

STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE

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

Probation and Community Intervention - Circuit 20

Department of Juvenile Justice

(State-Operated)

2295 Victoria Avenue Suite 195

Fort Meyers, Florida 33901

Review Date(s): August 20-22, 2019



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:

Satisfactory Compliance	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.
Limited Compliance	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.
Failed Compliance	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:

Christine Calvert-Joyner, Office of Program Accountability, Lead Reviewer (Standard 1)
Keith Bennis, Office of Program Accountability, Regional Monitor (Standard 2 and 3)
Paula Friedrich, Office of Program Accountability, Regional Monitor (Standard 2 and 3)
Stephanie Mack, DJJ Probation, Juvenile Probation Officer Supervisor, Circuit 11 (Standard 2 and 3)
Karla Ocampo, DJJ Probation, Circuit 11, Senior Juvenile Probation Officer (Standard 2 and 3)
Maryann Sanders, Office of Program Accountability, Deputy Regional Supervisor (Collier Juvenile Assessment Center, Standard 2 and 3)
Marissa Stress, Office of Program Accountability, Regional Monitor (Lee Juvenile Assessment Center, Standard 2 and 3)

Program Name: Probation and Community Intervention - Circuit 20 MQI Program Code: 1195
Provider Name: Department of Juvenile Justice Contract Number: N/A
Location: Lee County County / Circuit 20 Number of Beds: N/A
Review Date(s): August 20-22, 2019 Lead Reviewer Code: 163

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 Services, and (3) Intervention Services, which are included in the Probation and Community Intervention Standards.

Overall Rating Summary

The following limited and/or failed indicators require immediate corrective action.

Limited Ratings	Failed Ratings
1.02 Five-Year Rescreening	
2.04 Mental Health/Substance Abuse Screening	

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	Limited
1.03	Protective Action Response (PAR)	Non-Applicable
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	Limited
2.05	* Comprehensive Assessment	Satisfactory
2.06	State Attorney Recommendation (SAR)	Satisfactory
2.07	Pre-Disposition Report (PDR)	Satisfactory

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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 20 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 six office locations throughout Charlotte, Lee, Collier, Hendry, and Glades Counties in Florida. The circuit has two state-operated Juvenile Assessment Centers (JACs) located in Lee and Collier Counties. Each JAC is staffed by juvenile probation officers (JPOs) and a juvenile probation officer supervisor (JPOS) twenty-four hours a day, seven-days a week. The circuit's team consists of one chief probation officer (CPO), one assistant CPO, one government operations consultant II, one administrative assistant II, one reform specialist, seven JPOSs, seven senior JPOs, thirty-two JPOs, two other personal services (OPS) JPOs, and one secretary specialist position. The circuit provides services which include diversion, probation supervision, day treatment, commitment, and transition services. The program also utilizes specialized services including evidence-based programming, such as Redirections, which utilizes Functional Family Therapy, Multi-systemic Therapy, and Cognitive Behavioral Therapy. 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, JPO 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 JPO screeners are also required to complete the Detention Risk Assessment Instrument, applicable State Attorney Recommendations (SARs), the Massachusetts Youth Screening Instrument - Second Version, and other intake documents. Circuit 20 youth taken into custody in Immokalee, are not transported to the Collier County JAC. These youth are taken to the Immokalee police sub-station/jail and the JPO screener is contacted by phone. A copy of the police report is faxed to the Collier County JAC and the screener determines the youth's detention or release status. If the youth scores for secure detention, the youth is transported to the Collier JAC and all the required forms and assessments are completed. The circuit has an interagency agreement with the State Attorney's Office for the 20th Judicial Circuit which was entered into as of October 5, 2015. The agreement states the Department shall only submit a SAR for youth recommended for diversion services. JPOs are responsible for completing a Youth-Empowered Success Plan for each youth. Youth who are identified with mental health, substance abuse, and/or medical needs are referred by the assigned JPO to appropriate community-based resources. At the time of the annual compliance review, the circuit had eight vacancies, to include seven JPO positions and one OPS JPO position. At the time of the annual compliance review, the circuit had a total of 464 youth being supervised. Supervised youth included 389 probation youth, seventy-four post-commitment probation youth, and one conditional release youth.

