



Smart Probation: A Study of the San Diego County Probation Department's Application of Evidence-Based Practices

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SMART PROBATION: A STUDY OF SAN DIEGO COUNTY PROBATION DEPARTMENT'S APPLICATION OF EVIDENCE-BASED PRACTICES (EBP)

INTRODUCTION

The passage of Assembly Bill 109 (AB 109), also known as *Public Safety Realignment California*, shifted the supervision, housing, and rehabilitation of certain offenders (whose most recent conviction was for a non-violent and non-serious offense) from state prison and parole to local jurisdictions. In response to this monumental change in the criminal justice system, San Diego County created a realignment plan that was structured around Evidence-Based Practices (EBP).

***What are Evidence-Based Practices?** EBP include methods and services that have been proven through research to be effective in reducing recidivism in at least one segment of the offender population.*

In support of this commitment to EBP, the San Diego County Probation Department applied for, and was awarded, a Smart Probation grant from the Department of Justice, Bureau of Justice Assistance in September 2012 to support continued implementation of evidence-based supervision to ensure fidelity to its EBP-based model. The grant funded a supervisor-level EBP peer coach and mentor to work with supervisors and line staff in the Post Release Offender (PRO) division. The following are the four primary project goals implemented through the Smart grant:

1. Support EBP leadership capacity in the PRO Division management team.
2. Implement a supervision model.
3. Provide access to appropriate intervention services.
4. Collaborate with justice partners to improve the criminal justice system.

To assist Probation in measuring its adoption of EBP in the PRO Division, the Criminal Justice Research Division of SANDAG was contracted to evaluate how effectively and to what extent Probation implemented the four project goals.

REPORT HIGHLIGHTS

- Supervising Probation Officers (SPOs) and Deputy Probation Officers (DPOs) in Probation's PRO Division who participated in focus groups viewed Probation's EBP as the standard operating procedure, but noted that IBIS and EBP training have made it more formalized.
- EBP was viewed by SPOs and DPOs as effective for supervising most offenders. Offenders with severe mental health issues or criminogenic traits were the exception.
- A review of the COMPAS assessments revealed that almost nine in ten offenders had been assessed. On average, there were fewer than three discrepancies per case and even fewer discrepancies in more recent assessments.
- An assessment of how well offender case plans were done indicated that information regarding the offender's greatest needs was included and offenders were generally included in the goal-setting process.
- Incentives and sanctions most often included verbal accolades, revocation, and verbal warnings. Sixty percent of PRCS offenders received a flash incarceration, a one to ten day custody sanction for a probation violation.
- Average ratings of DPO's use of IBIS during interactions with offenders suggest that POs are implementing these skills with proficiency.
- Based on survey results, offenders reported positive feelings regarding the relationship with their DPO.

In order to provide Probation with timely information on its progress, SANDAG drafted topic specific reports during the grant period when an evaluation component was complete. Following is a list of the summary reports included in the appendices.

- Smart Probation Scorecard
- Supervising Probation Officer Focus Group
- Senior and Deputy Probation Officer Focus Group

This report incorporates key findings from the summary reports, as well as information gathered to address the research questions.

Probation's Supervision Model's core EBP components: COMPAS risk assessment, assignment to supervision level by risk score; case planning and case management; incentives and sanctions; and offender engagement through IBIS practices.

EVALUATION DESIGN

The evaluation design for Probation's Smart project was created after the grant was awarded and in collaboration with Probation with significant input from its Director of Research. A mixed-methods approach was agreed upon to evaluate the multiple goals of the grant. The two primary goals of the research were to:

- Understand how training of management staff and increasing collaborative efforts with outside stakeholders impacted the effective implementation and delivery of practice-model elements in the PRO Division; and
- Understand the extent to which Deputy Probation Officers (DPOs) in the PRO Division implemented practice-model elements into their work with Post-Release Community Supervision (PRCS) and Mandatory Supervision (MS) offenders.

Each project goal had its own research questions and data collection methods, which are described below.

1. Support EBP leadership capacity in the PRO Division management team.
 - How did the knowledge and attitudes of Supervising Probation Officers (SPOs) in the PRO

Division change as a result of completing the Leadership Academy?

2. Implement a supervision model.
 - To what extent did the PRO Division accurately implement the supervision model elements, including the COMPAS assessment, case planning, and engagement with clients?
3. Provide access to appropriate intervention services.
 - Did the PRCS and MS populations perceive their POs as responsive to their risks and needs?
 - What were the strengths, challenges, and barriers that POs experienced in implementing the practice-model elements?
4. Collaborate among justice partners to improve the criminal justice system.
 - Have the partners managing the PRO population sought to promote and increase collaboration among agencies and officials who work in probation, pre-trial, law enforcement, and related community corrections fields?

DATA COLLECTION METHODS AND SOURCES

To measure the implementation of EBP components, a mixed-methods approach was employed, utilizing both primary and secondary data collection methods. These data collection efforts included surveys, focus groups, Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) risk/need assessment coding and review, case plan review, fidelity checklist, PO and offender relationship assessment, and offender interviews. Key data points are compiled and presented in a score card (Appendix A) that provides a rating for each of the following practice-model elements: COMPAS assessment, case planning, and PO-offender engagement, as well as an overall summary score. Below is a detailed account of the study instruments, measures, data sources, and sample selection when appropriate.

Focus Groups

Supervising Probation Officers' Focus Group: To assess EBP leadership competency (Project Goal One), SANDAG staff conducted one focus group with PRO Division SPOs approximately seven months after their completion of the UCSD Leadership Academy training on EBP (May 2014). This focus group was conducted to ascertain how the EBP training had influenced their knowledge and attitudes; how their views about EBP changed; and what other information they needed to continue the implementation of the supervision model in the PRO Division. The focus group was 90 minutes in length and conducted in a conference room at the PRO Division's central office.

The sample selection for this focus group was one of convenience from a pool of all SPOs in the PRO Division. SANDAG solicited the help of an AB 109 program manager in Probation to contact the SPOs and invite them to participate in the focus group. Of the ten eligible SPOs, eight attended the focus group. All but one was currently active to the PRO Division, with each having approximately 10 to 12 POs under their supervision. The group was comprised of seasoned officers who had been with the Probation Department for an average of 17 years.

Deputy Probation Officers' Focus Groups: To assess front line staffs' experiences in implementing EBP as part of Project Goal Two, SANDAG conducted five separate focus groups with DPOs (including Senior DPOs), all of whom supervised either PRCS or MS caseloads. Topics included how DPOs were administering the COMPAS and using results in case planning, the use of EBP to monitor and supervise offenders, any perceived differences between the PRCS and MS populations and other high-risk offenders, the impact EBP had on their relationship with the offender, the referral process to community services, the challenges and benefits of EBP, and suggestions for improvements. The focus groups were 90 minutes in length and conducted at the East County, South Bay, Vista, Community Transition Center (CTC), and Central (Hall of Justice) PRO Division offices.

The original sample design called for randomly selecting focus group participants from all of the PRO units. However, due to schedule conflicts with training, vacation, and other professional responsibilities, the entire pool of available DPOs in the PRO Division participated. The result was a sample of convenience, comprised of the DPOs available to attend the focus group for their specific unit.

All focus groups were digitally recorded, as well as documented through written notes by research staff.

Transcriptions and interpretations were reviewed by two other staff present at the focus group. Open-end responses were coded by two separate staff and compared for consistency.

COMPAS Assessment Audit

To measure how well POs were administering the COMPAS assessment, SANDAG conducted a cross comparison analysis of PRO Division officers' completion of the COMPAS's static sections (criminogenic history and risk factors) by having research staff score a sample of 50 COMPAS assessments, which had been previously scored by Probation. The static sections were scored by SANDAG staff using the same protocols as Probation, which included reviewing the Record of Arrest and Prosecution (RAP) sheets and Pre-sentence Investigation (PSI) reports. The SANDAG scores were compared to the original scores created by Probation. Analyses performed on the data compiled included frequencies, cross-tabulations, and measures of central tendency. Additionally, statistical tests were conducted to determine whether any differences across groups were real or the result of chance. Tests performed included Pearson's Chi-square and Fisher's exact tests for categorical data and t-tests for interval data.

As measures of quality control, Probation trained SANDAG staff on how to complete the static factors of the COMPAS assessment; and each assessment was blindly completed (i.e., the coder did not have the Probation assessment at the time of coding) by a SANDAG staff member, with over 20 percent quality controlled (re-coded by another staff member with any differences discussed). Yet another SANDAG staff member cross-checked the SANDAG scored static questions to those in the Probation assessment and documented whether the answers matched. If there was a discrepancy, the details were documented on a data collection form. When differences were found, a third staff member reviewed the RAP and PSI where there was a discrepancy to confirm the score documented by SANDAG. Any issues were discussed with project team members as necessary.

The sample was randomly selected from a pool of PRCS and MS individuals who were under supervision six months or longer where at least some portion of the probationary period occurred after January 2014.

Case Plan Review

As a second means of measuring Project Goal Two, SANDAG staff conducted a case plan audit on the same sample of 50 offender case files that were subjected to the COMPAS review. Using an EBP data collection form created by SANDAG and reviewed by Probation¹, each case plan was thoroughly reviewed by a trained SANDAG staff member. As a measure of quality control, a different staff member also reviewed just over 20 percent of the case plans and any discrepancies were brought to the data team to be resolved.

SANDAG rated the PRO Division officers' performance based upon their accurate completion of the EBP checklist items. This included comparative analyses reviewing COMPAS score data, particularly needs scores, and referral DPO response information and offender engagement information from PCMS contact notes.

Fidelity Checklist

The third method used to assess Project Goal Two and also part of Project Goal Three, was measuring how well the DPOs were applying the elements of the supervision model when interacting with an offender. To accomplish this task, two SPOs and two Senior DPOs completed a quality assurance checklist (Appendix E) to ensure that Integrated Behavioral Intervention Strategy (IBIS) skills were used in the DPO's interactions with the PRCS and MS populations. A total of four different officers conducted the observations, the Smart Program Manager doing the largest percentage (64%). Observers used an existing quality assurance checklist developed by Probation based on the IBIS training manual and the Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Correction Quality Contact Standards Checklist. The checklist included items to rate the DPOs' use of motivational interviewing techniques and relationship and coaching skills. Observers attended a training session during which instructions and specific examples were discussed to ensure reliability of scoring and coding of skills across observers. These observations and assessments were conducted during the months of August and September 2014 during officer/offender contacts.

The random sample consisted of a selection of 25 PRO Division DPOs. In addition to generating the sample list,

***What is IBIS?** IBIS in San Diego County Probation refers to Integrated Behavioral Intervention Strategies. It is designed to enhance engagement with offenders and utilizes a combination of motivational interviewing techniques combined with cognitive behavioral interventions.*

SANDAG received hard copies of the checklists from the SPO and entered them into SPSS for analysis.

Officer/Offender Relationship Assessment

An assessment was administered between June 30 and July 29, 2014 to the PRCS and MS populations to capture their opinions and perceptions regarding their relationship with their DPO (Project Goal Three). With data provided by the Probation Department, SANDAG compiled a list of 241 high-risk offenders who had been supervised for at least 12 months and were scheduled to complete their probationary term no later than September 30, 2014. The survey was based on a modified version of the Dual-Role Relationships Inventory (DRI-R) with 9 statements removed for a total of 21 instead of the original 30.² The DRI-R, was designed to assess how offenders viewed their relationship with their DPOs. Questions on the survey focused on PRCS and MS perceptions about interactions with DPOs and other staff, as well as referrals and services utilized.

SANDAG staff mailed a survey to the individuals using the most current address known to Probation. A cover letter was included that explained the intent of the data collection effort, as well as details about an incentive to be entered in a raffle to win a \$100 gift card if they returned a completed survey. The letter included a link to the online version of the survey. The letter also invited individuals to participate in a short follow-up interview and to return an enclosed postcard with their most current address and phone number to indicate their willingness to be contacted, as well as an offer of a \$15 gift card as an incentive to complete a follow-up interview.

Survey of Stakeholders

To measure the extent to which collaborative efforts between Probation and other stakeholder agencies (e.g., HHSA, Sheriff) had influenced the implementation of practice-model elements, especially with regard to the referral and follow-up for treatment and services among the PRCS and MS populations (Project Goal Four),

¹ Senior Probation staff also periodically conducts internal case file reviews to ensure completion of COMPAS assessments and case plans. The form used for that process is included in Appendix F.

² The purpose of shortening the instrument was to encourage a greater response rate, while maintaining a balance of questions in each of the domains.

SANDAG conducted a brief survey of stakeholders. The survey was administered electronically via Survey Monkey during October 2014 and was sent to a list developed by Probation and SANDAG collaboratively of 28 program partners and 39 key staff. SANDAG coded, cleaned, and analyzed the survey data.

STUDY RESULTS

Project Goal One: Probation's Support of EBP Leadership Capacity in the PRO Division Management Team

The primary action item by Probation to accomplish the goal of increasing the knowledge and attitudes of SPOs and DPOs in the PRO Division was to send all SPOs to a Leadership Academy on EBP. The Leadership Academy was developed and taught by UCSD, which was also responsible for tracking attendance and outcomes of the participants. Because those statistics were not available for this report SANDAG conducted focus groups with a sample of convenience (those who were available) of the SPOs who attended the Leadership Academy to hear their perspectives of the Academy; how they have applied what they learned; what their opinions were of EBP; and if the Academy changed their attitudes towards EBP or increased their knowledge. The full report describing the results of the focus group addresses the following research question and is included in Appendix B with the highlights presented below.

1. How did the knowledge and attitudes of SPOs in the PRO Division change as a result of completing the Leadership Academy?

Enhancement of Existing Knowledge of EBP

As a whole, the focus group participants claimed to already be trained on the supervision model elements, including IBIS, prior to attending the Leadership Academy (March – September 2013) and felt that the training could have been more useful by being geared toward their existing level of knowledge. However, one of the key takeaways from the training was the "naming" of the core EBP concepts. More specifically, the training provided a clear label and common definitions of the core principles, which was new information to some newly-appointed supervisors and helped formalize the model for others.

"We felt that we are already doing this, but it made us look at how we were using it, we just didn't know it was called Reflections or motivational interviewing at that time."

Focus group participant

Application of Knowledge Gained

While the SPOs expressed confidence in their knowledge prior to the Leadership Academy, there were some elements that were noted as improving both as a result of the Leadership Academy, as well as the ongoing trainings and changes that occurred in the Department's development of EBP. These improvements included:

- More comprehensive and accurate tracking of the EBP-based supervision model components;
- Improved case planning; and
- Consistent utilization of assessments.

Specifically, focus group participants shared that having the formal labels and the eight EBP components more clearly defined at the Academy, along with a user-friendly way to enter these activities in the Probation Case Management System (PCMS), contributed greatly to increased documentation of various EBP approaches. They felt that the tracking system allowed DPOs to quickly document all the supervision model components they had used with an offender by using pre-defined codes. This was viewed as an efficient means to examine what has and has not worked with an offender, to compare actions taken with the case plan, and to monitor cases. This system allows both the SPO and the agency to assess how well EBP is being implemented.

In addition, the case plan, especially since institutionalizing the use of the COMPAS assessment, has grown to be a living document that evolves as the offender progresses through his/her supervision. The utilization of the COMPAS assessment also permits the DPO to frontload the services based on needs, rather than waiting for a violation to intervene.

Challenges and Areas for Improvement in Implementing EBP

The overall consensus among the SPOs was that EBP and IBIS were appropriate models for those offenders wanting to change; however, suggestions for improvement in its implementation were provided by the SPOs. The top four areas for improvement noted in the focus group were:

- Lack of adequate resources to meet the needs of the offender;
- Not enough time to fully implement the supervision model as designed;
- Evolving roles and expectations among AB 109 partners that was perceived as impeding collaboration; and
- The difficulty implementing the supervision model with individuals with severe mental illness or excessive criminal sophistication.

The greatest area of concern regarding the implementation of EBP was the perceived disconnect between the intense needs of the population and the available resources in the form of both labor and support services to meet their needs. SPOs noted that because of the large caseloads (approximate 60 to 70 per officer), DPOs do not have the time to adequately meet with each offender to spend the necessary time to fully go over case plans and assist with identified issues. Because of the high needs of the PRCS and MS offenders, there are also not enough interventions and treatments for them in the community. This is an issue that has become more urgent over time, as more of the population is returning to the community and beds and treatment slots are at capacity. As for the partnerships, the SPOs noted a shifting of roles and different players from all agencies, changes that have impeded the collaborative spirit and hindered the implementation of the supervision model with PRCS and MS offenders.

“A lot of time we end up losing them...the offender is ready for treatment and we are ready to get them in and there isn't [a bed] available, [or] there is a two-week waiting list (includes detox) and he walks away.”

SPO Focus Group Participant

Overall, the Probation Department's supervision model was viewed as effective with most of the offender population, with the exception being those with untreated

mental health needs and more criminal sophistication. For those offenders with severe needs in these areas, SPOs noted that it was a challenge to engage them in their own treatment, either because there are not enough mental health treatment supports to stabilize them or the need for a more enforcement approach with those offenders whose criminogenic characteristics interfere with their compliance.

Benefits of EBP for the PRO Division

Despite the challenges mentioned earlier, the common theme that arose from the focus group participants was that EBP and IBIS were both good supervision models for those individuals wanting and able to change. Two aspects of the model that were consistently noted as beneficial were the:

- Ability to document EBP activities in PCMS; and
- Having access to the Community Resource Directory (CRD) to identify available services, make referrals, and track an offender's progress.

These two tools allowed the SPOs and the DPOs to monitor how often IBIS and other engagement skills were being utilized with offenders, and the CRD was seen as a valuable resource for the DPOs.

Project Goal Two: Probation's Implementation of a Supervision Model.

Given that the supervision model includes a variety of components, the measurement of Probation's effectiveness in accurately implementing the model involved multiple data collection efforts. To assess quality and accuracy, SANDAG examined the use of the COMPAS assessment, case planning, and engagement of PRCS and MS offenders through IBIS.

COMPAS Assessment: The examination of the COMPAS addressed the following two research questions:

1. Were COMPAS assessments conducted for the PRCS and MS populations in the PRO Division?
2. Was Probation staff accurately coding the static measures of the COMPAS (i.e., risk/need factors)?

Accurate completion of assessments is an important element in determining the risk level and needs of offenders so that appropriate service planning can address their underlying issues. As detailed in the methodology section, research staff first coded the COMPAS assessment static portions of 25 PRCS and 25 MS offenders and then compared results to

assessments coded by DPOs for those same individuals. Using the RAP sheets and PSI reports, SANDAG staff scored 26 questions from the first 30 questions of the COMPAS assessment that measures criminal involvement at the time of and before the current offense.³

Were COMPAS assessments conducted for the PRCs and MS populations in the PRO Division?

Of the 50 sample cases, sufficient documentation was unavailable for 7 cases, resulting in a completion rate of 86 percent for those 50 cases. To better understand why certain documentation was not available for these seven cases, Probation conducted a follow-up analysis. It was determined that for five cases no pre-sentence report was ordered (either because there was immediate sentencing or the case was never referred to Probation) and that for two the sentencing date preceded the implementation of current practice COMPAS.

