed two days late, and another was completed thirteen days late. Fourteen of fifteen records were applicable for at least one ninety-day review during the second ninety-day supervision period. Fourteen of the fifteen applicable records documented supervisory reviews were completed, as required. The remaining record documented the review was completed ninety-one days late.

<b>3.09 CAT Reassessment</b>	<b>Satisfactory Compliance</b>
<i>Staff complete CAT Reassessments for youth on probation, conditional release, and post-commitment probation.</i>	

Sixteen youth records were for youth identified as moderate-high or high-risk to re-offend; therefore, a Community Assessment Tool (CAT) Full Reassessment was completed at least once every 180 calendar days. Thirty-four youth records were for youth identified as low or moderate-risk to re-offend; therefore, a CAT Pre-Screen Reassessment was completed at least once every 180 calendar days. Each of the fifty records were reviewed to ensure CAT Reassessment results were reflective of the youth's current status, including changes in behavior and progress with Youth-Empowered Success (YES) Plan sanctions and goals. Eleven youth records were applicable for a new law violation, new disposition, or pre/post testing for delinquency interventions such as redirections, day treatment, and transition services was identified; subsequently, a CAT Reassessment was completed, as required.

<b>3.10 Ninety-Day YES Plan Updates</b>	<b>Satisfactory Compliance</b>
<i>Staff adjust the YES Plan to reflect any new needs and progress made during the course of supervision. Staff must make necessary updates to youth requirements and goals and save a new YES Plan in the Department's Juvenile Justice Information System (JJIS) prior to the ninety-day supervisory reviews. When updates are made to the YES Plan reasonably requiring the input of the youth and parent/guardian, this discussion is clearly documented in the case notes. The case notes clearly document any communication regarding the YES Plan.</i>	

Thirty-six youth records were reviewed for completion of ninety-day Youth-Empowered Success (YES) Plan updates. Thirty-five of the thirty-six applicable youth requirements were updated within the Department's Juvenile Justice Information System (JJIS) prior to the first ninety-day YES Plan update. One of the records was not updated as required. Three youth records were applicable for Change Goal requirements and were updated within JJIS prior to the first ninety-day YES Plan update. Target dates were updated in JJIS for thirty-two of the thirty-three applicable youth records reviewed. A new YES Plan was saved in JJIS prior to the first ninety-day juvenile probation officer supervisor (JPOS) review and at least within ninety-days for thirty-eight of forty-one records. The remaining three YES Plan updates were completed two, ten, and seventeen days late, respectively. Twenty-eight records were applicable for updates which required input of the youth and parent/guardian. The discussion was clearly documented in case notebook module for all applicable youth records.

Seventeen of the thirty-six records were applicable for completion of a second ninety-day YES Plan update. Each of the youth requirements were updated within JJIS, as required, prior to the second ninety-day YES Plan update. Target dates were updated in JJIS for all seventeen applicable youth records reviewed. For all seventeen applicable records reviewed a new YES Plan was saved in JJIS prior to the second ninety-day juvenile probation officer supervisor (JPOS) review. None of the seventeen youth records were completed late. The YES Plan

updates, which required the input of the youth and parent/guardian, the discussion was clearly documented in the case notebook module for fifteen of the sixteen applicable records reviewed.

3.11 Termination of Supervision	Satisfactory Compliance
<i>The JPO requests termination for youth on probation, conditional release, or post-commitment probation upon successful completion of court-ordered sanctions and substantial compliance with restitution and/or court fees. Termination must also be requested if the Department is losing jurisdiction because the youth has reached the maximum age provided in statute or based on the maximum period of supervision applicable to the charge.</i>	

Sixteen youth closed records were reviewed for termination of supervision. Fifteen of the sixteen records included a progress report which was completed when termination of probation was requested. The remaining youth record documented the youth was terminated from supervision while at court. All fifteen applicable records documented the juvenile probation officer (JPO) checked with local law enforcement to determine if there were outstanding warrants or charges for the youth which had not been filed. Termination was requested for all fifteen closed youth records reviewed. Within five working days of receipt of the court's termination order, the JPO updated the Department's Juvenile Justice Information System (JJIS) in all fifteen records reviewed. In addition, the JPO provided notification to the youth's parent/guardian in all sixteen records. In the fifteen applicable youth records, the supervisor provided a signature on the progress report prior to submitting to the court. The date of admission and the date of termination were documented in each of the sixteen closed youth records reviewed.