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 contract provider may hire an employee to a position which requires background screening before the screening process is completed, but only for training and orientation purposes. However, these employees may not have contact with youth or confidential youth records until the screening is completed, the rating is eligible, and the employee does not demonstrate he or she exhibits any behaviors which warrant the denial or termination of employment. An Annual Affidavit of Compliance with Level 2 Screening Standards is completed annually.</i>	

The circuit hired eleven new staff and sixteen volunteers since the last annual compliance review. A review of personnel records found each staff and volunteer received a clearance from the Department's Background Screening Unit (BSU) with an eligible rating prior to their hire dates. None of the reviewed records were applicable for obtaining an exemption prior to working with youth. None of the reviewed records were applicable for a break in service. The program utilizes an impact test through the Ergometric & Applied Personnel Research, Inc. as a pre-employment assessment tool for all direct care applicants. Reviewed documentation reflected each of the eleven newly hired staff completed the pre-employment assessment tool with a passing score prior to being hired. Each reviewed employee record contained a pre-employment assessment passing score maintained within the record. The circuit submitted an Annual Affidavit of Compliance with Level 2 Screening Standards on November 13, 2018, meeting the annual requirement.

1.02 Five-Year Rescreening	Limited 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>	

A five-year background rescreening is required for all employees, contracted providers, grant recipient employees, volunteers, mentors, and interns with access to youth. The program had seven staff applicable for the completion of a five-year rescreening since the last annual compliance review. Each rescreening was completed; however, three rescreenings were not completed at least ten business days prior to the five-year anniversary, as required. One rescreening was completed nine business days late, the second was completed sixteen business days late, and the third was completed thirty-seven business days late. An interview with the assistant chief probation officer did not indicate the circuit had prior knowledge of the missed due dates. There were no volunteers or interns who were eligible for a five-year rescreening since the last annual compliance review.

1.03 Protective Action Response (PAR)	Non-Applicable
<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>	

There have been no Protective Action Response (PAR) incidents during this annual compliance review period; therefore, this indicator rates as non-applicable.

1.04 Pre-Service/Certification Training	Satisfactory Compliance
<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>	

The circuit maintains a south region probation training plan for all new staff, which was reviewed and approved by the Department's Office of Staff Development and Training on December 21, 2018. All juvenile probation officers complete phase one training in the circuit, followed by phase two training, which consists of attending and passing the Department's Juvenile Probation Officer Academy. The circuit had nine newly hired direct care staff applicable for pre-service certification training. Each of the nine staff training records contained documentation supporting phase one training was completed and five contained documentation phase two training was completed. One of the non-certified staff was attending the certification academy at the time of the annual compliance review, and the remaining three were on track for certification. The three non-certified staff were maintained on a monthly waitlist provided to the regional office and headquarters for attendance consideration to the phase two academy. Four of the five reviewed staff records documenting certification did not reflect the certification was completed 180 days of hire. Staff certifications were completed between seven and forty-four days beyond the 180-day requirement. Reviewed documentation and an interview with the chief probation officer supported all phase two academy candidate information was provided to the regional office monthly; however, academy placement is limited. A review of the Department's Learning Management System (SkillPro) showed staff completed phase one training routinely within the first two months of hire within the circuit.

1.05 In-Service Training	Satisfactory Compliance
<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>	

Nine staff training records were reviewed for the completion of in-service training. Each reviewed record documented staff members exceeded the required twenty-four hours of training. Each record contained Protective Action Response (PAR), cardiopulmonary resuscitation (CPR), first aid, suicide recognition, prevention, and intervention professionalism and ethics, and active shooter training. Five records were reviewed for additionally required

annual supervisory training. Each reviewed supervisory training record showed supervisory staff exceeded the required eight hours of training. Supervisory training in the areas of management, leadership, personal accountability, employee relations, communication skills, and fiscal tasks were completed within the circuit. All reviewed in-service training was documented in the Department's Learning Management System (SkillPro). The program's in-service training plan was approved by the Department's Office of Staff Development and Training on December 21, 2018. The program also maintains an annual in-service training calendar, which is updated as changes occur.