Due to the small sample size, caution should be used when making generalizations to the overall completion rate of COMPAS assessments within the PRO Division.

Was Probation staff accurately coding the static measures of the COMPAS (i.e., criminogenic risk factors and needs)?

COMPAS Review: The 43 COMPAS assessments that were available for coding included 22 conducted with an individual supervised as a MS offender and 21 as a PRCs offender. With the same sample of cases, SANDAG also reviewed personalized case plans developed through the Northpointe system utilizing COMPAS assessment results.

The review of the sampled cases showed that overall the DPOs and research staff had similar scores. While discrepancies were found, the majority were concentrated on certain drug and specific misdemeanor charges, as specified below. Overall, 37 cases (86%) had a discrepancy on one or more of the COMPAS measures evaluated as part of this data collection effort. The average number of discrepancies was 2.6 (range 1 to 6, $SD=1.5$) (not shown).⁴ As shown in Table 1, discrepancies were found in less than 1 in 10 cases on 17 of the 26 COMPAS measures. On the

remaining nine measures, discrepancies between DPO and research staff scoring occurred in 10 to 25 percent of cases.

Though the sample of COMPAS assessments completed in 2013 and 2014 was small (8 of 43), there did appear to be fewer cases with errors in those years compared to assessments completed prior to 2013. Specifically, 4 of the 8 assessments (50%) done in 2013 and 2014 had one or more discrepancies compared to 33 of the 35 (94%) of the assessments completed in 2012 or earlier. In Winter 2012, Probation training related to the COMPAS static measures was revised and likely was a key factor in this improved accuracy.

With respect to the measures in which multiple discrepancies were found, several recurring patterns emerged that suggested a need for officer training on these specific issues.

- In nine of the eleven cases with a discrepancy related to the number of misdemeanor assaults, the officer failed to count the charge of obstructing/resisting a peace officer or emergency medical team [i.e., PC 148 (A)(1)].
- Charges of possession of various drugs for sale (e.g., HS 11379, HS 11378) were not coded in six of the nine cases with discrepancies related to prior drug trafficking and sales arrests as an adult; and four cases with a charge for transporting, etc., a controlled substance (i.e., HS 11352) were not coded on the same measure.
- Arrest charges of possession and use/under the influence of a controlled substance [i.e., HS 11550(A) and HS 11350(A)] appeared in the official records in six of the seven cases with a discrepancy in the number of prior drug possession/use offense arrests as an adult.

As described, the decrease in discrepancy rates in the assessments completed after 2012 suggests that these issues are being addressed through the current officer training program.

³ Researchers did not have access to official records required to consistently score three questions, and one question could be scored only as a result of observations during in-person interviews with the offenders. Therefore, those four questions were not coded as part of this effort.

⁴ The original analysis plan included performing kappa statistical tests to determine inter-rater agreement on each measure. However, in some instances DPOs would code measures based on additional information garnered from interviews. Therefore, instances (56%) where SANDAG staff had an undercount of a measure compared to the DPO were not considered a discrepancy for this study. As a result, the kappa statistic was not performed because results would underestimate the degree of inter-rater agreement.

Table 1
Discrepancies Between Probation Staff And Research Staff COMPAS Ratings

COMPAS Question	Percent of cases with discrepancy (number of cases with discrepancy)
How many prior misdemeanor assault offense arrests (not sex or domestic violence) as an adult?	25% (11)
How many prior drug trafficking/sales offense arrests as an adult?	21% (9)
How many times has this person failed to appear for a scheduled criminal court hearing?	21% (8)
Which offense category represents the most serious current offense?	16% (7)
How many prior drug possession/use offense arrests as an adult?	16% (7)
How many times has this person's probation been violated or revoked?	14% (6)
Was this person on probation or parole at the time of the current offense?	12% (5)
How many prior family violence arrests as an adult?	12% (5)
Is the current top charge felony property or fraud?	10% (4)
How many times has this person been arrested before as an adult or juvenile (criminal arrests only)?	9% (4)
How many prior weapons offense arrests as an adult?	9% (4)
What was the age of this person when he or she was first arrested as an adult or juvenile (criminal arrests only)?	9% (4)
How many times has this person been returned to custody while on parole?	9% (4)
How many times has this person been sentenced to jail for 30 days or more?	7% (3)
How many times has this person had a new charge/arrest while on probation?	7% (3)
How many times has this person been sentenced (new commitment) to state or federal prison?	5% (2)
How many times has this person been sentenced to probation as an adult?	5% (2)
How many times has this person violated his or her parole?	5% (2)
Do any current offenses involve family violence?	2% (1)
How many prior juvenile violent felony offense arrests?	2% (1)
How many prior commitments to a juvenile institution?	2% (1)
How many times has this person been arrested for a felony property offense that included an element of violence?	2% (1)
How many prior felony assault offense arrests (not murder, sex, or domestic violence) as an adult?	2% (1)
How many prior juvenile felony offense arrests?	0% (0)
How many prior murder/voluntary manslaughter offense arrests as an adult?	0% (0)
How many prior sex offense arrests (with force) as an adult?	0% (0)
TOTAL	39-43

SOURCE: COMPAS Assessment Audit; SANDAG 2014

Case Plan Review: A second method utilized by SANDAG staff to measure supervision model fidelity was an audit of client files on the same sample of cases that had the COMPAS assessments reviewed. This exercise addressed the following four research questions:

1. Were case plans documented for the PRCS and MS populations in the PRO Division?
2. Were one or more of the offender's top three criminogenic needs addressed in case plans?
3. Were offenders participating in the creation of the case plan?
4. How did officers respond to adherence or lack of adherence to the case plan?

Were case plans documented for the PRCS and MS populations in the PRO Division?

Part of the supervision model implementation includes having DPOs complete an individualized case plan that addresses offender needs identified through the COMPAS and any additional assessments conducted. According to current Probation protocols, the COMPAS case plan must be completed within 45 days of an offender's release from custody to supervision. Of the 50 cases that were part of this sample, 46 cases (92%) had a case plan completed. In accordance with Probation Department protocols, specific circumstances explained the absence of a case plan for the four remaining cases (i.e., stipulated prison sentence, NOLT referral, out-of-county hold). As with the COMPAS assessments, because of the small sample it is not possible to make any conclusion on completion rate of PRO Division case plans.

Was one or more of the offender's top three criminogenic needs being addressed in case plans?

As part of Probation's COMPAS training program, officers are instructed to create goals as part of the case plan with at least one or more addressing the top three need areas identified through the assessment process. From the research sample used in this effort, all (100%) of the cases with a case plan completed had such a goal, indicating compliance with the supervision model.

Were offenders participating in the creation of the case plan?

A key IBIS component to creating a positive, trusting, and respectful relationship with an offender is to engage them in their own treatment. In the case of San Diego Probation, this occurs by including the offender in case plan development, which first occurs when the offender

meets with the Behavioral Health Screening Team (BHST) or during the office visits. Offender involvement can result in a plan that the offender buys into and includes goals that the offender is most willing to work toward. Four in five (80%) of the cases reviewed had information in the officer case notes that indicated the offender was involved in discussions about his/her case plan development. These results suggest offender participation in his/her case plan; however, the quality of the participation would require additional inquiry.

"Personally I have no time. I do that contact note and then I have to do something else. It is hard to go back in and update the case plan. It is time, time is a big issue."
DPO Focus Group Participant

How did officers respond to adherence or lack of adherence to the case plan?

Once a relationship has been established between the offender and DPO, tools such as "incentives" and "sanctions" (positive reinforcement and punishment) are used to help change behavior.⁵ The research shows that a balance of one sanction to four incentives is optimal for changing behavior. Probation was interested in knowing how officers were addressing circumstances when the offender was or was not adhering to the case plan and how well this information was documented. SANDAG, through the case review, was able to document when and why an officer provided an incentive and/or gave a sanction in response to adherence. A detailed review of officer case notes in PCMS showed that most (87%) case files had documentation of circumstances in which incentives and sanctions were administered. Researchers documented 76 incentives and 115 sanctions given to 40 offenders. Thirteen percent of offender case files (6 cases) did not have any documentation of incentives or sanctions (not shown).

⁵ Lowenkamp, C.T., Holsinger, M.A., Robinson, C.R., and Cullen, F.T. (2012). When a Person Isn't a Data Point: Making Evidence-Based Practice Work. *Federal Probation, a Journal of Correctional Philosophy and Practice*, Vol. 36 (No. 3).

Incentive and Sanctions

- ✓ 63% of case plans had a documented incentive
- ✓ 67% of case plans had a documented sanction
- ✓ 87% of case plans had one or both documented

More specifically, in 63 percent of the reviewed cases, an offender was given an average of 2.6 (range 1 to 9) incentives for positive behavior during their probationary period, with the majority of these (82%) given in response to making progress toward a goal (not shown). Table 2 shows common officer responses with respect to these offenders' adherence to goals outlined in the case plan. Verbal accolades were the incentives most commonly received by individuals, with 66 percent receiving such encouragement for positive behavior, and bus passes and GPS removal were the second most common incentives used to reward good behavior (28% of offenders each). It is important to note that there is a strong possibility that the incentives, especially the verbal feedback, could not have been documented and therefore undercounted.

Table 2
Verbal Accolades Most Common Incentive Received by Offenders

Incentive	Percent who received once or more
Verbal accolades	66%
Bus pass	28%
GPS removal	28%
Certificates	14%
Travel pass (for long-distance travel)	10%
Gift card	10%
Reduced UA testing	7%
Clothing	7%
Curfew extension	3%
Other	3%
TOTAL	29

NOTES: Percentages based on multiple incentives per case.

SOURCE: Probation Case Record Review; SANDAG 2014

According to DPO case notes, 67 percent of offenders with a case plan documented had a sanction imposed by their DPO during the research period. On average 3.7 (range 1 to 12) sanctions⁶ were given out which was around one more than incentives. Consistent with data regarding incentives given for goals on the case plan, 82 percent of these sanctions were administered for failure to make progress toward a goal. More than half of offenders (55%) who received one or more sanctions were given one of the more severe sanctions with their probation being revoked and spending time in custody. Approximately half (52%) received a verbal warning regarding negative behavior. Other sanctions given included increased treatment and programming to address alcohol and other drug use (Table 3). Given that best practice dictates that a greater portion of incentives than sanctions are utilized to obtain behavior change, it would be beneficial for Probation to inquire further if the lower number of incentives is due to under-documentation or if it accurately reflects what is occurring during supervision.

Table 3
Around Half of Sanctions Were Revocations and/or Custody Time

Sanction	Percent who received once or more
Revoked/custody time	55%
Verbal warning	52%
Residential treatment*	29%
Increase AA/NA	26%
GPS	19%
Increase UA testing	19%
Probation extension	13%
Outpatient treatment*	10%
Anger management*	3%
TOTAL	29

* The three options indicated are actually interventions for an underlying issue but were counted as sanctions because they each require an additional obligation on the part of the individual under supervision.

NOTES: Percentages based on multiple sanctions per case.

SOURCE: Probation Case Record Review; SANDAG, 2014

⁶ For comparability of results between the PRCS and MS populations, analyses of flash incarcerations are not included in this section because this type of sanction can be imposed only on the PRCS population. Instead, those data are presented separately in the following section. When flash incarcerations were included in the total number of sanctions imposed on PRCS offenders, the average sanctions imposed for that group was 5.1 (range 1 to 14, $SD=3.75$).

How frequently was flash incarceration used and under what circumstances?

As part of AB 109, the Probation Department has the authority to address violations of probation conditions by PRCS offenders through periods of incarceration of up to ten days in local jail without returning to court. This option is referred to as *flash incarceration*. The benefit of the tool is that negative behavior can be swiftly addressed because decisions are made at the discretion of the Probation Department and no court involvement is required. This tool is not currently available for use with MS offenders.

“The sanctions aren’t there. Going to jail for these guys, 10 days is nothing, 68 days is nothing. We have guys that come in and want to go jail and they are mules to get stuff in, because they know they are only doing 10 days.”

DPO Focus Group Participant

Based on data compiled through electronic records provided by the Probation Department and a review of automated case records, 15 of 25 (60%) PRCS offenders in the sample spent up to ten days in local custody for negative behavior. The average number of flash incarcerations per offender was 2.0 (ranging from 1 to 5, $SD=1.26$). Overall, PRCS offenders were under supervision for 175.3 days on average (ranging from 0 to 328 days, $SD=113.3$) at the time of their first flash incarceration period (not shown).

***Goal of Incentives and Sanctions:** To facilitate behavior change by providing positive reinforcement for desired behaviors or progress, while also providing immediate sanctions for violations or non-compliant behavior.*

The circumstances under which offenders were given a period of flash incarceration were most often for failure to appear to appointments with DPOs, for drug testing, or other required appointments with 9 of 15 (60%) doing so. Nearly half (7 of 15 or 47%) received a flash incarceration for possession or use of illicit drugs. The same percent (47%) spent up to ten days in custody for a new charge. Additional reasons for flash incarceration included non-compliance with residential treatment facility (40%) or other probation conditions (27%), absconding from probation (13%), or some other reason (13%) (not shown).

Deputy Probation Officer Engagement of Offenders:

The third approach to assessing the implementation of the supervision model was to answer the following question:

1. Were DPOs effectively implementing the IBIS elements into their contacts and communications with the PRCS and MS populations?

The data collection methods employed to address this research question were focus groups with DPOs, fidelity observations by SPOs, and a survey of offenders.

PO Focus Groups

To determine how well the DPOs in the PRO Division were implementing IBIS, SANDAG conducted a series of five focus groups with DPOs. The findings from those focus groups were presented to Probation in September 2014 and the final report is in Appendix C. A summary of the findings is presented below.

Top Three EBP Benefits Supervising the PRCS and MS Populations

- Increased resources to provide treatment on demand
- Early engagement through case planning at CTC or pre-release from local prison
- Establishing rapport and respect with a population not accustomed to this approach from law enforcement

Effectiveness of EBP training: The DPOs in the PRO Division had received initial and ongoing training on assessments, case planning and IBIS. As for the helpfulness of the training in working with the PRCS and MS populations, many of the DPOs echoed what was shared in the earlier SPO focus group - that the training didn't necessarily provide them with new information, but formalized what they already knew and were doing.

Overall, the feedback from the DPOs indicated that they have received sufficient training on EBP. However, there is still a need for training associated with the needs of this population, given the high proportion of individuals who are grappling with multiple challenges, such as trauma, mental health, and substance abuse. It is also apparent the underlying philosophy of EBP has been a mainstay within the Probation Department and the EBP training and briefs have built on the existing foundation by providing more structure, guidance, and a common language to formalize

Top Three EBP Challenges Supervising the PRCS and MS Populations

- Depletion of resources to provide treatment on demand
- The substantial proportion of PRCS and MS offenders dealing with severe substance and/or mental health issues, and history of criminal institutionalization
- Not enough time to implement EBP as designed

its implementation.

Effectiveness of EBP with PRCS and MS populations:

Again, taken as whole, the focus group participants viewed EBP, and especially the components of IBIS, to be effective with PRCS and MS offenders, as well as the general probation populations. The components noted as being most effective were motivational interviewing for those that wanted to change, inclusion of the offender in the planning process, role clarification, funding to provide resources in the community, assessment-based case planning, and using positive reinforcements.

Another component of EBP perceived as valuable when working with this population was the release from prison directly to the Community Transition Center (CTC), where the assessments and initial case plan are generated. This streamlined process eliminates any gaps in supervision that could otherwise provide an opportunity to violate conditions of supervision.

The overall perception of EBP that prevailed in each of the focus groups was that the model has the potential to be effective with the PRO populations when fully implemented; however, there are several obstacles that hinder its full implementation and therefore its full potential. Below is a list of challenges the DPOs noted most often to implementing the model to fidelity.

- Lack of time to adequately meet with individuals under probation supervision due to large caseloads (around 70 to 1 for PRCS);
- Dwindling resources and capacity in the community to provide needed treatment, both residential and outpatient;
- Legislative restriction on how much custody time PRCS or MS offenders can receive if non-compliant with court orders; and
- A perceived large proportion of this population that is either resistant to change, not reporting to the DPO, or too unstable to engage (e.g., mentally ill and not taking medication or in treatment).

Use of COMPAS Assessment: The feedback from the focus group was that the COMPAS assessment was institutionalized in the DPO supervision process. There was unanimous agreement among the five focus groups that the COMPAS, along with the court orders, were the driving forces behind the case plan development. The one area of variance that arose in the focus group was the consistency in which the full COMPAS was re-administered in cases where an offender had been incarcerated for several years. However, the participants did note that the Case Supervision Review (CSR) (shorter version of the COMPAS) was being done every six months as part of the case supervision review process. This process is consistent with the policy on CSR administration.

Effectiveness of case plan development: The case plan development for PRCS and MS populations varies slightly, with PRCS offenders receiving their initial case plan from DPOs stationed at the CTC and MS offenders' case plans being conducted by the assigned supervising DPO. What was evident in the focus groups was that assessments, including the COMPAS and any secondary ones deemed necessary (e.g., mental health), play a primary role in the case plan development. What was not as clear from the focus group responses was how often and consistently the case plans are being updated, with variance ranging from not updating at all to updating all the time. The common reason for not updating was the lack of time.

What type of relationship improves offender outcomes? *"...a firm but fair demeanor, genuine, caring and enthusiastic communication, and a balanced approach." ...the establishment of mutual liking and respect between officer and offender." (Lowenkamp, Koutsenok, & Lowenkamp 2013).*

EBP’s influence on the DPO’s relationship with the offender:

One of the points of inquiry in the focus groups was the impact EBP, specifically IBIS, has on the DPO’s role with the offender. While the degree of success was viewed as being associated with both the desire and ability of an offender to change, the consensus was that IBIS skills helped establish a relationship and build trust with offenders. The use of assessments to direct the case plan, clarify the roles and expectations, address the offender’s needs, and engage him/her in their case plan development were all noted as enhancing the overall relationship with the offender. Interestingly, many of the DPOs took exception with the idea that this was a product of recent IBIS training, rather this approach was seen more as an integrated part of the DPO’s role and an established Probation Department expectation.

Fidelity Observations

The second method to measure if, and to what extent, DPOs were integrating IBIS into their supervision of PRCS and MS offenders, was the completion of a “fidelity checklist”. As part of this “fidelity checklist” assessment, three Senior and two Supervising POs observed and rated a random sample of 25 DPOs supervising a high-risk caseload. The checklist required rating officers on a host of IBIS techniques divided into several categories (including communication, planning, linking, monitoring, and follow-up) that collectively evaluated how accurately and completely DPOs were employing IBIS with high-risk supervision. The checklist results highlight which skill sets were most developed or underdeveloped among this group of officers. Each IBIS category had a series of skills that a DPO was rated on using a four-point scale, ranging from “missed all opportunities” to “demonstrates skill mastery”. A low score of “missed all opportunities” meant that the DPO had failed to employ the evidence-based skill in question, despite an opportunity to introduce the technique. A score of “working towards proficiency” meant that the DPO had utilized the appropriate skill, but still needed improvement either applying the skill correctly or communicating the appropriate response to the offender. A score of “3” (proficient), however, meant that

the DPO had utilized the skill correctly and communicated according to the evidence-based training strategies. The results are summarized below, with the tables listing the scores for each indicator attached as Appendix D.