1.06 Incident Reporting (CCC) (Critical)	Satisfactory Compliance
<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 program had a total of eighteen incidents reported to the Department's Central Communications Center (CCC) in the past six months. A review of five randomly selected incidents reported to the CCC during the past six months found each was reported within two hours, as required. A review of the program's internal incidents did not reveal any additional incidents and/or grievances which should have been reported to the CCC.

1.07 Abuse-Free Environment (Critical)	Satisfactory Compliance
<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>	

The circuit provides an environment in which youth, staff, and others feel safe, secure, and not threatened by any form of abuse or harassment. The circuit provides unimpeded access to the Florida Abuse Hotline and the Department's Central Communications Center (CCC) for youth who are eighteen years of age or older. Observations of one probation office and one Juvenile Assessment Center indicated the Florida Abuse Hotline and the CCC telephone numbers are posted throughout the circuit. A review of CCC reports for the past six months and a review of youth case notes indicated the circuit had no incident reports alleging abuse since the last annual compliance review. An interview with the assistant chief probation officer indicated there have been no internal incidents regarding abuse since the last annual compliance review.

Standard 2: Assessment Services

2.01 Community Assessment Tool (CAT) Pre-Screen

Satisfactory Compliance

Staff complete the CAT Pre-Screen whenever a youth is referred to the Department for a new law charge.

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Thirty-nine reviewed youth records were applicable for requiring a pre-screen assessment when the youth was referred for a new law violation or when the youth was taken into custody and screened for a new-law violation of probation. Reviewed documentation indicated thirty-eight reviewed youth records contained either a Positive Achievement Change Tool (PACT) Pre-Screen or Community Assessment Tool (CAT) Pre-Screen completed by a juvenile probation officer.

2.02 CAT Full Assessment

Satisfactory Compliance

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.

Forty-six youth records were reviewed. Thirty-nine were applicable for a Positive Achievement Change Tool (PACT) or Community Assessment Tool (CAT) Pre-Screen. Reviewed documentation found five were applicable for youth classified as either moderate-high or high-risk to re-offend or were referred for Redirections, requiring a full assessment. Four of the five reviewed records contained a PACT or CAT Full Assessment completed by a juvenile probation officer, as required. Each of the four completed assessments were completed prior to the development of the Youth-Empowered Success Plan.

2.03 CAT Reassessment

Satisfactory Compliance

Staff complete CAT Reassessments for youth on probation, conditional release, and post-commitment probation.

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Thirty-six probation youth records were applicable and reviewed for the completion of the Positive Achievement Change Tool (PACT)/Community Assessment Tool (CAT) Reassessment. A PACT/CAT Reassessment is to be completed for youth placed on either probation, conditional release, or post-commitment probation at least once within 180-calendar days. PACT/CAT Reassessment results are reflective of the youth's status, including changes in behavior and progress with Youth-Empowered Success (YES) Plan sanctions and goals. A PACT/CAT Reassessment was completed at least once within 180-calendar days for four applicable youth who were identified as either moderate-high or high risk to reoffend. Thirty-two youth were identified as either low-risk or moderate-risk to re-offend and each contained a PACT/CAT Pre-Screen completed at least once every 180-calendar days. Twenty-six of the twenty-seven reviewed youth records containing a new law violation, new disposition, and/or pre/post testing for certain delinquency interventions included a completed PACT/CAT Reassessment, while one was not completed.

2.04 Mental Health/Substance Abuse Screening**Limited Compliance**

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.

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Thirty-nine reviewed youth records were applicable for completion of the Massachusetts Youth Screening Instrument, Second Version (MAYSI-2). Thirty-seven records documented the MAYSI-2 was completed and two did not. Thirty-seven of the thirty-nine applicable youth records contained documentation verifying the MAYSI-2 was administered in the Department's Juvenile Justice Information System (JJIS) by a trained staff member on the day of admission, in a confidential manner. Thirty-two of the thirty-seven records where a MAYSI-2 was completed documented a need for a comprehensive assessment. Thirteen of the reviewed records were applicable for youth whose MAYSI-2 results indicated an elevated suicide risk based on screening instruments administered upon intake. Thirty-nine reviewed youth records were applicable for the completion of the Suicide Risk Screening Instrument (SRSI) to be administered in JJIS by the juvenile probation officer or JAC screener. Thirty-three records documented an SRSI was completed as required and six did not. Twenty of the reviewed records were applicable for youth whose SRSI results indicated an elevated suicide risk.

A total of twenty youth records documented positive responses on the suicide risk subscales on the MAYSI-2 and/or positive responses on SRSI. Sixteen of these youth were screened at the Lee County Juvenile Assessment Center (JAC) and four were screened during an intake conference at a probation unit. Documentation provided, and observations and interviews conducted at the Lee County JAC did not support youth with an elevated risk of suicide were placed on constant supervision or had any higher level of supervision at the JAC compared to youth with no risk factors. The circuit was unable to provide documentation of notifying the Lee County Sheriff's Office personnel when a youth had an elevated risk of suicide and the circuit was unable to locate and/or provide evidence placing the youth on Constant Supervision and the required supervision monitoring as outline in the Department's Rule.

Eight of the youth with an identified elevated suicide risk remained in the Department's custody and twelve were released to the custody of a parent/guardian. Each of the eight youth records where the youth remained in the Department's custody reflected a suicide risk alert was created within JJIS and the detention center was notified of the youth's status. Ten of the twelve youth records indicating the youth was released to the custody of the parent/guardian documented the parent/guardian was provided a copy of the Department's Suicide Risk Screening Parent/Guardian Notification form as required. One record did not document the parent/guardian was notified, and another record only contained an unsigned copy of the form.

2.05 Comprehensive Assessment (Critical)**Satisfactory Compliance**

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.

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Thirty-seven of the thirty-nine applicable youth records contained documentation verifying the MAYSI-2 was administered in the Department's Juvenile

Justice Information System (JJIS) by a trained staff member on the day of admission. In thirty-two of the thirty-seven records where a MAYSI-2 was completed, the need for a comprehensive assessment was identified. Each of the thirty-two records requiring a referral for a comprehensive assessment documented referral completion, as required. Twenty-two of the thirty-two completed comprehensive assessments recommended additional services requiring a referral for services. Each of the twenty-two applicable referrals were completed as required. There were three youth detained who required a comprehensive assessment. Reviewed documentation indicated the juvenile probation officer forwarded the comprehensive assessment results to the detention center in each of the three applicable records.

2.06 State Attorney Recommendation (SAR)	Satisfactory Compliance
<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>	

Circuit 20 probation and the 20th Judicial Circuit entered into an agreement on October 5, 2015 regarding the requirement for State Attorney Recommendations (SARs). The agreement specifies the Department shall submit a recommendation to the state attorney only for those youth who meet criteria for a referral to a diversion program. All probation staff are trained in the completion of the SAR as part of their certification. Two youth records were applicable for a SAR. Documentation reflected each record contained a SAR completed based on the Positive Achievement Change Tool (PACT)/Community Assessment Tool (CAT) Pre-Screen results. Each youth's needs identified by the PACT/CAT, and discussions with the youth and parents/guardians were included within the narrative section of the SAR. Each reviewed SAR documented the recommendation for a diversion program based on charges, criminal history, and risk to re-offend. Each reviewed SAR was submitted within the applicable time frame and was signed by the supervisor/designee prior to submission.

2.07 Pre-Disposition Report (PDR)	Satisfactory Compliance
<i>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.</i>	

Eleven youth records were applicable for completion of a Pre-Disposition Report (PDR). In each of the eleven applicable youth records, a Positive Achievement Change Tool (PACT)/Community Assessment Tool (CAT) Full Assessment was completed prior to the completion of the PDR for those youth identified as moderate-high or high-risk to re-offend. Recommendations were made in each of the eleven PDRs reflecting mental health and/or substance abuse treatment needs identified by the PACT/CAT and/or other sources. Nine of the eleven records applicable for the completion of a PDR also contained a completed comprehensive assessment summary. Eight of the nine records containing a completed comprehensive summary incorporated the assessment recommendations within the PDR. Each reviewed PDR was signed by a juvenile probation officer supervisor or designee prior to submitting it to the court. Each PDR was submitted to the court at least forty-eight hours prior to disposition as required.