“The big thing is mutual respect [between officers and offender]. I think that has helped a lot of officers understand that through EBP, to establish a dialogue, not just a one-way conversation [with the offenders].”
DPO Focus Group Participant

Communication Skills: Effective communication is essential to establishing a positive relationship with an offender. The communication category included five skill areas as part of the overall assessment, and all staff observed was rated as proficient or demonstrating mastery (Table 4). The DPOs nonverbal communication to establish respect garnered the largest portion that achieved mastery (60%), and the area of greatest growth pertained to clarification of roles, which involves defining rules, supervision expectations, and confidentiality (25%) (Appendix D).

Table 4
Summary of Communication Ratings

Missed All Opportunities	0%
Working Towards Proficiency	0%
Proficient	64%
Demonstrates Skill Mastery	36%

SOURCE: Fidelity Checklist Assessment; SANDAG 2014

Case Planning: Inclusion of the offender in the development of his/her case plan is a crucial component of a DPO demonstrating responsiveness to the offender and creating a quality relationship. The questions in this domain focused on the DPO’s ability to utilize the risk assessment case plan for the offender and relate current behavior to future opportunities for change. SPOs were asked to score the DPO’s discussion of offender goals relative to their criminogenic needs, as well as the DPO’s exploration of the offender’s readiness/ambivalence towards change. This section also asked for an evaluation of how the DPO allowed or encouraged the offender to take responsibility for this change.

According to the reviews by the SPOs most of the DPOs observed exhibited proficiency (68%) in these skills, with just over one-quarter obtaining mastery (28%) (Table 5).

Table 5
Summary of Case Planning Ratings

Missed All Opportunities	0%
Working Towards Proficiency	4%
Proficient	68%
Demonstrated Skill Mastery	28%

SOURCE: Fidelity Checklist Assessment; SANDAG 2014

Linking to services: This section of the checklist focused on the importance of connecting an offender to services as dictated by the top needs in his/her case plan. More specifically, observing officers were asked to evaluate whether or not their DPOs used cognitive model or behavioral analyses to explore obstacles to engagement, if they had asked the offender to commit to services that address high risk-behaviors, if they had discussed service needs using case plan, and if they linked needs to services using the CRD. Again the majority of the DPOs were rated as proficient or higher (72%) in this domain. However, there were also opportunities for improvement with about one in ten rated as either “missed all opportunity” (4%) and “working towards proficiency” (8%) (Table 6). Most of these latter ratings fell within the skill set of the officer needing to do more to explore the obstacles to engagement (30%), discussing the service needs using the case plan (24%), and/or using the CRD to link the offender to services (20%) (Appendix D). Placed within the context of the focus groups, it is not surprising that there was more variance in this category. That is, a consistent theme that arose in all the focus groups was the need for greater capacity to serve the needs of this population.

Table 6
Summary of Linking Ratings

Missed All Opportunities	4%
Working Towards Proficiency	8%
Proficient	56%
Demonstrated Skill Mastery	16%

SOURCE: Fidelity Checklist Assessment; SANDAG 2014

“We need way more substance abuse treatment, outpatient treatment, and way more mental health treatment.”

DPO Focus Group Participant

Monitoring offender’s progress: To assess the DPO’s ability to monitor the progress of the offender, observers were asked to evaluate if the DPOs: acknowledged relapse triggers using cognitive models or behavioral analyses; used the appropriate IBIS skills to address negative/positive choices; reminded the offender of supervision conditions and explained incentives and consequences; delivered incentives/sanctions in a fair/swift manner according to policy; and revised the case plan as needed.

As with the linking to services section, the results from these observations are less definitive and suggest room for continued training and feedback. While most demonstrated proficiency or mastery of this skillset (81%), around one in five showed that there was room for improvement (19%). Specifically, observing officers noted a lack of consistency by some DPOs in revising the case plan (39%), delivering incentives/sanctions (25%), acknowledging triggers for relapse (22%), and appropriately using IBIS to address positive and negative choices (17%) (Appendix D). Interestingly, the issue of not updating the case plan arose in the focus groups, with participating DPOs noting that because of time constraints, they often did not update an offender’s case plan after a meeting. The lack of confidence in the effectiveness of sanctions with this population was also evident by many of the focus group participants. Specifically, the limit on custody time was viewed as not being a strong deterrent for PRCS and MS offenders who had served time in prison.

Table 7
Summary of Monitoring Ratings

Missed All Opportunities	4%
Working Towards Proficiency	12%
Proficient	40%
Demonstrates Skill Mastery	32%

SOURCE: Fidelity Checklist Assessment; SANDAG 2014

Follow-up skills: The final category of measuring the DPOs' engagement skills was the broad category of follow-up skills. These skills included appropriate follow-up with treatment agencies, thanking the offender for his/her efforts to work on their case plans, empowering the offender to continue making progress, and setting up the next time for contact. DPOs exhibited a strong command of these skills, as measured by nearly nine out of ten (88%) rated as proficient or higher as a whole (Table 8). However, when examined by individual skill, around one-quarter (23% to 29%) were rated as less than proficient in collaborating with the treatment provider, acknowledging the offender's progress toward his/her goals, and/or obtaining additional resources for the offender (Appendix D). Besides acknowledging the offender, which is an internal issue, the skills involving resources and treatment providers raise the question as to where the problem lies – whether with the DPOs' efforts or with the treatment provider and/or lack of resources available in the community. Given the high needs of this population, shortcomings in the area of working with outside providers or obtaining additional resources suggest a need for further investigation on the part of Probation and stakeholders to address the gap.

Table 8
Summary of Follow-up Ratings

Missed All Opportunities	0%
Working Towards Proficiency	4%
Proficient	52%
Demonstrates Skill Mastery	36%

SOURCE: Fidelity Checklist Assessment; SANDAG 2014

Examined as a whole, the outcomes of the fidelity checklists indicate that DPOs are integrating IBIS into their supervision of the PRCS and MS offenders. The strongest application of these skills was evident in the communication, case planning, and monitoring. The linking and follow-up skill domains introduced the issue of

having to rely on outside entities to reach a high rating. This challenge could have contributed to the larger percentage of ratings falling in the "working towards" and "missed opportunities" range, as the command of these skills requires collaboration and resources beyond the department. When viewed with the findings from the focus group, in which DPOs consistently expressed frustration with the lack of appropriate resources, this challenge emerges as a barrier to fully implementing EBP to fidelity. Finally, the monitoring skills indicate a need for both additional oversight and feedback on the nuances that each individual brings to supervision (i.e., recognizing his/her triggers, knowing when and what incentives/sanctions to impose).

Project Goal Three: Provide Access to Appropriate Intervention Services.

To assess how well Probation was accomplishing this goal within the PRO Division, the following research question was addressed:

1. Did the PRCS and MS populations perceive their DPOs as responsive to their risks and needs?

A two prong approach was taken to address these research questions, including garnering feedback from individuals who had been supervised in the PRO unit through surveys, and also hearing from the DPOs about their experiences implementing the supervision model with PRCS and MS offenders through focus groups.

Did the PRCS and MS populations perceive their DPOs as responsive to their risks and needs?

To gather information from the offenders themselves, efforts were made to contact all individuals who had been supervised in the PRO Division for at least 12 months and were scheduled to complete their probationary term no later than September 30, 2014. With location information provided by the Probation Department, SANDAG compiled a list of 241 PRCS and MS offenders and sent them a survey comprised of a modified version of the DRI-R. A total of 33 individuals⁷ responded to the survey. While the sample is one of convenience and not representative of the entire PRCS and MS population, the results do provide insights to the experiences of some of the high-risk offenders.

⁷ Refer to the methodology section for the reasons for the low response rate.

“Probation is different because they're quick to jump on things. They deal with issues of addiction at hand and that's a good thing. Parole--they want to get you out. Parole works with convicts in prison and knows their demeanor. They don't do a lot to address the issue.”
Interviewee

The majority of the survey respondents were male (79%) and 40.6 years old on average ($SD=10.5$). Of the 32 respondents who reported their race/ethnicity, 44 percent identified as White, 16 percent Hispanic, 31 percent Black, 3 percent Asian, and 6 percent some other race/ethnicity. Respondents indicated that they were supervised at one of the five San Diego County Probation offices: Ohio Street (22%); East County (22%); Vista (22%); South Bay (19%); and Hall of Justice (HOJ) (16%) (not shown).

As noted in the methodology section, the DRI-R is a validated assessment to capture the dimension of the dual role that occurs within the supervision model between DPO and offender. These dimensions include trust, caring and fairness, and authoritative style. The latter is unique to dual-roles because of the authority the DPO has over the offender and how that can negatively impact the bond that is built through the other dimensions of caring and trust. The ideal relationship would be to balance the authoritative role in a manner that sets clear expectations and validates the offender’s needs and input in their own “treatment”.

A review of the responses indicates that the DPOs associated with the 33 individuals who responded to the survey were successful at balancing their authoritative role with the offender, with more than eight out of ten respondents disagreeing with statements on the negative impacts associated with an authoritative approach (85% to 97%) (Table 9). These perspectives mirror the results of the “communication skills” on the fidelity checklist, where the DPO’s implementation of IBIS skills was rated strongly.

Table 9
DRI-R Authoritative Domains

Authoritative Style*	Sometimes	Never	Total Positive
Talks down to me	15%	82%	97%
Puts me down when I've done something wrong	13%	72%	85%
Makes unreasonable demands of me	9%	76%	85%
Is looking to punish me	9%	76%	85%
Expects me to do all the work alone and provides no help	21%	55%	76%
TOTAL		32-33	

NOTE: *The survey disperses negative questions throughout to minimize potential influence of response bias.

SOURCE: Offender Survey; SANDAG 2014

Unlike therapeutic relationships that do not have a punitive element, a sense of fairness (e.g. clear expectations), as well as caring, has been noted as essential to establish a bond between the DPO and offender. Within this domain, the responses that most offenders were in agreement with were related to being treated fairly and being provided positive feedback (82% to 85%). Around three-quarters felt they were heard and understood by their DPO (72% to 78%), with the fewest feeling that the DPO was “warm and friendly” (60%). Interestingly, one of the skill areas needing improvement on the fidelity checklist was for officers to acknowledge or thank the offender for their efforts (33% rated as “missed” or “working toward proficiency”).

Table 10
DRI-R Fairness and Caring Domain

Fairness and Caring	Very Often	Always	Total Positive
Treats me fairly	18%	67%	85%
Encourages me to work together	24%	61%	85%
Explains what I'm supposed to do and why	30%	58%	88%
Praises me for doing well	27%	55%	82%
Seems devoted to helping me overcome my problems	30%	52%	82%
Cares about me as a person	42%	39%	81%
Takes time to understand me	34%	44%	78%
Talks with me before I do anything drastic	24%	52%	76%
Talks with me and listens	24%	48%	72%
Is warm and friendly	12%	48%	60%
Total		32-33	

SOURCE: Offender Survey; SANDAG 2014

Of the three relationship domains, the trust domain garnered the fewest positive responses. While around three-quarters thought the PO trusted them (72% to 78%), only about two-thirds felt safe or trusted the PO to be honest with them (63% to 69%) (Table 11). This difference is not surprising given the lengthy and varied experiences these offenders have had with law enforcement and the high percentage who have trauma in their backgrounds – both factors that have been shown to impact trust.⁸

Table 11
DRI-R Trust Domain

Trust	Very Often	Always	Total Positive
Trust me to be honest	34%	44%	78%
Knows s/he can trust me	31%	41%	72%
I can trust my PO	36%	33%	69%
I feel safe enough to be honest with my PO	21%	42%	63%
I feel free to discuss things that worry me	27%	33%	60%
Total		32-33	

SOURCE: Offender Survey; SANDAG 2014

Building on the information gleaned from the surveys, more intensive follow-up interviews were done with a convenience sample drawn from those 33 individuals who responded to the survey and agreed to be interviewed. The intention of the interview was to explore how their most recent supervision in the PRO Division compared to any past supervision with either Probation or Parole; what the offender's perspective on some of the supervision components, such as incentive and sanctions, flash incarcerations; and whether the treatment they received met their needs.

Of the 15 individuals who agreed to be interviewed, 80 percent had been on Probation in San Diego County prior to this recent time, and of these 12 individuals, 9 thought their current experience was different from the past. When asked how it was different, the majority (n=6) said it to be a better experience, with most feeling that they had received more support from his/her DPO, and one noting the additional services received. Two individuals felt it was neither better nor worse than prior supervision, and one individual felt his experience with this DPO was worse because he did not feel his DPO was honest.

Given the high-risk nature of these offenders, it was not surprising that two-thirds (n=10) had previously been on Parole. When asked to compare their most recent supervision in the PRO Division to their Parole experience, the most common perspective was that Probation was stricter than Parole. Four out of the ten noted that s/he had to be more accountable to Probation, whereas Parole was viewed as lenient and required fewer meetings. This sentiment was also echoed in the focus group with a few DPOs noting that they heard from individuals on their

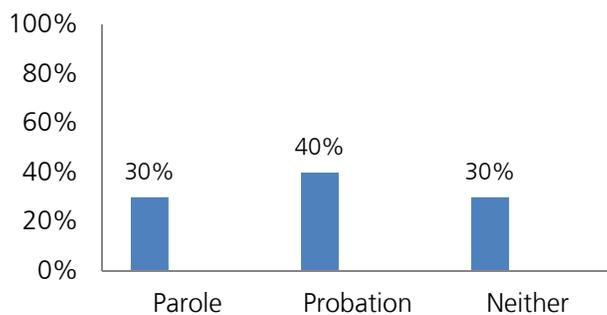
⁸ Gobin, R. & Freyd, J. (2013). The Impact of Betrayal Trauma on the Tendency to Trust. American Psychological Association [dx.doi.org/10.1037/a0032452](https://doi.org/10.1037/a0032452).

caseload that Parole would let them smoke marijuana and were not as involved.

"It was better this time. The officer was not as cynical. He treated me as a human being."
Interviewee

Two other respondents noted how Probation was more likely to want to help, and one felt that he received more resources from Probation. Three other individuals were neutral, citing no differences between the two agencies (Figure 1).

Figure 1
Interviewees' Perspectives of Which Experience Was Better: Parole or Probation

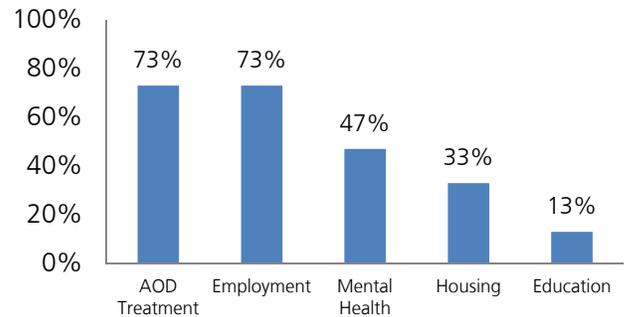


TOTAL = 10

SOURCE: Offender Follow-up Interview; SANDAG 2014

Part of San Diego County Probation's application of EBP is to prioritize the top three needs of offenders with the understanding that addressing the needs will support the offender in remaining crime-free. One means of assessing how Probation is implementing its model was to ask offenders what their top needs were, if they received services to address them, and how well the services met their needs. The two top needs selected from a predefined list were drug/alcohol treatment (73%) and employment assistance (73%), followed by mental health treatment (47%) and education (13%) (Figure 2). Two respondents listed other needs, including assistance with transportation and obtaining a social security card (not shown).

Figure 2
Needs of Interviewees



TOTAL = 15

SOURCE: Offender Follow-up Interview; SANDAG 2014

When asked if they received the needed services, all (100% each) of those expressing a desire for AOD or mental health support received it, with most feeling that the service did a good job meeting their needs (73% and 86%, respectively). Just around two-thirds of respondents who wanted assistance with employment (64%) or housing (60%) reported receiving it. Of those that did receive it, only one-third (33%) found the housing support helpful and 71 percent were pleased with the employment services (Table 12).

Table 12
Percent of Interviewees Who Received Needed Services and How Well They Met Their Needs

	Received the Service	Met Need Very Well or Well
AOD Treatment	100%	73%
Employment	64%	71%
Mental Health	100%	86%
Housing	60%	33%
Other	50%	100%
TOTAL	2-11	1-11

SOURCE: Offender Follow-up Interview; SANDAG 2014

Because of the role incentives and sanctions play in managing the offender's behavior, interviewees were asked to reflect on any consequences they may have experienced while under supervision. Two-thirds (67%), or 10 of the 15 respondents, reported violating conditions of community supervision while in the PRO unit, of which all said they received a sanction. The most common type of sanction (80%) was custody time (e.g., flash incarceration), two individuals were referred to drug

treatment, one to a mental health facility, and one had probation revoked, while another was ordered to write an essay about the effects of using marijuana. Nine out of the ten respondents thought the responses were effective in changing their behavior. In addition, most of the respondents (80%) didn't feel there was anything probation could have done differently to prevent them from violating.

"The short time in jail lets you get back on track and you are able to address the addiction. If you are gone for a long time it is harder to do that." Interviewee

In addition to the broader questions about sanctions, respondents were also asked if they received a flash incarceration. All of the individuals interviewed who had received a sanction reported affirmatively. However, while eight out of ten (80%) noted that receiving sanctions was helpful, only 60 percent thought that the flash incarceration was helpful in motivating them not to violate (not shown).

"They don't put you down. It's a respect thing. They would smile and it would help." Interviewee

On the opposite end of the motivational spectrum is the use of positive reinforcement by offering rewards or incentives for good behavior. Sixty percent (60%) of respondents reported being given a reward for following through with their conditions. These rewards came in the forms of positive verbal feedback from a judge and/or DPO and one respondent reported receiving a gift card to McDonalds. All but one of these individuals felt that the rewards worked "very well" or "well" in helping to motivate them to succeed (not shown).

When asked if there was anything else the DPO could have done differently to help them comply with the conditions of community supervision, all but one respondent said "no". The one dissenter would have liked a little more encouragement (not shown).

Prior to ending the interview, the respondents were asked if there was anything else that they wanted to share about their experience under community supervision. Seventy-three percent (73%) provided additional comments. Around one-third (36%) were neutral in nature, noting that "if you do what you are supposed to everything goes

well". Two individuals had suggestions for improvement that included more training for the DPO on providing supervision and having one DPO for the duration of supervision (he had 3 different ones). The remaining five comments were positive in nature, praising the DPO and Probation. Examples of these comments included:

- "The experience with Probation was completely outstanding. I even kept in contact with my DPO because he cared about me and how I was doing."
- "The way Probation is structured is good. They deal with the issues at hand."

Although the sample for both the interview and the offender survey excludes any generalizations to the larger population, the feedback received suggests that the components of the supervision model are being experienced by those who provided feedback. If possible in the future, a more robust understanding of the impacts of the model, as experienced by the offender, would come from a more rigorous sampling method.