Standard 3: Intervention Services

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

Forty-six youth records were applicable and reviewed for the initial development of the Youth Empowered Success (YES) Plan. Forty-five reviewed plans indicated the juvenile probation officer (JPO) completed the appropriate Positive Achievement Change Tool (PACT)/Community Assessment Tool (CAT) assessment after placement on probation or release from a residential program and prior to the development of the YES Plan. One record did not document a new PACT/CAT was completed prior to the development of the YES Plan. A PACT/CAT Full Assessment was completed for moderate-high risk and high-risk youth and a PACT/CAT Pre-Screen for moderate-risk and low-risk youth in forty-five records. Forty-two of forty-six reviewed youth records indicated the youth and parent/guardian participated in the YES Plan development. Forty-two of forty-six YES Plans were signed by the youth within the required thirty-day time frame. Three were signed late by the youth and one was not signed. The parent/guardian documented their signature in forty-one of forty-six applicable records within the required thirty-day timeframe. Four were signed late by the parent/guardian and one was not signed. The assigned JPOs documented their signatures within the required thirty-day time frame in forty-four of forty-six applicable reviewed YES Plans. Two YES Plans documented the JPO signed beyond the thirty-day requirement. Forty-four of forty-six reviewed YES Plans documented a review and signature by the juvenile probation officer supervisor (JPOS) within the required thirty-day timeframe, while two were late. Forty of the forty-six applicable reviewed youth records contained supporting documentation to reflect the youth and the applicable parents/guardians were provided a copy of the YES Plan upon approval. Six records did not clearly reflect the parent/guardian was provided a copy of the YES plan.

3.02 Youth Requirements/Change Goal Elements	Satisfactory Compliance
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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).

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Nine probation case management records were applicable for a youth identified as moderate-high or high-risk to reoffend. Each of the nine applicable records documented at least one Change Goal included on the Youth-Empowered Success (YES) Plan, as required, and one did not. Eight of nine applicable reviewed youth records indicated the YES Plan contained one of the top three criminogenic needs addressed as a Change Goal and one did not. There were three youth identified as high-risk to reoffend. Two of the three reviewed plans documented a goal outlining an evidenced-based intervention targeting one of the youth's top three criminogenic needs. The one record not receiving an evidence-based intervention contained clear documentation outlining barriers to participation. There were 439 youth requirements in the reviewed initial YES Plans. There were 439 total youth requirements which contained an intervention plan for parent/guardian. There were 410 youth requirement goals containing the intervention plan elements for the youth, and 429 youth requirement goals containing the intervention plan elements for the assigned juvenile probation

officer. Each identified youth requirement/goal contained the intervention plan elements of who, what, and how often.

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 reviewed youth probation case management records were applicable for post-commitment-probation status. Reviewed documentation reflected the case notebook module clearly documented the receipt of each youth's pre-release notification (PRN), discharge summary, and other pertinent documentation provided by the residential program. In each of the seven records, the Department concurred with the youth's proposed release date and the juvenile probation officer (JPO) notified the committing judge of the program's intent to release the youth and plan for aftercare supervision using the Request for Release Letter. Each record documented the JPO delivered the Request for Release Letter, PRN, and a copy of the program's Release Discharge Summary to the judge within three working days of receipt of the PRN. There were no records applicable for the court denying a release request.

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.

There were seven applicable youth records reviewed for transition planning. Each of the seven applicable records required the juvenile probation officer (JPO) to contact the youth's parent/guardian by telephone monthly, while each youth was in the residential commitment placement. A review of youth case notes indicated the JPO made monthly contact with the parents/guardians in conjunction with the monthly treatment team conference calls with the residential program in each of the seven applicable records. One record also documented monthly parent/guardian contact was made outside of the scheduled treatment team meetings. In each of the seven applicable reviewed records, case notes documented the JPO participated in the intervention and treatment team meetings. Four records were applicable for instances where the assigned JPO was unable to participate in the monthly treatment team meeting. Each of the four records clearly documented the JPO followed-up with the program and youth within the required seventy-two-hour time frame. There was clear documentation to support the JPO participated in the transition conference, development of the transition plan, and coordination of aftercare services in each of the seven applicable youth records. There was clear documentation in each of the seven applicable records to support the JPO assisted the parent/guardian and program staff, when necessary, to ensure communication was conducive with the youth's successful completion of the program. Each of the seven applicable records documented the JPO had at least one face-to-face contact with the youth during transition. Each of the seven applicable reviewed records indicated a Community Re-Entry Team (CRT) meeting was held and case notes documented who was in attendance in addition to a copy of the youth's transition plan. Reviewed documentation reflected the JPO or circuit transition liaison sent a CRT meeting notification to all required participants using Microsoft Outlook Calendar at least fourteen days in advance of the youth's scheduled CRT meeting date. Each of the seven applicable reviewed records contained a CRT Case Summary which addressed all required elements.

3.05 Referrals for Intervention and Treatment Services (Critical)	Satisfactory Compliance
<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>	

Forty-six youth records were reviewed, which included thirty-nine probation records and seven post-commitment probation records. Thirty-five probation case management records were applicable for requiring referrals for services. Thirty of thirty-five applicable reviewed youth records contained a referral for services. Twenty seven of the thirty referrals made were completed within ten-calendar days of the Youth-Empowered Success (YES) Plan being approved. Three referrals were submitted beyond the required timeframes and five referrals were not completed. Thirty-five records required a juvenile probation officer (JPO) follow-up within thirty calendar days of the YES plan to ensure the youth participated in the admission process and was receiving services. Twenty-four of the required thirty-six thirty day follow-ups were completed on time, nine were completed more than five days late, and two were not completed. Twenty-six of thirty-five applicable youth records verified the JPO received follow-up progress reports from the service provider on a regular basis. Thirteen reviewed probation case management records were applicable for the JPO following-up on a progress report due to missed appointments, negative reports, and/or non-participation. Eleven of the thirteen applicable records clearly documented follow up by the JPO.

3.06 YES Plan Implementation/Supervision	Satisfactory Compliance
<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>	

Forty-six applicable youth records were reviewed and found a total of 547 juvenile probation officer (JPO) action steps were required within the first ninety-day supervision period of the initial 180-days. The JPOs documented 503 actions completed within the first ninety-day period. There were 184 JPO action steps required by the Youth-Empowered Success (YES) Plan during the second ninety-day supervision period, of which 168 of the action steps were completed. There was a total of twenty-two JPO action steps required by the YES Plan in the third ninety-day supervision period of the development of the YES Plan, of which all JPO action steps were completed, as required. Each of the forty-six reviewed youth records indicated the JPO documented a face-to-face interaction with the youth, parent/guardian, and/or providers. The JPO documented all telephone contacts with the youth, parent/guardian, and/or providers in each applicable record. In each of the forty-six applicable youth records, the JPO documented their receipt and review of written or verbal reports from collateral sources, such as educational institutions, employers, counselors, and electronic databases.

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.*

Forty-six applicable youth records were reviewed. Based on their Positive Achievement Change Tool (PACT)/Community Assessment Tool (CAT) results, thirty-seven of the youth scored low or moderate risk to reoffend and nine youth scored moderate-high or high risk to reoffend. During the first ninety-day supervision period, reviewed documentation reflected the juvenile probation officer (JPO) made face-to-face contact with thirty-six of the thirty-seven applicable low and moderate-risk youth. A review of low and moderate youth documentation reflected the JPO made monthly contact with the parent/guardian for thirty of thirty-seven applicable youth. During the first ninety-day supervision period, reviewed documentation reflected the JPO made face-to-face contact with each of the nine applicable moderate-high and high-risk youth and parent/guardian every month. During the second ninety-day supervision period, reviewed documentation reflected the JPO made monthly face-to-face contact with each of the eleven applicable low or moderate-risk youth and each of the seven-applicable moderate-high and high-risk youth. Contact was made with the youth's parent/guardian every month in ten applicable low or moderate risk youth records reviewed. The eleventh youth was over the age of eighteen and did not require parent/guardian contact. Parent/guardian contact was made during the second ninety-day supervision period in each of the seven applicable moderate-high and high-risk youth records reviewed. During the third ninety-day supervision period, reviewed documentation reflected the JPO made monthly face-to-face contact with the one applicable low or moderate-risk youth and the one applicable moderate-high and high-risk youth. Contact was made with the youth's parent/guardian every month in both the youth records reviewed. No reviewed youth records were applicable for a fourth ninety-day supervision period.