Collaborate among justice partners to improve the criminal justice system.

More so than ever, the State's public safety realignment has required justice partners to work in partnership to develop and implement a local plan on how to best accommodate the thousands of individuals returning to local custody and supervision. To better understand how the partners have collaborated with other agencies in the justice system, a brief survey was sent to program partners and key staff in Fall 2014.

1. How have partners and key staff perceived Probation's implementation of EBP within the PRO Division? How do these individuals view the level of collaboration among criminal justice partners in working with the PRO population?

Two samples were surveyed to garner information to address this research question: program partners and key staff. Program partners consisted of members of the Community Corrections Partnership (CCP) Executive Committee, 17 active members of the CCP Steering Committee, and 4 other individuals with an active role in implementation of local realignment strategies. Of the 28 surveys sent to program partners, 19 were returned and included in the analysis (68% response rate). Of these 19 surveys, 4 each were submitted from the District Attorney's (DA) Office, Probation Department, and the Public Defender's Office; 2 each by the Sheriff's Department and Superior Court; and 1 each from the

Health and Human Services Agency (HHSA), Public Safety Group, and local law enforcement. A total of 39 surveys were electronically distributed to key staff - individuals identified by senior staff at partner agencies as those whose primary responsibilities pertain to working with realigned offenders and who play a key role in helping their agency achieve its mandated goals related to realignment. Twenty-nine (29) key staff completed the survey for a 74 percent response rate. Twelve of the surveys were completed by individuals representing the Sheriff's Department, ten by Probation, four by the DA's Office, two by HHSA, and one by the Public Defender (not shown).

Level of Collaboration

Two-thirds of key staff strongly agree partners collaborate better now, compared to before realignment.

Collaboration

To better understand how program partners and key staff viewed how their agencies collaborated with one another, a series of questions were posed to both samples regarding how well they worked together before and after realignment. Overall, the majority of program partners expressed some level of agreement ("strongly agree" or "somewhat agree") with positive statements regarding how well the entities collaborated and communicated, with around three-quarters or more noting they communicate and collaborate better now than when AB 109 began (94%), are committed to collaborating on AB 109 efforts (78%), and have a history of working well together (76%) (Table 13). In addition, 61 percent each felt the partners are committed to implementing best practices and to having open and honest dialogue. However, only around a third or less (17% to 38%) gave these five statements the highest level of agreement and none of the respondents "strongly agreed" with the statement that partners are willing to compromise. Coupled with the level of agreement with the two negative statements that partners don't collaborate or communicate well with one another (44% and 39%, respectively), these findings suggest that while there is much to be proud of, there are also opportunities to further strengthen these existing relationships. When offered the opportunity to share any comments they had regarding how they rated the level of collaboration and communication, three program partners did, with one noting that at times, individual agencies' agendas seem to permeate the conversation; one that information does not

flow consistently to partners and some entities receive more than others; and one that a specific entity regularly makes unexpected requests to the others that made the respondent question that agency's level of collaboration and understanding of the system and gave the perception that the other entities are there to serve that agency rather than work collaboratively toward common goals (not shown).

Table 13
Program Partners' Views on How Well Partners Communicate and Collaborate

	Strongly Agree	Somewhat Agree	Strongly or Somewhat Agree
POSITIVE STATEMENTS			
Communicate and collaborate better now than when AB 109 began	38%	56%	94%
Are committed to collaborating on AB 109 efforts	33%	44%	78%
Have a history of working well together	41%	35%	76%
Are committed to implementing best practices	33%	28%	61%
Are committed to open and honest dialogue	17%	44%	61%
Are willing to compromise	0%	53%	53%
NEGATIVE STATEMENTS			
Don't collaborate well with one another	11%	33%	44%
Don't communicate well with one another	17%	22%	39%
TOTAL		16 - 18	

NOTE: Cases with missing information or "no opinion" not presented.
SOURCE: AB 109 Program Partner Survey, 2014

Key staff were asked to rate their level of agreement with the same list of questions regarding partner agencies (using the same four-point scale). As Table 14 shows, key staff had generally more optimistic views on the level of collaboration and communication between partners than the program partners had. For example, 93 percent of key

staff felt partners were committed to collaboration and open and honest dialogue, compared to 78 percent and 61 percent of program partners. When asked to describe the reason for their ratings, a variety of responses were offered, including the challenge of having different agencies with different missions collaborating; different personalities between different individuals; that sometimes an action is described as realignment-focused but actually is not; and that more communication would be helpful (not shown).

Table 14
Key Staff’s Views on the Level of Collaboration and Communication Between Partners

	Strongly Agree	Somewhat Agree	Strongly or Somewhat Agree
POSITIVE STATEMENTS			
Communicate and collaborate better now than when AB 109 began	63%	33%	96%
Are committed to collaborating on AB 109 efforts	54%	43%	96%
Are committed to open and honest dialogue	38%	55%	93%
Have a history of working well together	39%	54%	93%
Are committed to implementing best practices	48%	38%	86%
Are willing to compromise	22%	56%	78%
NEGATIVE STATEMENTS			
Don’t collaborate well with one another	0%	24%	24%
Don’t communicate well with one another	0%	24%	24%
TOTAL		24 - 29	

NOTE: Cases with missing information or “no opinion” not presented.

SOURCE: AB 109 Program Partner Survey, 2014

Program Components

While numerous strategies and efforts have been implemented and/or modified since AB 109 went into effect, of interest for this project were the EBP-based specific components. To better understand how well program partners and key staff think Probation has done on these efforts, a list of program components was provided and respondents were asked to rate how well these were implemented/modified on a four-point scale, where one was “very well” and four was “not well at all”. As Table 15 shows, 100 percent of program partners said that the Community Transition Center (CTC) had been implemented well to some degree, with nine in ten saying it had been implemented “very well”. Closely following were other areas rated positively by two-thirds or more of program partners, including data sharing (83%), the revocation process (76%), the Community Resource Directory (CRD) (69%), pre-sentence screening (69%), and appropriate caseload size (65%). The areas that could possibly benefit from additional attention, from the perspective of those surveyed, included incentives and sanctions, assessments, case plan development, and flash incarceration.

Table 15
Program Partners’ Views of Program Components

	Very Well	Somewhat Well	Very or Somewhat Well
Community Transition Center	89%	11%	100%
Community Resource Directory	19%	50%	69%
Appropriate caseload size	6%	59%	65%
Services in the community	11%	50%	61%
Flash incarceration	17%	39%	56%
Case plan development	33%	17%	50%
Assessments	17%	33%	50%
Incentives and sanctions	6%	33%	39%
TOTAL		12 - 18	

NOTE: Cases with missing information or “no opinion” not presented.

SOURCE: AB 109 Program Partner Survey, 2014

As Table 16 shows, key staff also gave the highest ratings to the CTC and MS Court, but key staff was generally more positive, compared to program partners. Some of the greatest differences pertained to case plan development (96% of key staff versus 50% of program partners giving the two highest ratings), assessment (86% versus 50%), custodial alternatives (85% versus 59%), and incentives and sanctions (81% versus 39%). Another difference worth noting was that while 65 percent of program partners gave positive ratings to caseload size, only 58 percent of key staff did.

Table 16
Key Staff's Views of Program Components

	Very Well	Somewhat Well	Very or Somewhat Well
Community Transition Center	78%	22%	100%
Case plan development	33%	63%	96%
Assessments	32%	54%	86%
Incentives and sanctions	19%	63%	81%
Community Resource Directory	24%	56%	80%
Services in the community	21%	54%	75%
Flash incarceration	27%	41%	68%
Appropriate caseload size	8%	50%	58%
TOTAL		14 - 28	

NOTE: Cases with missing information or "no opinion" not presented.

SOURCE: AB 109 Key Staff Survey, 2014

SUMMARY

As the agency responsible for community supervision of MS and PRCS offenders, the San Diego County Probation Department applied for and received a Smart grant to support its implementation of EBP in the PRO Division. Using a mixed-methods design, SANDAG evaluated how effectively and to what extent Probation implemented the goals of the Smart grant. Below is a brief summary of the findings from each data collection effort detailed previously in this report.

Information gathered through focus groups showed that DPOs at all levels felt that they had received the training and possessed the knowledge necessary to implement the EBP components, including IBIS. Of particular note was the perception that the leadership training and ongoing

department trainings formalized the supervision model components and increased the consistent application among officers. According to DPOs, common benefits of utilizing EBP when working with this population include the establishment of a trusting relationship, the use of assessment-based case planning, the incorporation of the offender's input in the case planning process, electronic tracking of the supervision model elements in PCMS, and access to resources through the CRD. Possible areas of improvement, based on the results compiled as part of the evaluation effort, include closer adherence to the prescribed caseload size in order to allow for more time with each offender, additional resources in the community to meet the housing and treatment needs of the population, recognition by leadership that the supervision model elements are not appropriate for all offenders, and improved collaboration among partners.

In addition to gathering information from the Probation staff, SANDAG also conducted an audit of the COMPAS to assess how it was being completed. Findings from the review of a random sample of COMPAS assessments showed that more than eight in ten offenders had a completed COMPAS available. Though most cases had a discrepancy, the average number of discrepancies was 2.6 with that number being lower in assessments completed after 2012, indicating an improvement in the process.

A detailed audit of the case plans of sample cases revealed that 92 percent had a case plan and most contained goals related to highest criminogenic need areas, signifying that the DPOs are utilizing the case plan in their supervision. The review of the case plans provided two areas for further internal review by Probation. The first area included an examination of the ratio of incentives and sanctions provided, as more sanctions were documented than incentives, which is inconsistent with best practices. The second was the lack of time and consistency of DPOs updating the case plan after each meeting with an offender. While these inconsistencies may be the result of lack of documentation, given the core tenets of the supervision model, it appears that further investigation would be helpful.

Completing the quantitative review of the supervision model implementation was the observation and subsequent completion of a fidelity checklist of meetings with offenders. Overall, the DPOs observed were found to be proficient in utilizing IBIS skills, with the strongest application of these skills evident in the communication, case planning and monitoring areas. The linking and follow-up skills had a larger percentage of ratings falling in the "working towards proficiency" and "missed opportunities" range. When viewed with the findings from

the focus groups, in which DPOs consistently expressed frustration with the lack of appropriate resources, this challenge highlights a possible barrier to fully implementing the supervision model to fidelity. Finally, the ratings of monitoring skills indicated a need for both additional oversight and feedback to increase the skill levels within this domain.

Results from a survey sent to partners, both leadership and key staff, about their perceptions of the collaboration among agencies working with the AB 109 population and the implementation of the supervision model showed recognition of progress in all areas. Room for growth, both in collaboration and in some of the components, was also highlighted in the survey results.

Additional analyses were conducted of three practice-model elements - COMPAS assessment, case planning, and officer-offender engagement – and generated a subset and a summary score indicating that performance in implementing EBP on average was 85 percent indicating the supervision model tools are being utilized as part of probation supervision in the PRO Division. Some areas for improvement are described below.

Recommendations

- **Adhere to Prescribed PRO Division Caseload Sizes:** Based on the feedback for SPOs and DPOs, as well as information recorded on the fidelity checklist, additional time is needed to fully implement EBP elements as designed. As the MS and PRCS populations were perceived as having a greater level of risk and need, it is essential that DPOs have the time needed to work with them effectively. Feedback from the focus groups suggests that current caseload sizes in the PRO Division are higher than planned, and therefore, a review of caseload assignments to ensure adherence to a lower ratio is recommended.
- **Systemize Regular COMPAS Audits:** While COMPAS assessments appear to be conducted with a high level of reliability, there was variance over time. Because of the importance of this information in case planning and management, Probation is encouraged to perform periodic COMPAS assessment audits to identify common discrepancies so that training and coaching can continue to be tailored to meet DPO needs.
- **Examine How Collaboration and AB 109 Partnerships Can Be Strengthened:** While San Diego County has a lengthy history of collaborating among justice stakeholders and community partners,

feedback from all of the entities involved in managing the realigned population indicated that there was a strong foundation for this work, but still room for further strengthening these bonds. All justice partners are encouraged to work with other members of the CCP to discuss areas for improvement that would support efforts to reach common goals.

- **Examine Options and Expand Services Available to Meet MS PRCS Offenders' Needs:** Data from assessments and feedback from DPOs indicate that the realigned populations have a greater level of risk and need and require more intense interventions. While efforts to contract with appropriate treatment providers have been streamlined with technological advances (i.e., CRD), it is clear that the resources are at capacity. In 2013, Probation hired a Treatment Director in an effort to ensure that services are available to at-risk populations. Probation is encouraged to use this position to work with other stakeholders to explore creative ways to improve currently available services and explore alternative funding sources as necessary.
- **Ensure the Proper Ratio of Incentives and Sanctions Are Being Implemented:** The case plan review showed that a higher proportion of sanctions than incentives were being documented to modify offenders' behaviors. The research has shown that the most effective use of incentives and sanction is to administer a greater ratio of incentives than sanctions (4 to 1). Because not all DPOs may be documenting all the incentives used, it is recommended that there be a close examination of the actual use of incentives and sanctions to determine a more accurate ratio. The goal would be to bring into alignment with best practices of four incentives to every one sanction.

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APPENDIX A
Smart Score Card

Appendix A
Smart Probation Score Card
Practice Elements Indicators and Outcomes

Practice Elements	Score
<i>COMPAS Assessment</i>	
<ul style="list-style-type: none"> Percentage of COMPAS assessments completed for PRCS and MS sample cases 	86%
<i>Case Planning</i>	
<ul style="list-style-type: none"> Percentage of PRCS and MS populations in the PRO Division with documentation that there is a case plan 	92%
<ul style="list-style-type: none"> Percentage of case plans that identify one or more of the three highest scored assessed needs on the COMPAS for a sample of cases 	92%
<i>PO Engagement with Clients</i>	
<ul style="list-style-type: none"> Average score on Fidelity Checklist¹ 	87%
<ul style="list-style-type: none"> Average score on Offender Survey² 	78%
Summary Score	87%

¹ The average score presented for the Fidelity Checklist was the percent of IBIS strategies rated as being performed with proficiency or mastery during observed probation officer/offender face-to-face contact.

² The average score presented for the Offender Survey reflects the percent of positive ratings about their relationship with their probation officer.

NOTES: Score card indicators were determined by SANDAG in collaboration with Probation staff. The original score card indicators included a measure of the portion of the COMPAS assessments coded correctly. Because the formulas for computing overall scores for the COMPAS are not public domain and SANDAG cannot determine how to statistically weight COMPAS questions that measure is not included here.

SOURCE: SANDAG, 2014

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APPENDIX B

**Supervising Probation Officer Focus
Group Summary**

2014



**Applied Research Division
June 2014**

**EVIDENCE-BASED
PRACTICE WITHIN THE
POST- RELEASE
OFFENDER DIVISION:
PROBATION OFFICERS'
FOCUS GROUPS**

INTRODUCTION

In 2012, the San Diego County Probation Department received a federal grant from the Bureau of Justice Assistance (BJA), entitled *SMART Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities*, to implement evidence-based supervision strategies to improve outcomes for probationers. The San Diego Association of Governments (SANDAG) was contracted to conduct a process and impact evaluation of four primary SMART grant components. The four components are: 1) support EBP leadership capacity in the Post-Release Offender (PRO) Division management team, 2) implement the supervision model, 3) provide access to appropriate intervention services, and 4) collaborate with justice partners to improve the criminal justice system. The Probation Department decided to focus efforts on the recently formed PRO division, which is charged with increased supervision responsibilities of those offenders shifted to local custody and supervision under Assembly Bill (AB) 109. The overall goal of the evaluation is to capture data in a timely, efficient, and effective way that can be shared with Probation to ensure that strategies to implement Evidence-Based Practice (EBP), specifically assessment driven case plans, risk-based supervision, incentives and sanctions, community resource directory (CRD), and Integrated Behavioral Intervention Strategies (IBIS), are developed as planned and result in reduction of recidivism outcomes among Post-Release Community Supervision (PRCS) and Mandatory Supervision (MS) populations supervised by the PRO division.

Summary Highlights

- The Leadership Academy training helped formalize the implementation of EBP by providing a common language and labels of EBP activities.
- EBP has been the standard operating model in probation for several years. Therefore, the training was perceived as mostly a review of for the SPOs and not very helpful.
- EBP is viewed as effective for supervising most offenders, except those with severe mental health or criminogenic traits.
- The CRD and the automation of EBP codes in PCMS were viewed as very useful both in quantifying and monitoring EBP application.
- Reported challenges to implementing EBP in the PRO division are:
 - Lack of resources to address the high needs of the PRCS and MS population (e.g., mental health, substance abuse);
 - Disconnect between decision makers (i.e., Probation administration and AB 109 partners) and the officers working with the offender on how to best to implement EBP with this population;
 - Decreased collaborative environment among AB 109 partners

This summary is the result of one of the data collection efforts to address the first research question of SANDAG's evaluation. Specifically, "How did the knowledge and attitudes of Supervising Probation Officers (SPOs) in the PRO division change as a result of completing

the Leadership Academy?” To address this question, a focus group was conducted with SPOs in the PRO division to ascertain how the EBP training that was provided as part of the Leadership Academy has influenced their knowledge and attitudes; how their views about EBP changed; and what other information they need in order to continue the implementation of EBP in the PRO division. The results of this focus group are summarized in this report.

The Leadership Academy was conducted by UCSD’s School of Medicine with the purpose of providing training to the supervisors and directors of the Adult Field Services Bureau including the PRO Division, to ensure they have the necessary knowledge of EBP to be able to lead and sustain change in that Division. It is noteworthy that the participants in this focus group represent approximately one third of the Leadership Academy attendees. Therefore, the opinions expressed herein may not represent the experiences of other attendees.

STUDY FINDINGS

HOW HELPFUL WAS THE LEADERSHIP ACADEMY IN THE IMPLEMENTATION OF EBP?

What were the SPOs’ opinions about the Leadership Academy’s EBP training?

The training could have been condensed and more pertinent to the SPOs’ experience:

Prior to answering the questions about the usefulness of EBP implementation efforts, the SPOs were unanimous in their opinions that the EBP training they received from the Leadership Academy was mostly a review of their current practices and did not substantively increase their overall knowledge or alter their opinion about EBP. All were in agreement that the training could have been much shorter and focused on a few key components. In particular, the consensus was that the training lacked information on leadership skills associated with EBP and supervision and was not a productive use of their time. An example put forth was the time spent on the self-assessment, which at this point in their

SPO’s Perceptions About The Helpfulness Of EBP:

- The training provided a common language and labels of the EBP components.
- The workshop on Burnout was seen as the most helpful session.
- The training could have been more effective. The recent training was mostly a review, offering few pieces of new information.
- EBP (i.e. assessment driven case plans, risk-based supervision, incentives and sanctions, CRD, and IBIS), is viewed as effective for most offenders, but for only about half of the PRCS and MS population.
- Severe mental health or criminogenic traits among PRCS and MS inhibit the application of EBP.

career, did not offer new insights, but would have been useful to administer to their officers if they had been provided the assessment.

- *“A lot of this training was re-packaged, we had gone through this before.”*
- *“So disappointed because we can all benefit from leadership, it was frustrating...”*

Beneficial components of the Leadership Academy training:

Despite the general disappointment of the training, there were some key takeaways that the SPOs mentioned. These training highlights were:

- The session on staff burnout;
- The naming of the eight core EBP principles; and
- The review of the balanced approach to EBP.

More specifically, respondents found the burnout workshop to be very helpful because it called out the challenges and stressors associated with the dual role Probation Officers (PO) have to play. The switching between case manager and law enforcement officer was noted as a source of stress, especially for new officers. As one respondent described the confusion about the dual roles, *“Yesterday I was at the ‘killer’ training and today I am going to go and talk about motivational*

interviewing...that is really confusing, especially for young staff. We are giving them [POs] mixed messages.” The SPOs shared that they found this information on burnout to be important for their officers to hear and was helpful in their own supervision efforts.

- *“[the workshop provided] A bigger awareness to take a look at my employees, more than what their job performance was. What is affecting them, what is going good with them, what is going bad... Take a more conscious look at my employees.”*

However, one officer also noted (and others agreed) that attending this workshop was also frustrating because they were not provided any solutions to address the burnout.

- *“That was an eye opener [the workshop]. Basically got me frustrated because they [upper management] know what they are doing to us but they don’t have any plan about how they are going to deal with it.”*
- *“Reality is that unless you have done this kind of job (armed high-risk type caseloads)...unless you have that perspective, you are going to be at a disadvantage of relating to the issues that we are dealing with.”*

Eight Principles/Components of EBP

- Assess probationer’s risks and needs.
- Enhance probationer’s motivation to change.
- Target probationer’s criminogenic needs with responsive treatment.
- Use cognitive behavioral techniques.
- Increase positive reinforcements.
- Connect probationers to community-based support.
- Measure what is done.
- Provide feedback to staff and probationer.

SOURCE: San Diego County Probation Leadership Academy Session 1 (March, 2013).

- *“They [directors and administration] give us a lot of praises....we thank you and here is more stuff to put on your plate.”*

Another reported benefit of the Leadership Academy was the formalization of the EBP. That is, the training provided a common language and clear labels and definitions of the core principles, which was new information to some newly-appointed supervisors. The review of the eight core EBP components provided a structure that allowed officers an opportunity to name and track their various EBP implementation efforts. This more formal approach was viewed as beneficial.

- *“People were already doing it, but now it is a formal label, and they can actually identify as it as ‘oh I am doing this’.”*
- *“I think a lot officers had been utilizing these things before, but we didn’t have a term for it.”*

Several participants also noted that the training helped clarify the balanced approach required when implementing EBP. The discussion about which role the officer plays and which of the eight components s/he utilizes depends on the situation at hand was viewed as very helpful. An example provided by a focus group participant was when serving an offender a warrant. This is not a time to try to have a case management type conversation. Rather it is a time to be on guard and in command presence. While the awareness raised at the Leadership Academy about the situational component of IBIS was appreciated, there was some frustration among SPOs about the perceived lack of awareness of this ebb and flow on the part of some administrators.

A couple of focus group participants said they had actually taken administrators into the field to show them what the PO’s reality is in the field and how that reality can conflict with IBIS engagement.

- *“We continually said it is not working, we have given them examples of how they are seeing the considerations on the officers’ safety and what the officers are dealing with in the homes.”*

How did the SPOs perceive the supervision model as an approach to supervising the offender population?

IBIS engagement in general is effective with the offender population:

The general view of focus group participants was that IBIS is an effective approach for the offender population; however, its effectiveness varies with the type of offender population under supervision. More specifically, the model is not as useful when supervising the higher risk population that has untreated and severe mental health issues and/or are more sophisticated in their criminogenic characteristics. The reasons noted for this difference were that with the mentally ill, there are not enough resources to help stabilize them in order to apply the IBIS engagement approach; and those offenders with more criminogenic tendencies require an enforcement approach as they are often missing, under the influence, or in non-compliance with their court conditions. This point was especially applicable for these SPOs because they felt that the PRO population has a larger proportion of higher risk offenders than other units.

- *“There is a small subset of this population that is going to victimize, they are going to reoffend.... And those are going to be our challenging cases.”*
- *“Our percentage is higher than the general probation pool, closer to 50% who are these higher offenders.”*

The group also noted that this increased severity and the associated challenge in supervision were not always recognized by those removed from direct supervision. This disconnect creates a misunderstanding (and therefore stress) about how IBIS engagement is being utilized with these more difficult cases, as well as a gap in how best to address them.

- *“Offenders are different. They are more violent, they have more severe mental health issues, have much longer drug histories... and unfortunately I think that our admin still think we are dealing with the same people that they dealt with in the 1980s and 1990s and that is not the case.”*
- *“The admin thinks it is going to work on everybody, but the reality is that it isn’t.”*

HOW HAVE THE SUPERVISING PROBATION OFFICERS APPLIED THE KNOWLEDGE GAINED FROM THE LEADERSHIP ACADEMY TO THE IMPLEMENTATION OF EBP?

What steps have the SPOs taken to implement EBP in the PRO division?

Better tracking of EBP components:

As noted above, the SPOs were clear that they had already been implementing EBP in their division prior to attending the Leadership Academy between March and September 2013. Their responses shed light on the numerous trainings previously provided by the Probation Department and the acceptance of EBP as the norm in the agency. Recognizing that this was their starting point, the participants did share that having the formal labels and the eight EBP components more clearly defined, along with a user-friendly way to enter these activities in the Probation Case Management System (PCMS), all contributed greatly to increased documentation of various EBP approaches. The tracking system allows POs to quickly document all the EBP components s/he has used with an offender by using pre-defined codes. It is an efficient means to examine what has and has not worked with an offender, to compare actions taken to the case plan, and to monitor cases. These steps are in alignment with the EBP

Key Findings About EBP Implementation:

- While respondents felt that EBP was already being fully implemented prior to the Leadership Academy, they did report more formal implementation and monitoring since the training.
- Positive additions to EBP that have occurred over the past year are the automation of tracking EBP activities and the CRD.
- The automation has improved the monitoring of the EBP both at the supervision level and the agency level.

principles that call for monitoring and measuring what is working. This system allows both the SPO and the agency to assess how well EBP is being implemented.

Complementing this process is the new Community Resource Directory (CRD), which facilitates linkages to services in the community and allows for feedback about the offender's participation in the referred programs. Utilization of CRD has allowed for more accountability of the offender.

- *"So much more communication with the programs...because of that relationship that the officer built with the program we get that information that we never got (struggling, day they walked away) so we can identify and address those issues early on."*

Improved Case Planning:

Participants also noted that over the course of several years (and not as a result of the recent training), the case plan has evolved to be more of a living document that is integrated into the PO's supervision of the offenders. The case plan starts with the assessment and follows the offender to supervision. The group all agreed that the case plan had evolved over the years to be a much more fluid and important part of the supervision of probationers.

- *"It is fluid depending on what is going on in the offender's life, so the officers have to adapt to that."*
- *"It starts with the assessment and we identify what the needs are and then we prioritize those needs...historically as POs we would tell the probationers what they needed to do...Now we are getting their buy-in to change. But it is a collaborative process with them [the offender]."*

Utilization of assessment to create the case plan:

In concert with the case planning is the utilization of the COMPAS assessment to create the case plan. The focus group participants noted how the COMPAS is crucial to case planning and allows the officer to frontload the services, rather than waiting for a violation to intervene. To support EBP, the administration of the COMPAS was moved up in the process, with the offender now being assessed during pre-sentence investigation phase.

Because of the importance placed on secondary assessments to individualize case plans, participants were asked if they use additional assessments to better understand a particular need of a client. Except for those assessments associated with a charge, such as a sex offender or domestic violence assessment, the COMPAS is the only assessment used to create a case plan.

HOW HAVE THE SUPERVISING PROBATION OFFICERS TRAINED THEIR OFFICERS ABOUT EBP?

What steps have the SPOs taken to train and monitor staff in the implementation of EBP in the PRO division?

EBP training is provided as part of standard practice:

Across the board, the SPOs said that they utilize the monthly unit meetings to push out new trainings, including EBP. As one focus group participant stated, “My senior in my unit reviews an IBIS skill at every monthly meeting.” The existing system of receiving training topics from the administration (i.e., “skill of the month”) was noted as the primary means of EBP training for staff at the unit level. Specifically, different EBP components are recommended for the monthly trainings and the SPOs use these to train staff. In addition, a couple of participants noted that they have also brought in experts from the outside to conduct trainings (e.g., treatment providers).

Other methods used to train staff include close review of the cases, which is easier to monitor with the new coding system noted above, consistently meeting with officers to help troubleshoot cases, providing guidance, and recommending EBP strategies as appropriate. One focus group participant noted s/he felt this close communication with POs is even more of a need in the PRO division, as they are supervising offenders who are tasking officers with new challenges on a daily basis.

WHAT HAVE BEEN THE BENEFITS AND CHALLENGES OF IMPLEMENTING EBP IN THE PRO DIVISION?

What challenges have the SPOs encountered in the implementation of EBP and how can these best be addressed?

Lack of resources:

EBP depends on providing services to individuals to address their underlying needs. The focus group participants’ frustration with the disconnect between what the client needs and what services are available emphasized a key area of need. As noted earlier, respondents felt the capacity to address the needs of this population did not exist. Without the resources to address an offender’s mental health or substance abuse issues, the PO’s role was limited to that of enforcer.

- *“PC #290 - got these guys with sexual and drug issues - no residential programs that will take them. No program*

Challenges Associated With Implementing EBP

- Lack of adequate resources, including:
 - Need for more treatment services to meet the intense needs of the PRCS and MS populations;
 - Adherence to recommended caseload size; and
 - Prioritize tasks to free up more time to work directly with probationers.
- Disconnect between decision makers and the staff working with the offender:
 - Differing philosophies of how to implement EBP with the PRCS and MS populations;
 - Decreased collaborative environment among partners;
 - Limited discretion at the PO level about the best approach to supervising the PRCS and MS populations.

available. He really needs to be in residential treatment placement but there aren't any available. Lack of resources, not enough beds, not enough clinics, not enough psych doctors."

- *"A lot of time we end up losing them...the offender is ready for treatment and we are ready to get them in and there isn't [a bed] available, [or] there is a two-week waiting list (includes detox) and he walks away."*

Although different, but still in alignment with the need for more resources, was the topic of not having enough time to spend with each offender. The SPOs noted that the PRO caseload is comprised of individuals who have multiple issues that require substantial attention and they do not feel as if they have the time to spend meeting one-on-one with this population. Some of the reasons for this lack of time are:

- Being called away for auxiliary duties (transports, jail runs when not your case, warrants);
- Attending field trainings;
- Not being able to adhere to the recommended caseloads (e.g., 60 instead of 40);
- Having an influx of new POs, which requires extensive training and closer supervision; and
- Disconnect between the realities of the offenders and the expected outcomes.

The group was in agreement that to effectively implement EBP, it is important to be able to spend time with the offender.

- *"You want to spend time in that interview with the guy but when you have 10 guys in the lobby waiting because you don't have enough interview rooms to begin with, you are rushing through that offender's plan, whereas if you had a little more time maybe you could dive a little deeper and reach him and talk about some of these things...you can't give them the time that some of these individuals need."*

Evolving roles and expectations among AB 109 partners:

One of the challenges mentioned by participants during the focus group was the shifting climate among the partners working to implement AB 109 and the resulting disconnect in implementation practices. Specifically, the courts, District Attorney, Public Defender, Sheriff, and Probation are not always in agreement about the best approach to handle AB 109 offenders. One example of how this can be a challenge was the dissolution of the RAWG committee (Re-arrest Working Committee), which was noted by a few focus group participants to have been very helpful in communicating and collaborating with the other partners involved in the offender's case (e.g., Deputy District Attorney). However, some participants noted that now it seems more decisions are being made at an administrative level, creating challenges for those working directly with the offenders to collaborate and/or work as a cohesive team for the benefit of the offenders.

- *"Over time things have shifted into their own little camps and we get dictated to a lot...we lost some of that interagency cooperation that we had at the beginning."*

- *“Mid-management was meeting and a lot of good things came out of that. We no longer meet...”*
- *“Drifted away from how well we were doing at the beginning and now it has become about people protecting their own kingdom, people are doing things for their own self-interest rather than making this whole thing successful... they are not looking at the whole picture.”*

One officer noted that this feeling of not being heard or being able to have more decision-making power on how to approach a situation or work more cooperatively “causes high levels of frustration for our staff – hence the burn out”. More specifically, POs may present new ideas; however, they have received the message that because of outside pressure, Probation is not able to implement the idea.

- *“Our working relationship with our partners, our court, DAs, have come a long way, we’ve all vented this before, we would like to sit in the driver’s seat a little bit more. We come up with things but a lot of things get shut down because our partners don’t think it is a good idea and it seems like we don’t get to make those decisions that affect our officers and our offenders as much we would like to see.”*

Related to this challenge is the difference in judgment among the courts, the administrators, and the line staff about when the balanced approach of EBP is utilized. At two different points during the focus group, the issue arose regarding differing perspectives of when it was appropriate to use a softer touch compared to a more enforcement approach. Specifically, SPOs noted the associated stress and concern for their POs safety when those not in the field question an officer’s choice to approach a dangerous offender with strictly a command presence.

What benefits have the SPOs encountered in the implementation of EBP?

Ability to document EBP activities:

The focus group participants were in agreement that being able to now code EBP activities in PCMS was a significant improvement. This technology was seen as a means to validate what the POs already knew they were doing (by quantifying their work) and also a tool to be used by the agency to demonstrate the level of EBP implementation. This level of documentation also shows which POs are embracing EBP and which ones are not following the core EBP components.

Additional Benefits Associated With Implementing EBP

- Improved accountability and tracking of EBP activities.
- Utilization of the CRD to identify available services, make referrals, and track offenders’ progress.

Although the CRD took some time to be fully implemented, the focus group participants found it to be very beneficial. Not only for statistical purposes, because they no longer had to hand track data and it

showed the scope of their work, but because it also was seen as an excellent tool for new staff who lacked experience in the field. The newer officers could access the CRD to close the learning gap and make referrals for offenders.

SUMMARY

Information gathered from the focus group with eight SPOs of the PRO division revealed both the benefits and challenges of fully implementing the various EBP initiatives EBP with this higher-risk probation population. The focus group participants were asked to share their perspective of the Leadership Academy's EBP training, how they were implementing EBP, and what some of the challenges and benefits were in using EBP.

The results indicate that the PRO Division SPOs, who comprised about one-third of the Leadership Academy attendees, were already experienced in implementing EBP prior to the training and felt the training could be more beneficial if it was shorter and focused more on "leadership" skills in implementing EBP. Overall, the Probation department's EBP initiatives were viewed as effective with most of the probationer population, with the exception being those with untreated mental health needs and the more criminally sophisticated offender. The SPOs reported they provided routine training, close monitoring and support in the use of EBP initiatives, and noted that the EBP approach is the norm in their division.

The SPOs offered insights to some of the challenges and benefits of implementing EBP, including the unmet needs of the population and the lack of resources to address them; the difference in implementation philosophies between Probation Administration, AB 109 partners, and the POs; and the changing climate of the AB 109 decision-making structure. The automation of tracking EBP activities and the CRD were seen as very beneficial and valuable improvements in implementing EBP.

This summary is the first in a series of focus groups to explore the process and effectiveness of EBP implementation in the PRO division. SANDAG will next conduct five focus groups with POs in the division to explore the strengths, barriers, and challenges in implementing the EBP. A final report will include the outcome of those focus groups, along with this summary, and results of the other data collection efforts.

APPENDIX A: METHODOLOGY

METHODOLOGY

This focus group was part of SANDAG's evaluation of San Diego County Probation's Bureau of Justice Assistance-funded project, entitled *SMART Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities-San Diego County 2012*.

PARTICIPANT RECRUITMENT

The sample selection for this focus group was one of convenience from a pool of all Supervising Probation Officers (SPOs) in the PRO division. SANDAG solicited the help of the AB 109 program manager in Probation to contact the SPOs and invite them to participate in the focus group. Of the ten SPOs, eight attended the focus group. All but one was currently active to the PRO division, with each having approximately 10 to 12 Probation Officers under their charge. The group was comprised of seasoned officers who had been with the Probation Department for an average of 17 years. Per the request of some of the participants and to facilitate honest feedback, Directors of the PRO were not included in the focus group.

FOCUS GROUP LOGISTICS

The focus group occurred in a conference room at the office of the Central PRO division on May 21, 2014 for a period of 90 minutes. In addition to the participants, four research staff attended, as well as the SMART grant managers. The AB 109 Director introduced the research staff and the purpose of the focus group and then left the room. One research staff conducted the focus group, one took notes on a laptop, and the two others observed for purposes of quality control and informing their portion of the evaluation.

The focus group discussion guide was designed by research staff, with input provided by Probation. There were four areas of concentration in the focus group: the overall usefulness and quality of the EBP training, how SPOs were implementing EBP, how staff were being trained to carry out EBP, and what challenges and benefits of EBP were apparent. All the questions and discussion were specific to EBP and its application with the PRO population and not the general probation population. A final copy of the discussion guide is included in Appendix B.

APPENDIX B: DISCUSSION GUIDE

**EVIDENCE-BASED PRACTICE
DISCUSSION GUIDE
May 21, 2014**

INTRODUCTION

The purpose of this focus group is to assess the value and effectiveness of the Leadership Academy training that you each attended between March and September 2013. The questions are structured to gather information on how the information gained about Evidence Based Practice (EBP) was applied, how, if any, practices changed as a result of what was learned in training, and what have been the benefits and challenges of implementing what was learned.

GROUND RULES

As your moderator my role is to listen to you, ask questions, and ensure everyone is heard. To that end, I would like to go over some guidelines that should help the discussion go smoothly. We want to hear from each one of you and I know some of you may be more comfortable speaking in groups than others. One of my roles is to make ensure all of you have an opportunity to share so if you are sharing a lot I will probably ask you to let others share and if you aren't sharing much I may ask your opinion. We have a very full agenda so I may interrupt if the conversation seems to be going off on a tangent or if there are many people who want to speak. Also, we expect there to be different perspectives, you may not agree with each other but please listen respectfully as other's share their views and please do not counter or debate them. This is an information gathering session, so all perspectives are encouraged. Of course please just one person speaking at a time and no interrupting. I will make sure you all have a time to be heard. Does everyone agree to abide by these basic ground rules?

We are recording this session so we don't miss any valuable information. The recording will only be heard by SANDAG staff and your names will not be included in the final summary.

BACKGROUND

San Diego County Probation Department is committed to implementing EBP and recently received a federal Second Chance grant to implement evidence-based supervision strategies to improve the outcomes of probationers, in particular those AB 109 realigned offenders. There is an evaluation component of the grant to measure the process and effectiveness of implementing EBP and SANDAG is conducting this evaluation. This focus group is just one information gathering effort in the overall evaluation. Each of you was invited here because you attended the Leadership Training and has been charged with implementing EBP in your department and among your staff. The information gathered here will be summarized, with no names attached to individual responses and provided to Probation and the federal funders.