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-six youth records were reviewed for ninety-day supervisory reviews. Each of the forty-six reviewed records contained documentation within the case notes where the juvenile probation officer supervisor (JPOS) documented a review of the Youth-Empowered Success (YES) Plan. Thirty-nine reviewed youth records were applicable for the completion of a supervisory case review being completed at least once during the first ninety-day supervision period. Thirty-seven of the thirty-nine were completed during the first ninety-day supervision period and two were completed outside the required timeframe. Twelve reviewed youth records were applicable, and each indicated the JPOS conducted a supervisory case review at least once during the second ninety-day supervision period.

3.09 Ninety-Day YES Plan Updates**Satisfactory Compliance**

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.

Forty-six youth records were reviewed and thirty-nine indicated ninety days had passed since the approval of the initial Youth-Empowered Success (YES) Plan. Twenty-eight youth probation case management records reflected updates were required prior to the first ninety-day YES Plan update. Each of the twenty-eight updates were documented as required. Five records were applicable for Change Goals requiring an update prior to the first ninety-day YES Plan update and four were completed. Twenty-one records were applicable and each documented YES Plan target dates were updated in JJIS prior to the first ninety-day YES Plan update. A new YES Plan was saved in JJIS prior to the first ninety-day juvenile probation officer supervisor (JPOS) review in thirty-three of thirty-seven applicable reviewed records, while four were completed beyond the required timeframe. One youth record was applicable for a YES Plan update reasonably requiring the input of the youth and parent/guardian and the discussion was clearly documented in the case notes. There were nine records where ninety-days had passed since the first ninety-day YES Plan review. Each of the nine applicable youth records documented youth requirements being updated prior to the second ninety-day YES Plan update. Three reviewed youth records were applicable for Change Goals requiring update prior to the second ninety-day YES Plan update and each was updated. Six reviewed YES Plans indicated target dates required updating and each were updated prior to the second YES Plan update. There were nine of nine applicable YES Plans saved in JJIS prior to the second ninety-day JPOS review. Three YES plans required the input of the youth and parent/guardian prior to the second ninety-day YES plan update and the discussion was clearly documented in the case notes.

3.10 Termination of Supervision**Satisfactory Compliance**

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.

Ten closed youth records were requested and reviewed for termination of supervision and/or loss of jurisdiction for youth placed on probation, post-commitment probation, or conditional release. A progress report was completed in each of the ten applicable reviewed records when termination was requested or when the Department lost jurisdiction. One reviewed youth probation case management record documented the youth was moderate-high or high risk when termination was requested, and the Comparative Risk Factors and Comparative Factor Scores Report was included within the progress report, as required. Reviewed documentation supported the juvenile probation officer (JPO) checked with local law enforcement in each of the applicable records to determine if there were any outstanding warrants or pending charges. Each of the applicable records documented the JPO and supervisor reviewed and signed the applicable progress report prior to submission to the court. Each of the ten applicable closed youth records contained a court order successfully terminating the youth's supervision. Each of the reviewed youth records documented the date of termination being updated in the

Department's Juvenile Justice Information System (JJIS) within five working days of the receipt of the termination order from the court. Reviewed documentation confirmed the JPO notified the youth and parent/guardian, in writing, of the youth no longer being under supervision for each of the ten reviewed records. One of the ten reviewed records was applicable for the court retaining jurisdiction. Reviewed documentation reflected the JPO notified the youth and parent/guardian by retaining jurisdiction, the court may find the youth in contempt for failure to make timely payments. Reviewed documentation within JJIS reflected each of the youth's dates of admission correlated with applicable court orders. In eight of the ten records the termination date reflected in JJIS and the court order correlated. One record documented a six-day difference and the second documented a four-day difference in the date of termination.