INTRODUCTION

Let' go around the table and have each of you introduce yourself. Please include how long you have worked at Probation, your current assignment, and if the Leadership Academy was the first time you heard about EBP.

HOW HELPFUL WAS THE LEADERSHIP ACADEMY

1. In general, what are your perceptions about EBP? (get a sense of their general understanding of EBP) (Probe: is it just another fad, is it about time, just talk and not real application)
2. In your opinion, how useful is this approach in working with the offender population? (Probe: won't work, improves PO's relationship with him/her, it has already been tried)
3. After attending the training, what new information, if any, did you gain about EBP? (Probe: the eight components of EBP, use of assessment to develop case plans, key learning modules)
 - a. Were there components that you found to be very helpful?
 - b. Were there components that were not particularly helpful?
4. After attending the training, did your opinion about EBP change at all (for better or worse)? Stay the same?

HOW HAVE YOU APPLIED WHAT YOU LEARNED AT THE ACADEMY?

1. What was the first action item that you took after completing the Academy to prepare for implementing EBP? (Probe: created a plan, held a staff meeting, assessed current practices for alignment with EBP, nothing)
2. What steps have you taken to implement EBP? (Probe: reviewed your past case plans, set up trainings of staff, held briefing with staff)
3. Has your view and usage of the COMPAS changed at all since attending the training? If so, how? If not, why not?
4. Has your case planning changed at all since attending the training? If so, how, If not, why not?
 - a. Have you changed how you interview/communicate with your probationers? If so, what has changed?
5. What have been the most substantial changes in your division's practice since the training? (Probe: What have you stopped doing and what are you doing differently as it relates to EBP)
6. Within your division, at what stage of implementation would you say you are at? (Probe: infancy, 50%, fully)

- a. When do you expect to be at full capacity in your implementation?

HOW HAVE YOU TRAINED STAFF TO IMPLEMENT EBP?

1. Based on what you learned in the academy, how did you support EBP at the Unit level?
 - a. How many staff have you trained in EBP since attending the training? Describe how you introduced your staff to the new practices.
 - b. What monitoring processes have you put in place to ensure proper implementation of EBP?
 - c. What supports have you offered to staff to help with their learning and applying EBP?
 - d. How have you measured/determined success in the implementation of EBP?
2. How receptive to EBP do you feel your staff was? (Probe: resistance and acceptance)
How did you know this?
 - a. How have you addressed staff resistance to EBP? How successful has this been?
3. In general, what key changes have staff made in their work with probationers as a result of your training on EBP?

BENEFITS AND CHALLENGES OF EBP

1. What have been the challenges in implementing EBP in your division? (Probe: staff resistance, lack of time for thorough training, lack of services available to meet the unique needs of each offender)
 - a. How have you addressed these challenges?
 - b. Are there additional supports you need to successfully address these challenges? (Probe: more training, more support from Probation)
2. What benefits in the use of EBP have you seen or heard about? (Probe: compliance, feedback from staff or probationers)

SUMMARY

Smart Probation: A Study of the San Diego
County Probation Department's Application
of Evidence-Based Practices

APPENDIX C

Probation Officer Focus Group Summary

2014



**Applied Research Division
September 2014**

**EVIDENCE-BASED PRACTICE
WITHIN THE POST- RELEASE
OFFENDER DIVISION:
PROBATION OFFICERS' FOCUS
GROUPS**

INTRODUCTION

In 2012, the San Diego County Probation Department received a federal grant from the Bureau of Justice Assistance (BJA), entitled *SMART Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities*, to implement evidence-based supervision strategies to improve outcomes for individuals under probation supervision. The San Diego Association of Governments (SANDAG) was contracted to conduct a process and impact evaluation of four primary SMART grant components, including 1) support Evidence-Based Practice leadership capacity in the Post-Release Offender (PRO) Division management team; 2) implement the supervision model; 3) provide access to appropriate intervention services; and 4) collaborate with justice partners to improve the criminal justice system. The Probation Department decided to focus efforts on the recently formed PRO unit, which is charged with increased supervision responsibilities of those offenders shifted to local custody and supervision under Assembly Bill (AB) 109. The overall goal of the evaluation is to assess data in a timely, efficient, and effective way to measure Probation's EBP implementation efforts.

This report is one of two summarizing a series of focus groups conducted with all levels of officers assigned to the PRO unit. The first report captured the perspectives of the Supervising Probation Officers (SPO) gathered in one focus group. This report provides information collected from five separate focus groups with Senior and Deputy Probation Officers, all of whom supervise either Post-Release Community Supervision (PRCS) or Mandatory Supervision (MS) caseloads.

Summary Highlights

- Focus group participants viewed the Probation Department's Evidence-based practice (EBP) as the standard operating procedure, but IBIS and EBP training have made it more formalized.
- The supervision model is viewed as effective for supervising most offenders, except those with alcohol and other drug issues, severe mental health issues, or more sophisticated criminogenic traits.
- The Community Resource Directory (CRD) and automation of EBP codes in PCMS were viewed as very useful but would be greatly enhanced if the databases were linked to allow for one port of data.
- Benefits noted to implementing EBP in the PRO Division included:
 - Additional funds associated with AB 109 to provide treatment on demand;
 - Motivational interviewing and relationship building;
 - Early engagement of offender, either pre-release or at the Community Transition Center (CTC); and
 - CTC case planning and assessment.
- Challenges noted to implementing EBP in the PRO Division included:
 - The limited capacity of resources in the community to accommodate the number of PRCS and MS offenders with a high level of need (e.g., mental health, substance abuse);
 - Lack of time to fully implement EBP as designed;
 - The large number of PRCS and MS offenders with more severe substance abuse, mental health, and lengthy criminal histories that prohibit engagement in their own supervision.

The focus group discussion guide was designed to address the following research question:

What are the strengths, challenges, and barriers that probation officers experience in implementing the EBP model elements?

Topics explored included how POs were administering and using the COMPAS in case planning, the use of EBP to monitor and supervise offenders, any perceived differences between the PRCs and MS populations and other high-risk probationers, the impact EBP had on their relationship with the offender, the referral process to community services, the challenges and benefits of EBP, and feedback on any improvements. The results of these five focus groups are summarized in this report.

STUDY FINDINGS

HOW DO THE PRCs AND MS POPULATIONS COMPARE TO OTHER ADULT PROBATION POPULATIONS?

To put the use of EBP with the PRCs and MS populations into context, participants were first asked to reflect on if, and how, the AB 109 population differed from other adults under formal probation supervision. Most participants spoke of differences between the AB 109 population and adults on formal supervision, with some slight variation on what these differences were. However, two prevalent themes did arise:

- The PRCs/MS populations are more criminally sophisticated.
- The PRCs/MS populations require more attention and resources due to greater needs.

Expanding on the increased criminal sophistication, participants in each focus group noted that because of the extensive time this population has served in prison, as well as the violent criminal past many have, they can be more resistant and/or distrustful of law enforcement and reluctant to participate in the supervision process.

- *"There seems to be a level of sophistication [more sophisticated]...I am assuming it is by virtue of being in state prison and being exposed to that whole element, so that when they come out there is a different mindset [than those on formal supervision]"*.
- *"A lot of the PRCs, when the law first came into effect they didn't take into consideration the history [of PRCs]...they were just looking at the current offense...I have guys who have had attempted murder and they did their time (and this is a different charge) lot of gangs, and mafia...which Probation wasn't ready to handle, bringing that prison lifestyle."*

Perceived Differences between PRCs and MS Offenders and Formal Probationers

- ✓ Institutional mindset due to prior prison sentence(s)
- ✓ More criminally sophisticated, including convictions for more violent offenses
- ✓ Greater proportion with alcohol and other drug addiction, mental health challenges, and/or both
- ✓ Resistant to change and supervision

- *“This population is so engrained, so into their own thing, that you talk to some guy who has tats all over his face, has done 8 prison terms, has spent the last 20 out of 25 years in prison and he has got his lifestyle...and our 20 to 30 minute interaction once a month or 2 times a month isn’t really doing much...it is just a different population.”*

The participants also felt that this population in general requires more intensive supervision and interventions because of their institutional background, mental health, and substance abuse issues. Participants in three out of the five focus groups raised the challenges of working with this population because of their perception that a substantial proportion has severe mental health problems, which complicates their ability to comply with terms of community supervision. This is especially true for those with co-occurring disorders because of the lack of treatment beds available in the community. In addition, many of the PRCS and MS offenders have extensive criminal histories and an institutional background that hinders their assimilation back into the community due to their lack of skills (e.g., employment, social, or motivational) or lack of employment opportunities for individuals with criminal records.

- *“With formal probation (high-risk) they are functional, they actually have a job...they are still compliant (most)... But when I switched over to AB 109, everybody I have contacted is in constant violation, they cannot complete a program, they cannot obtain a job.”*
- *“They have been institutionalized, they have lengthy criminal history. A lot of them don’t have the mentality where they are ready to change, or they are under the influence so their brain or their mind is not in the right state of mind to be able to comprehend what we are trying to get across to them.”*
- *“Thirty to 70 percent of all PRCS and MS caseloads show signs of severe mental illness and sometimes it’s impossible to tell if those people are addicted to substances (aka permanent users) or have a full blown mental disorder, and most of those people should have been kept by DAPO (state parole/state level supervision).”*
- *“The MS caseload is by in large older, higher maintenance, and they need ‘babysitting.’ For example, they often need transportation to and from treatment programs and if you give them bus passes, directions, and all the essentials to go on their own, often times they just won’t show up.”*

In addition, as a by-product of their lengthy criminal involvement and sophistication, a probation officer noted that this population has fewer family supports and resources to draw upon because they have burned bridges with these sources of support.

DID THE LEVEL AND TYPE OF EBP TRAINING ADEQUATELY PREPARE PROBATION OFFICERS TO EFFECTIVELY IMPLEMENT EBP WITH THE PRCS AND MS POPULATIONS?

EBP Training That Was Effective

Overall, the probation officers reported receiving a variety of training on EBP, including while attending the probation academy; a two-day IBIS training (as recent as October 2013);

training specifically on motivational interviewing; a coach's training to train mentors; ongoing email blasts from the Probation Department; and "skill of the month" trainings conducted during their unit meetings. Of these trainings, a few probation officers felt that those trainings that were presented by officers with experience in the field were most helpful because of the trainer's understanding of the realities associated with implementing EBP in the field (i.e., that isn't always effective or appropriate). For example, one of the participants quoted a piece of advice he received from an EPB trainer that he found to be valuable: "Honestly, it is a good tool, but it doesn't work for everyone but at least try it each time (EBP Trainer)." This added insight seemed to bring a practical and realistic view of the model, which was well received by the probation officer.

- *"With the training we received, it made us better suited to address their needs. Without the training, we wouldn't know what resources are appropriate for whom. All training is valuable, helps the relationship."*

In general, participants felt they had received adequate training, with a few mentioning a need for additional training that deals more with the needs of this population than the EBP model. Specifically, suggestions for additional trainings included:

- Trauma informed care;
- How to work with mentally ill offenders;
- More in-depth training on substance use and its effects (e.g., how specific drugs effect a person's behavior); and
- Identification of any additional resources that is available for this population.

One participant also suggested that it would be helpful to conduct a cross-systems training with treatment providers, mental health professionals, and probation officers so that everyone receives consistent information about each partner's role and the special needs of this population.

As for the helpfulness of the training in working with this population, many of the POs echoed what was shared in the earlier SPO focus group - that the training didn't necessarily provide them with new information, but formalized what they already knew and were doing.

- *"We felt that we are already doing this, but it made us look at how we were using it, we just didn't know it was called Reflections or motivational interviewing at that time."*
- *"I know for a fact that we have been doing this all along, we just didn't have this title on it."*
- *"The evidence-based practice is a quantification of what has already been found to work."*

Overall, the feedback from the probation officers indicates that they have received sufficient training on EBP. However, there is still a need for training associated with the needs of this population, given the high proportion of individuals who are grappling with multiple challenges. It is also apparent the underlying philosophy of EBP has been a mainstay within the Probation Department and EBP has built on that existing foundation by providing more structure, guidance, and a common language to formalize its implementation.

HOW EFFECTIVE IS EBP IN SUPERVISING THE PRCS AND MS POPULATIONS?

Effective Components of EBP When Supervising PRCS and MS Offenders

When questioned about how effective and useful Cognitive Behavioral Interventions and Motivational Interviewing (IBIS) is when supervising this higher risk population, a common theme bracketed the responses, which was the belief that without some desire on the part of the individual to change, the model does not work. This limitation was viewed as extra challenging when working with the PRCS and MS populations because of the perceptions noted above: institutionalized mindset, criminal sophistication, and severe mental health and substance use issues.

- *“They smile and say yes I am going to do treatment, yes I am going to get a job and then they walk out of the office and do the opposite.”*
- *“They have to be accepting of it and ready for change. If not, we can have the best program, we can be trained by the leading people in the field, but if they are not buying in, it is useless.”*
- *“I focus on the ones that are making efforts. I tell most that I will work as hard as you work. I am not working harder than you...still give them opportunity but it has to be their decision.”*
- *“A lot of the offenders have more than one type of problem; personality problems, drug problems, mental health...and EBP, the COMPAS or IBIS tools are not appropriate for these types of clients.”*

EBP Factors Viewed as Effective

- ✓ Motivational interviewing with those that demonstrate a desire to change
- ✓ Involvement of the offender in case plan development
- ✓ Role clarification
- ✓ Resources on demand, including treatment beds, housing, mental health
- ✓ Assessment driven case planning
- ✓ Immediate case planning prior to or upon release

However, participants did not attribute this failure to the model, but rather to the higher proportion of PRCS and MS offenders who exhibit this type of opposition. When asked what proportion of the PRCS and MS populations present with this resistance, participants' estimates varied by caseload, from 30 to 70 percent.

Among all the focus groups, there were common EBP components noted as being effective, not just with this population but with the probation population as a whole. The

components noted as being most effective were motivational interviewing for those that wanted to change, inclusion of the offender in the planning process, role clarification, funding to provide resources in the community, assessment-based case planning, and using positive reinforcements.

For those individuals who demonstrate some willingness to change, motivational interviewing was viewed as a valuable tool. Several participants viewed the collaborative style of creating case plans and talking with an offender as a means to break through the offender's past negative experiences with parole or probation and reduce his/her resistance to change. This was especially true for this population because of their lengthy history in institutions. In each of the focus groups, there was mention of an individual on a probation officer's caseload who commented positively about being asked about his/her needs.

- *"For those that come in willing to communicate, it's definitely important to motivate them and the motivational interviewing is a good tool for this. These people are normally older, gang drop outs that now want to be out of jail and they want to do their time on supervision and get out."*
- *"It [EBP] just gives us more tools and sometimes it gets them [offender] more involved. A lot of offenders appreciate having some choice in their treatment plan and being involved. A lot will say, 'I've never had a conversation like this before with my PO'."*
- *"The big thing is mutual respect [between officers and probationer]. I think that has helped a lot of officers understand that through EBP, to establish a dialogue, not just a one-way conversation [with the probationers]. I tell them [the probationer] that we are going to work together on this but it has to be equal...if we are working together, I am going to work hard for you, but it can't be all me."*

The role clarification component of IBIS was also noted by many as being helpful in managing negative behavior, as well as field visits. Several probation officers noted that when the rapport building has occurred at the beginning through conversation with the individual being supervised, including the clarity of roles and expectations, they have found offenders to be more cooperative when the probation officers has to implement a sanction.

- *"Hopefully if you start in the office then in the field, it gets you two steps closer in a better rapport in the field because they know who you are and they know what to expect."*

Another valuable aspect of EBP, and one that was noted to be very helpful in supervising PRCS and MS offenders, are the funds available to quickly link offenders to services in the community. Participants in all the groups spoke about the added value brought to supervising this population because of the dedicated AB 109 funds available for wraparound and treatment services compared to standard formal supervision. These resources were viewed as valuable in stabilizing the offender and engaging him/her before there is time to relapse or return to old habits.

- *"When we first started this program if one of my guys or girls came into the office and needed a treatment program we were able to find it immediately...when you have that*

component for immediate assistance...the custody part of it doesn't come into play as quickly."

- "When I came here, I was thinking I am going to address this population differently than I used to because we can actually do something with them [get them treatment]."
- "For the ones who do have a stable environment, stable on their medication, stable in treatment, I think those are the ones that it will work for."

Another valuable component of EBP when working with this population was the release from prison directly to the CTC unit, which conducts the assessments and creates the initial case plan. This streamlined process eliminates any gaps in supervision that could otherwise open up an opportunity to violate conditions of supervision.

- "Getting out of the gate, getting seen by CTC...so there's no lapse in supervision."
- "We [CTC] are their first stop and we try to build their motivation as much as we can."
- "Another thing that we [CTC] do in the process is see what is working and what is not working."

This immediacy of connecting with the probationers also occurs with the MS population prior to the individual's release from local prison. The case assignment process for MS cases involves a case file activation process that is to be initiated approximately 90 days prior to release from custody. Participants mentioned this process and how the probation officer does not always have this much time to review the case. This is mostly due to delays in the immediate sentencing cases where the offender may have less than 90 days in custody and to release date adjustments while an offender is in custody.

Eight Principles/Components of EBP

- Assess offender's risks and needs
- Enhance probationer's motivation to change
- Target probationer's criminogenic needs with responsive treatment
- Use cognitive behavioral techniques
- Increase positive reinforcements
- Connect probationers to community-based support
- Measure what is done
- Provide feedback to staff and probationer

SOURCE: San Diego County Probation Leadership Academy Session 1 (March 2013).

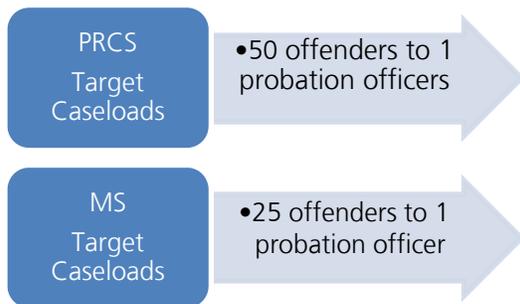
Areas Where EBP Was Not as Effective With the PRCS and MS Populations

The overall perception of EBP that prevailed in each of the focus groups was that EBP has the potential to be effective with these populations when fully implemented; however, there are several obstacles that hinder its full potential. What the probation officers noted most often as not effective were not inherently the fault of the model but rather could be attributed to the ability to implement the model to fidelity. These issues included the following:

- Lack of time to adequately meet with probationers due to large caseloads;

- Dwindling resources and capacity in the community to provide needed treatment, both residential and outpatient;
- Legislative restriction on how much custody time PRCS or MS offenders can receive if non-compliant with court orders; and
- A large proportion of this population that is either resistant to change, not reporting to the probation officer, or too unstable to engage (e.g., mentally ill and not taking medication or in treatment).

There was unanimous agreement among the participants that POs, due mostly to large caseloads, do not have enough time to adequately implement EBP as designed. POs expressed frustration with the conflict between having a motivated probationer who could be helped if more time was available to spend with him/her versus the demands of having a caseload of approximately 70 (i.e., this is mostly PRCS caseloads), which prohibits the implementation to fidelity. When asked what the ideal caseload would be, the number 40 came up consistently.



When asked what the ideal caseload would be, the number 40 came up consistently.

- *“That is the problem, EBP can be very effective but our caseloads are so high.”*
- *“I don’t have time to sit down and do a behavior analysis and engage with the offenders.”*
- *“So if I have 50 cases, I won’t be able to see them once or twice weekly, but usually I see them once a month.”*

This lack of time also limited where the contacts occur, with probation officers noting that they do not have sufficient time to visit offenders in the field as often as prescribed. Contributing to this limitation was the extensive training associated with field training to ensure officers are safe. This training involves being shadowed by experienced officers, which places additional time demands on probation officer’s supervision duties.

- *“We don’t get out [in the field] as much as we should. Not what the expectation is and not what would be the best way to protect safety. And actually enforce in the community, we are not out there because we are too busy.”*

Another factor viewed as an impediment to fully implementing EBP as designed was the lack of resources in the community to refer offenders for services and housing. Specifically, the resources originally allotted to support PRCS and MS offenders, while seen as a positive aspect, have been exhausted because of the overwhelming demand.

- *“I think we have awesome resources but we have hit the ceiling already. We are completely maxed out and the population is going to keep growing.”*

- *“While we do have the ability to impact them [supervision], we are not doing a very good job of it because we don’t have the availability from providers...there just isn’t any space.”*

An example of the supply not being able to keep pace with the demand was visible at the CTC unit, which is co-located with the Lighthouse Residential Treatment Program (RTP). Some transitional housing beds originally designated for PRCs (based on PO case plan) are now being filled with MS offenders (court ordered). Because of the long waiting list in the community, the MS offenders are occupying a bed for months rather than weeks.

- *“Our MSO will sit at CTC until the programs open and receive services.”*
- *“We need to double CTC beds, double the mental health [beds], and dual diagnosis beds don’t exist.”*

Most frequently noted among the focus group participants was the lack of treatment beds for substance use, mental health, and for those individuals struggling with both issues. The impact of not having these resources readily available was viewed as setting the offender up for failure, which ultimately meant going back to jail because of substance use or non-compliance.

- *“We need way more substance abuse treatment, outpatient treatment, and way more mental health treatment.”*
- *“We get court orders saying that when this person is released he will go immediately to a program. When we get that court order we have two weeks. It’s not going to happen because there are no beds available.”*

Another issue that surfaced during the focus groups was the challenge of using sanctions and incentives for this population because of the legislative limits on custody time that can be ordered. The participants shared feedback they have received from the PRCs population that the flash incarceration is not viewed as a deterrent because this population already has such a lengthy history of incarceration and serving the ordered time is not seen as a hardship. In fact, some probation officers noted that they have had probationers ask to be incarcerated because it is so hard on the outside or they don’t want to engage in supervision.

- *“The sanctions aren’t there. Going to jail for these guys 10 days is nothing, 68 days is nothing. We have guys that come in and want to go jail and they are mules to get stuff in, because they know they are only doing 10 days.”*

Participants in one focus group provided insight into why certain components of EBP are impossible to fully implement for the MS population. Expressing some degree of frustration, participants explained that the court has the primary role in developing the MS offender’s case plan without obtaining the offender’s input. This process, coupled with the fact that the case plan cannot be altered by the probation officer when they meet with the offender, significantly limits the opportunity for collaboration between the probation officer and the

offender and has the potential to undermine the relationship between the probation officer and offender.

- *“They [the MS] can’t buy into the process. It is mandated. It doesn’t matter because the sanction is already there, you violate and you go into custody and go in front of the judge in court.”*
- *“I have a drug offender who gets kicked out of a program and I may be able to line up another program and have it lined up. but no, my overseer says he has to go back in jail. But what if I have another program set up, why are we going to clog a jail system, a court system when I have another program lined up?”*

The behavioral analysis assessment was the only IBIS component that participants noted they rarely used. The primary reason for not using the assessment was lack of time with the client to adequately complete the assessment. But another reason, as one probation officer noted, was that the assessment is commonly viewed as a sanction by probationers, so the probation officer has opted not to conduct it rather than risk jeopardizing the relationship with the probationer.

- *“I don’t know how much we are using the behavioral analysis and actually having the time to sit down and do the exercises with them.”*

WHAT ROLE DOES THE CASE PLAN HAVE IN YOUR WORK WITH THE PRCS AND MS POPULATIONS?

COMPAS as a Tool for Case Plan Development

There was unanimous agreement among the five focus groups that the COMPAS (Correctional Offender Management Profiling for Alternative Sanctions), along with the court orders, were the driving forces behind the case plan development. Whether completed at the CTC, or during pre-sentencing in the case of MS offenders, the COMPAS was viewed by the probation officers as a critical tool in creating the goals and case plans.

- *“The COMPAS will give you a profile of the offender and the resources that COMPAS has and using that to make the case plan based on the offender’s needs.”*
- *“When they go and get assessed in the COMPAS and we link them to programs is one of the biggest things for us. It actually does everything for us. The computer literally does everything for us and we then review it and say ‘yeah, this does make sense. This program would fit them’.”*

When probed about how often, if ever, the COMPAS is re-administered, there was variation in the participants’ responses. Some probation officers rarely re-administered the full assessment, even if the original COMPAS was completed two years ago (in the case of the MS population). But other participants said they re-administer them if it was six months or older. What was consistent among the group was their belief that there is no policy guiding when and how often a COMPAS should be done after the initial assessment. In addition, the Case Supervision Review (shorter version of the COMPAS) was noted as being done every

six months as part of the case supervision review process. This process is consistent with the policy about CSR administration.

The Community Transition Center's Role in the Case Plan Development

The assessment process for AB 109 offenders differs for each of the two populations. The MS offenders are assessed during pre-sentencing and this assessment is used by the PO to make the case plan upon the offender's release from local prison; whereas, the PRCs are assessed upon release when they check in with CTC staff, who create the initial case plan.

The CTC takes a multi-disciplinary approach to the case plan development, utilizing several assessments in addition to the COMPAS. The administration of the COMPAS prior to release was viewed by several POs as an important first step in establishing a relationship with the offender. Once the offender reaches the CTC, the entire team, as well as the offender, is brought on board to help develop the case plan. The CTC focus group and participants from the other four groups all expressed satisfaction with this structure of assessing and case planning. A common theme among responses was the value of engaging the participants right at the beginning of the process, including ordering the offenders to report to CTC upon release from state prison or meeting with MS offenders prior to release, engaging in motivational interviewing, clarifying the roles and expectations, creating a case plan based on the three top criminogenic needs, and identifying referrals and starting the linkage process.

- *"We [CTC] are the first stop and we try to build their motivation as much as we can."*
- *"For the PRCs population, we are very fortunate that they do go through the CTC first because they are getting immediate referrals straight out of prison."*
- *"The preloading of services at the CTC is huge...I know it has made an impact on some of these guys."*

Community Resource Directory Role in Effective Case Planning

Feedback from participants indicated a common usage of the Community Resource Directory (CRD) among probation officers in case planning, management, and referring to services. The CRD was frequently viewed as positive and helpful, with the recognition of a need for some improvement to make it more effective and streamlined. Some of the positive aspects noted by participants were:

- The ease of populating the case plan with a referral;
- Being able to monitor which officers are making referrals and which are not; and
- Being able to follow-up with a referral.

While the probation officers recognized the usefulness of the CRD in their case planning, they also noted several issues they felt hindered the full potential of the CRD. There were several common trouble areas noted among the focus groups, which centered on ease of use and incomplete data. Specifically, the probation officers noted how the information in

the system is not always complete or up to date; and frequently, there is not enough information about eligibility criteria, exact programing, or availability. Frustration was also expressed in not being able to make an appointment through the CRD, which requires calling the programs and thereby reducing the CRD’s efficiency.

- *“What I am having trouble with is that sometimes when I make a referral they [the provider] don’t have their information and I have to go back out and then put the contact information and then resubmit the information.”*
- *“The CRD doesn’t have enough information. We often just google programs for their information and phone number because when you send a referral through the CRD we don’t know whether or not the agency has checked their CRD inbox. We get an email if the offender is rejected but you have to call and find out to know whether or not they’ve been accepted into the wait list or pool of potential patients.”*

There was also mention of a need for more involvement by the program providers to use the system consistently as designed, especially in updating outcomes related to referrals and progress made by the offender. Finally, the system itself can be inefficient because of how the programs are listed, making it difficult to cull through the hundreds of resources to find the one needed and the requirement to log in and out of the database systems (e.g., PCMS and CRD) when updating information. Table 1 lists the most common issues with using the CRD, as well as possible solutions proposed by the participants.

Table 1
Issues and Solutions to Improve the CRD

Issues	Possible Solutions
Incomplete program information, missing contact information, and details about population the program serves	Institute a regular updating process so program information is complete and current
Continued reliance on follow-up phone calls to programs to obtain appointment times and dates	Interactive database that provides automatic intake times and dates upon request
Lack of consistent follow-up on the part of programs to document the outcome of the referral or program results (e.g., drug tests)	Require programs to update information and conduct quality assurance checks to monitor the updates
Lack of integration of the multiple reporting systems	Integrate systems to allow one access point to download information between PCMS, case plan, and the CRD.
Cumbersome search system making it difficult to find appropriate programs	Reorganize categorization system so it is user-friendly (e.g., alphabetical versus numeric)

NOTE: CRD is an automated referral tool and was never designed to replace contacts with the agencies (e.g., phone calls, visits, relationship building).

SOURCE: SANDAG Focus Groups, 2014.

HOW HAS EBP INFLUENCED THE PO'S INTERACTIONS WITH THE PRCS AND MS POPULATIONS?

Dual Role of Case Manager and Law Enforcement Agent

To better understand how EBP impacts the interactions and relationship between the probation officer and probationers, participants were asked how they balance their dual role as case manager and enforcers. Except for the CTC unit, which has a temporary role in the probationer's supervision, a few common themes arose from the focus groups:

- The dual role was viewed as a core characteristic of being a probation officer and not necessarily a product of recent EBP trainings, but EBP has helped formalize this role.
- The dual role is not realistic in the field, where the probation officer more often assumes the enforcer role.
- The case plan helps facilitate the case management role of the probation officer.
- Understanding in what situations to apply each role is important.
- The case management role can support the enforcer role by establishing rapport and clarifying expectations.

It was apparent from comments in the focus groups that the probation officers felt as if they have always held this dual role of working cooperatively with individuals under community supervision and also holding them accountable. However, EBP training has provided clearer guidelines for implementation and a common language among probation officers. Overall, the feedback was positive in how the components of EBP (e.g., motivational interviewing, collaborating with offender on case plan) support the officer and probationer relationship. EBP was described as providing a framework for establishing respect, offering an opportunity for a productive relationship, and having the potential for improving safety when a probation officer has to hold a probationer accountable.

- *"It definitely improves communications and takes out some of the adversarial nature of the relationship."*
- *"First and foremost, most of these people have a conflict with authority and they will always see you as enforcers, but EBP language sometimes helps to have them also see the PO as someone that can be useful and helpful."*
- *"At the same time I am going to help you, I am going to hold you accountable."*
- *"I find it easy, that is something probation officers always been 'here to help ya', 'let me help ya'. I am your biggest advocate or I am the guy putting you in jail."*

It became apparent from participants' comments that each aspect of the dual role can complement each other. For example, while visits in the field were presented as more of a

law enforcement situation where safety and security is foremost on a probation officer's agenda, work done ahead of time during office visits to build rapport with the offender could benefit the probation officer's safety in the long run.

- *"I think it makes it easier and safer when you have a good relationship with someone and then you need to arrest them. I think it makes it much better than if you had always been hard on someone and never had a rapport and now you are going to take their freedom away."*
- *"That relationship- foundation- build on it and build on it, 90% of the time we start with the office appointments. Before we get to the field, they know who you are and hopefully rapport [has been] built."*

Incentives and Sanctions

To learn more about how and to what degree the probation officers were implementing the EBP incentives and sanctions strategies in their supervision of PRCs and MSs, focus group participants were asked to elaborate on their current practices. In general, the strategy was viewed as a positive tool when working with any probationers, but especially with this particular population who often do not have much experience with positive reinforcement. The topic of incentives, in particular, often arose in tandem with discussing the value of providing positive feedback to probationers.

- *"A lot of these guys don't get a lot of positive reinforcement. I have to identify their accomplishments. Maybe to me it is not an accomplishment but to them it is. I have to be aware when they have made a step forward, even if three steps backwards...because no one else is going to tell them that [identify the positive actions]."*

While not part of the discussion guide, probation officers in four of the five focus groups mentioned their participation in a "pilot" incentives and sanctions program, in which all probation officers supervising MSs are participating. While the comments about the pilot were mixed, it was clear that the probation officers viewed the pilot as a more formalized extension of what they already do.

- *"For POs like me and [names two other POs], I know if it didn't have a title 'incentives and sanctions', we would do it anyway. It is a good tool to have, in my opinion, on paper to motivate POs who would otherwise not do it."*
- *"It is something that we have done. We have always done incentives and sanctions but now we are putting a name to it and tracking it. It is a way to measure if change is really occurring."*
- *"I don't know how much of a difference it is from what we were doing before. The actions are the same, we are just tracking it."*

Not all the comments about the pilot were supportive, with frustration expressed regarding the additional recording and paperwork associated with the pilot. The participants' responses could be described either as viewing the documentation as unnecessary extra

work because the activities are already being captured in the court documents, or as time consuming but necessary to measure how this aspect of EPB was being implemented.

While viewed as valuable as a whole (and also described as a challenge later in this report), the custody sanction part of “incentives and sanctions” was often regarded as being ineffective for this population because of their criminal sophistication and time served in prison. Specifically, for those offenders who had already served years in prison, a flash incarceration was not viewed as a hardship and therefore not a deterrent. In addition, because policy regarding custody time is dictated by legislation and not the Department, the probation officers saw little hope for any change.

Monitoring of the Implementation of EBP

Across the focus groups, the six-month case reviews by supervisors were most often cited as the primary mechanism for ensuring proper implementation of EBP. Having Senior and Supervising probation officers observe more junior staff was also noted as important for providing feedback to staff on appropriately implementing EBP, and there was also mention of a rating scale (e.g., one to three) to measure how well a probation officer is implementing the different components of EBP, which is completed after the review of a case or observation. Checkpoints within the reporting process were also commonly viewed as a means to monitor implementation. These included court reports, referrals in CRD, and also checking EBP activities in PCMS.

However, a few probation officers did mention that the check boxes in PCMS to document EBP activities were not being consistently completed, depending on the probation officer and time constraints. When probed further about the frequency with which the boxes are completed, the responses were mixed from hardly ever to all the time, with no clear pattern.

- *“Personally I have no time. I do that contact note and then I have to do something else. It is hard to go back in and update the case plan. It is time, time is a big issue.”*
- *“I don’t consistently print out the case plan after I made a referral, a new referral and say this is your new case plan.”*

OVERALL, WHAT HAVE BEEN THE BENEFITS AND CHALLENGES OF IMPLEMENTING EBP IN THE PRO UNIT?

Benefits of Implementing EBP

Analysis of the responses from all five focus groups indicates that the majority of participants see value in using EBP in their work with this population. The central elements of EBP that were noted most often as beneficial were:

- Using IBIS skills to establish rapport and build trust with the offenders;
- Clarifying the roles of both the probation officer and offenders;
- The case planning process and starting it either while detained (MS) or upon release (PRCS); and

- Assessment, planning, and linkage to resources in the community.

It was clear that the supervision model provides a framework in which to establish productive relationships with those offenders wanting to change. This is accomplished through the motivational interviewing, setting clear expectations, and engaging the offender in the development of his/her case plan. The benefit of the case planning was related to when it is initially done within the PRO unit, either at CTC or with MS offenders while they are still detained. This early contact was viewed as an additional tool to try and engage the offender before s/he has an opportunity to return to old habits.

While there was some consistency among probation officers who had more than three years of experience (and therefore had worked with other populations) in their belief that they have always been using the strategies associated with EBP, the biggest difference and benefit with EBP and this population was the initial availability of resources to meet their needs.

- *"I personally don't feel it has changed my work at all. POs are POs for a reason. We are here because we have already bought into that. What has changed is the frontloading, I am able to follow through. The fact that we are picking up the tab, we are making the referrals."*
- *"The model is great. The model is no different than other models I have worked with, might be different name, but if there is not funding, if there is not availability to address some of these major issues – honestly most of it is substance abuse related, some of it is becoming psychiatric related...I am not equipped personally to deal with someone who has a psychiatric problem, to deal with someone who has a drug problem. My job is to find available things and plug them in."*
- *I think once you realize that the expectation is that you use it all day, in every single situation, with every person, then people accept it more. That there are times when it absolutely works, where it is appropriate, it is the perfect thing. And there is time it is just not going to work and we aren't going to use it."*
- *"One of the big advantages with AB 109 is the services and resources we have."*

Challenges and Opportunities for Improvement

When asked about challenges and possible suggestions to improve the use of EBP with this population, several participants noted that for EBP to be effective, it has to be implemented with fidelity. In other words, to be successful there has to be buy-in from the probation officer, the time to meet with the probationer, and the resources available to address the needs of this population.

- *"It is extremely effective if we use it right and if we have [officer] buy-in. But like anything, if the officer is not on board it is not going to happen."*
- *"We are running out of beds, we are running out of space. Transportation is a huge issue until they go into these programs [because they can't get to the programs]."*

The other challenge echoed throughout the focus groups was the lack of time due to high caseloads to fully implement EBP as planned. The desire to have more time to engage with the offender, to follow-up in the field, and to spend time when s/he is in crisis or on the verge of relapsing was a common concern.

- *"I just don't know how effective we are in applying what we are being trained to do and actually doing it. It just has to do with time."*

As noted above, the suggestion to adjust caseloads down from 70 to 40 was mentioned in every focus group. While this reduction has not been tested, the message was that the current caseloads are too high to effectively implement EBP as designed and there is a need for change.

- *"To really effectively use it [EBP] and really gauge if it is actually successfully, it seems that there would need to be some sort of pilot to see whether it is actually effective or not with a lower caseload."*

As noted earlier, but worth reiterating given the unified agreement among the focus groups, was the need for additional resources in order to properly implement EBP with the PRCS and MS populations.

- *"Sometimes they need to be locked up before treatment, too; otherwise, they will show up at a facility intoxicated and then be rejected from the program."*

While scarcity of resources was cited as an issue impacting other probation divisions, it was noted as especially challenging for this population because of the large proportion of PRCS and MS offenders that are dealing with substance abuse, mental health, and co-occurring disorders, as well as because of their lengthy criminal histories and the tendency for this population to lack follow through, which creates an urgency for treatment on demand.

SUMMARY

To support the San Diego County Probation Department's desire to learn how and to what extent EBP initiatives are being implemented with the PRCS and MS populations, SANDAG conducted a series of focus groups with each level of probation officer assigned to the PRO unit. This report summarizes the results gathered from five focus groups conducted with Deputy Probation Officers and Senior Probation Officers. A separate focus group was conducted with the Supervising Probation Officers and the findings were summarized in the June 2014 *Evidence-Based Practice Focus Group Summary* report.

Overall, the feedback received from focus group participants was that EBP, specifically IBIS skills, are useful when working with portions of the PRCS and MS populations but there were clearly some reported challenges associated directly with these higher-risk offenders. Specifically, the majority of the focus group participants perceived having a greater number of individuals on their caseloads who are

struggling with alcohol or other drug addiction, untreated mental health needs, and/or both, as well as being more criminally sophisticated. For the proportion of PRCS and MS offenders with these characteristics (the estimated range varied from 30 to 70 percent of caseload), the barriers were viewed as insurmountable to effectively utilize EBP.

However, for those PRCS and MS offenders who do appear for their visits and demonstrate some stability and inclination to change, EBP offers useful tools to help the POs in their supervision. Responses to questions about the level and type of EBP

training received indicated probation officers have the information and experience to implement EBP. Suggestions for additional training were focused more on learning about the issues affecting this population such as mental health, substance abuse, and or trauma, and how best to recognize the issues and respond than on the model itself.

While many aspects of the EBP initiatives were viewed as beneficial, such as motivational interviewing, AB 109 funded treatment, and assessment informed case planning, it was clear that lack of time due to the perceived intense needs of the population coupled with large caseloads and the dwindling treatment resources were impeding the probation officers from spending the time with each offender to fully implement the case management component of EBP as designed.

Top Three EBP Benefits Supervising the PRCS and MS Populations

- Increased resources to provide treatment on demand
- Early engagement through case planning at CTC or pre-release from local prison
- Establishing rapport and respect with a population not used to this approach from law enforcement

Top Three EBP Challenges Supervising the PRCS and MS Populations

- Depletion of resources to provide treatment on demand
- The substantial proportion of PRCS and MS offenders dealing with severe substance and/or mental health issues, and history of criminal institutionalization
- Not enough time to implement EBP as designed

APPENDIX A: METHODOLOGY

METHODOLOGY

This focus group was part of the SANDAG evaluation of San Diego County Probation's Bureau of Justice Assistance-funded project, entitled *SMART Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities-San Diego County 2012*.

Participant Recruitment

The original sample design was to randomly select focus group participants from all of the PRO units. However, due to conflicts with training, vacation, and other professional conflicts, the entire pool of Probation Officers (POs) in the PRO unit was exhausted. The result was a sample of convenience, comprised of the Deputy and Senior Probation Officers available to attend the focus group for their specific unit. Five groups were planned, one each at East County, South Bay, Vista, Community Transition Center (CTC), and Central (Hall of Justice). The CTC unit differed from the other four groups because it is a transition unit intended to assess and prepare a case plan, and then refer to the other units for ongoing supervision. Table 2 shows the number of POs that attended each group. The groups were comprised of 33 deputy and senior level probation officers who had been with the Probation Department for an average of 9.05 years ($SD = 4.43$ years) and with the PRO unit for 1.82 years ($SD = .67$ years) on average (not shown).

Focus Group Logistics

To obtain the most representative sample possible, five focus groups were conducted that included the five different regions in the County. Table 2 shows the different units and locations where the focus groups occurred and on what date. With the exception of the Community Transition Center (CTC), all the focus groups involved probation officers who carry PRO caseloads. CTC probation officers are responsible for the assessment, initial case plan development and referrals, and temporary supervision until an offender is assigned his/her probation officer in the community. The focus groups occurred between August 5 and August 7, 2014, for a period of 90 minutes each.

Table 2
Regional Locations of the Five EBP Focus Groups

Location/Region	Date	Number of Participants
Central (HOJ)	8/5/14	9
South Bay	8/5/14	5
CTC	8/6/14	5
El Cajon	8/6/14	5
Vista	8/7/14	9

SOURCE: SANDAG, 2014

In addition to the participants, three research staff attended, as well as the SMART grant manager. One research staff conducted the focus group, one took notes on a laptop, and

the other took written notes for purposes of quality control. Each of the staff reviewed the final report to ensure information was inclusive and reported accurately.

The focus group discussion guide was designed by research staff, with input provided by Probation. There were four areas of concentration in the focus group: the characteristics of the PRCS and MS population in relation to other adults under probation supervision, the effectiveness of utilizing EBP when supervising the PRCS and MS offenders, how staff were trained to carry out EBP and how it was monitored for quality assurance, and what challenges and benefits of EBP were apparent. All the questions and discussion were specific to EBP and its application with the PRO population and not the general probation population. A final copy of the discussion guide is included in Appendix B.

APPENDIX B: DISCUSSION GUIDE

EVIDENCE-BASED PRACTICE DISCUSSION GUIDE FOR PROBATION OFFICERS AUGUST 2014

Introduction

The San Diego County Probation Department has contracted with the San Diego Association of Governments (SANDAG) to conduct the evaluation for a Bureau of Justice Assistance-funded project, entitled *SMART Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities-San Diego County 2012*. As part of this evaluation, we are reaching out to Probation Officers who supervise with the PRCS and MS populations to learn how IBIS is being utilized and how it is working or not working in the supervision of this population. We want to learn about the strengths, challenges, and barriers you have experienced in implementing the practice-model elements.

We are conducting five focus groups around the region. The information you share today will be summarized and provided to Probation as part of the larger evaluation. Your name will not be included in the summary or associated with individual answers. Our goal is to protect your confidentiality to encourage an open and honest discussion.

Ground Rules

As your moderator, my role is to listen to you, ask questions, and ensure everyone is heard. To that end, I would like to go over some guidelines that should help the discussion go smoothly. We want to hear from each of you and I know some of you may be more comfortable speaking in groups than others. My role is to make sure all of you have an opportunity to share; so if you are sharing a lot I will probably ask you to let others share, and if you aren't sharing much I may ask your opinion. We have a very full agenda so I may interrupt if the conversation seems to be going off on a tangent or if there are many people who want to speak. Also, we expect there to be different perspectives, and while you may not agree with each other, please listen respectfully as others share their views and please do not counter or debate them. This is an information gathering session, so all perspectives are encouraged. Of course, please let's have just one person speaking at a time and no interrupting. I will make sure you all have a chance to be heard

Finally, SANDAG will take every step to maintain confidentiality and this expectation of privacy is also expected from you all. Please do not share what others have said in the focus group with colleagues, superiors, or other individuals outside of the focus group.

Does everyone agree to abide by these basic ground rules?

We are recording this session so we don't miss any valuable information. The recording will only be heard by SANDAG staff and your names will not be included in the final summary.

Introduction

Let's go around the table and have each of you introduce yourself. Please include how long you have worked at Probation, your current assignment and how you came by it (volunteered, reassigned), and how long you have been assigned to the PRO unit.

Level Of Training In EPB

5. First of all, are the PRCS and MS populations different than other probation populations that you have each worked with? (Probe: if yes, why or if no, how similar)
6. Please tell me about any training you received in EBP? (Probe: type, when, how much, who conducted)?
 - a. Was the training(s) helpful in your work with the PRCS and MS populations?
 - b. What type of ongoing training and support have you received to implement EBP? (Probe: supervision meetings, monthly division trainings)
 - c. Is there additional training that you would like to receive?
7. Do you feel the training(s) and support you received have adequately prepared you to use EBP with the PRCS and/or MS populations? (Probe: why or why not)
8. In comparison to what you learned in the trainings about EBP, how true to the supervision model do you believe you are able to implement it with this population? (Probe: partial because of non-compliance, fully...)

Effectiveness Of EBP

9. In your opinion, how useful is the EBP approach in working with the PCRS/MS populations? (Probe: doesn't work, improves PO's relationship with offender, it has already been tried)
10. What components of EBP do you find to be most effective? (Probe: assessment driven, motivational interviewing, incentive based)
 - a. Why are these effective?
11. What components of EBP do you find to be the least effective?
 - a. Why are these ineffective?
12. How helpful is the COMPAS in your work with probationers? (Probe: why or why not helpful?)
 - a. Do you utilize the COMPAS in your case planning? (Probe: how, how often)
 - b. Do you utilize EBP to assign supervision levels? (Probe: if so, is it an accurate assessment for this purpose)
 - c. What is the current protocol for assigning supervision level to a PRCS/MS offender?
13. How do you develop your case plan? (Probe: alone, in partnership with the probationers, based on the COMPAS, with input from other POs and/or supervisor)
 - a. How often do you revise the case plan?
 - b. Has EBP been helpful in how you create the case plan?
14. How has EBP shaped your interactions with the probationers you supervise? (Probe: communication, trust level, monitoring, fewer violations)

- a. Was this a change from how you were supervising?
15. How do you balance your dual role of enforcer and case manager required by EBP?
- a. What are some of the challenges?
 - b. Do you tend to rely on one role versus the other?
16. Do you use incentives and sanctions in your supervision with PRCS/MS offenders?
- a. If yes, can you elaborate on how you use each of them or if no, why you don't use them?
 - b. How useful are each in your supervision?
17. Do you use the community resource directory (CRD) when supervising your PRCS/MS offenders?
(Probe: if not, why not, how do you use it)
- a. How helpful is the CRD to making referrals to the community?
 - b. How could it be improved?
18. How do you ensure you are implementing EBP appropriately? (Probe: feedback from supervisor, enter into PCMS)

Benefits And Challenges Of EBP

19. What benefits have you seen or heard about from the use of EBP? (Probe: compliance, feedback from staff or probationers)
20. What have been the challenges in using EBP with the PRCS/MS populations? (Probe: lack of time with each probationer, too dangerous, not enough training, lack of services available to meet the unique needs of each offender)
- a. How have you addressed these challenges?
21. Are there additional supports you need to successfully address these challenges? (Probe: more training, more support from Probation, more resources)
22. Overall, how do you think your fellow POs feel about the usefulness of EBP?

Summary

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APPENDIX D

Fidelity Checklist Results

**Appendix D.1
Responses for All Tasks by Percentage**

	Missed All Opportunities	Working towards Proficiency	Proficient	Skill Mastery
COMMUNICATION SKILLS				
PO used "Role Clarification" skill to define rules, supervision and confidentiality	0%	25%	55%	20%
PO's non-verbal communication conveyed interest/respect	0%	0%	40%	60%
PO used open ended questions	0%	9%	57%	35%
PO used affirmations	0%	4%	61%	35%
PO used reflections	0%	5%	80%	15%
PO used summarizations	0%	9%	68%	23%
PLANNING SKILLS				
PO discussed goals according to criminogenic needs	0%	9%	65%	26%
PO explored offender's readiness/ambivalence towards change	0%	17%	72%	11%
PO was responsive to offender's life circumstances	0%	4%	56%	40%
PO was focused on offender's responsibility for change and encouraged problem solving	5%	9%	73%	14%
LINKING SKILLS				
PO used cognitive model/behavioral analysis/RACE to explore obstacles to engagement	0%	30%	50%	20%
PO asked offender to commit to services that address high risk behaviors	5%	0%	74%	21%
PO discussed service needs using case plan	0%	24%	41%	35%
PO linked needs to services using CRD	10%	10%	50%	30%

**Appendix D.1
Responses for All Tasks by Percentage (Cont.)**

	Missed All Opportunities	Working towards Proficiency	Proficient	Skill Mastery
MONITORING SKILLS				
PO acknowledged relapse triggers using cognitive model/behavioral analysis/RACE	11%	11%	56%	22%
PO used appropriate IBIS skills to address negative/positive choices	6%	11%	50%	33%
PO reminded offender of supervision conditions and explained incentives and consequences	0%	11%	56%	33%
PO delivered incentives/sanctions in a fair/swift manner according to policy	17%	8%	33%	42%
PO revised case plan as needed	31%	8%	38%	23%
FOLLOW-UP SKILLS				
PO discussed collaboration with the treatment provider regarding offender's progress	15%	8%	62%	15%
PO acknowledged progress toward case plan and thanked offender his/her efforts	22%	11%	33%	33%
PO obtained additional resources if needed	0%	29%	29%	43%
PO empowered offender's belief in his/her ability to succeed using praise	15%	0%	55%	30%
PO closed meeting with summarization of meeting, set new appointment, defined goals & responded to questions	0%	5%	33%	62%
Verified and updated case information and details of interview	6%	0%	67%	28%

SOURCE: SANDAG, 2014

Appendix D.2
HOW OFTEN SKILLS WERE RATED

Non-verbal communication conveyed interest/respect (C)	100%
Responsive to offender's life circumstances (P)	100%
Used open ended questions (C)	92%
Used affirmations (C)	92%
Discussed goals according to criminogenic needs (P)	92%
Used summarizations (C)	88%
Focused on offender's responsibility for change and encouraged problem solving (P)	88%
Closed meeting with summarization of meeting, set new appointment, defined goals & responded to questions (F)	84%
Used "Role Clarification" skill to define rules, supervision and confidentiality (C)	80%
Used reflections (C)	80%
Empowered offender's belief in his/her ability to succeed using praise (F)	80%
Asked offender to commit to services that address high risk behaviors (L)	76%
Explored offender's readiness/ambivalence towards change (P)	72%
Used appropriate IBIS skills to address negative/positive choices (M)	72%
Reminded offender of supervision conditions and explained incentives and consequences (M)	72%
Verified and updated case information and details of interview (F)	72%
Discussed service needs using case plan (L)	68%
Revised case plan as needed (M)	52%
Discussed collaboration with the treatment provider regarding offender's progress (F)	52%
Delivered incentives/sanctions in a fair/swift manner according to policy (M)	48%
Used cognitive model/behavioral analysis/RACE to explore obstacles to engagement (L)	40%
Linked needs to services using CRD (L)	40%
Acknowledged relapse triggers using cognitive model/behavioral analysis/RACE (M)	36%
Acknowledged progress toward case plan and thanked offender his/her efforts (F)	36%
Obtained additional resources if needed (F)	28%

SOURCE: SANDAG, 2014

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APPENDIX E

Quality Control Checklist

Type of Review (circle): SPO SrPO EBPOST	Date of Review:
Officer's Name:	Offender's PCMS#:
Reviewer's Name:	Risk Level (circle one): High Medium Low
Supervisor's Name:	Date of Probation Grant:
Regional Office:	Has officer completed IBIS training? Yes No
Start Time:	End Time:

I. Engagement/Assessment	Yes	No	Comments			
1. Introduced self or greeted offender in a confident and respectful manner	Yes	No				
2. Thanked him/her for being on time	Yes	No				
3. Organized and prepared with relevant service progress reports/updates, test results & meeting goals	Yes	No				
4 = Demonstrates skill mastery 3 = Proficient 2 = Working towards proficiency 1 = Missed all opportunities N/A = Not Applicable			Comments			
4. Used Role Clarification skill to define roles, supervision process, and confidentiality	4	3	2	1	N/A	
5. Non-verbal communication (posture, gestures & eye contact) conveyed interest & respect	4	3	2	1	N/A	
Used the following effective communication skills:						Comments
6. Open Ended Questions. Asked thoughtful open-ended questions & close-ended when necessary	4	3	2	1	N/A	
7. Affirmations. Used positive affirmations for pro-social behavior	4	3	2	1	N/A	
8. Reflections: Repeated/rephrased/paraphrased what the client said in his/her own words	4	3	2	1	N/A	
9. Summarizations. Captured key statements made by client (change talk, concerns, ambivalence and goals)	4	3	2	1	N/A	

Scale Definition	4 = Demonstrates skill mastery 3 = Proficient 2 = Working towards proficiency 1 = Missed all opportunities N/A = Not Applicable					
II. Planning:						Comments
10. Discussed potential goals with the offender’s input according to the client’s criminogenic risks and needs	4	3	2	1	N/A	
11. Explored offender’s readiness/ambivalence for change (using the Stages of Change model when applicable)	4	3	2	1	N/A	
12. Responsive to offender’s relevant life circumstances related to the case and expressed empathy	4	3	2	1	N/A	
13. Focused on offender’s responsibility for change by encouraging offender to problem solve and brainstorm	4	3	2	1	N/A	
III. Linking						Comments
14. Used the Cognitive Model/Behavioral Analysis/RACE to explore obstacles to engagement to resources using person/place/things triggers with the offender	4	3	2	1	N/A	
15. Asked the offender to commit to engaging with services that address the identified high risk situations/behaviors	4	3	2	1	N/A	
16. Discussed service needs based on the offender’s risk/needs/court orders using the case plan	4	3	2	1	N/A	
17. Linked needs to appropriate services using the CRD and provided the offender with service contact information	4	3	2	1	N/A	
IV. Monitoring:						Comments
18. Acknowledge relapse triggers using the Cognitive Model/Behavioral Analysis/RACE and assist in providing solutions to triggers	4	3	2	1	N/A	
19. Used appropriate IBIS skills in addressing negative and positive choices	4	3	2	1	N/A	
20. Reminded offender of conditions of supervision and explained incentives for positive behaviors and consequences for non-compliant behaviors	4	3	2	1	N/A	
21. Delivered incentives/sanctions in a fair/swift manner in response to compliance or noncompliance, according to department policy	4	3	2	1	N/A	
22. Revised case plan as needed to coordinate with the offender’s current/additional needs, using client’s input	4	3	2	1	N/A	

Scale Definition	4 = Demonstrates skill mastery 3 = Proficient 2 = Working towards proficiency 1 = Missed all opportunities N/A = Not Applicable					
23. Discussed collaboration with the treatment provider regarding the offender’s progress	4	3	2	1	N/A	
24. Acknowledged progress toward case plan tasks and goals and thanked him/her for his/her effort	4	3	2	1	N/A	
<u>V. Advocacy:</u>						Comments
25. Obtained additional resources, if needed, based on the client’s needs	4	3	2	1	N/A	
26. Empowered the offender’s belief in his/her ability to succeed using praise	4	3	2	1	N/A	
27. Closed meeting with summarization of meeting, set new appointment including next steps and clearly defined goals, and responded to any questions	4	3	2	1	N/A	
28. Verified & updated current case information (i.e.: address and employment) and details of interview in PCMS	4	3	2	1	N/A	
<u>VI. Feedback:</u>						
<ul style="list-style-type: none"> • Ask recipient if he/she ready for feedback • Ask recipient what things he/she did well • Tell the recipient what things he/she did well • Ask the recipient what he/she did that needs improvement • Tell the recipient what you observed that needs improvement • Check for the recipient’s understanding, summarize corrective strategies, and end with what was done correctly 						
<u>Notes:</u>						

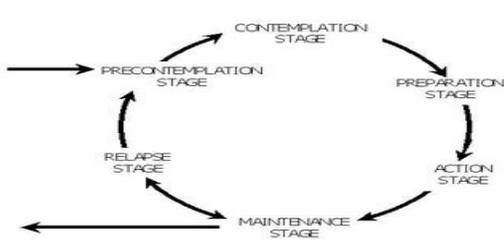
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APPENDIX F
Probation Case Management
Review Instrument

Case Management Review Instrument

2014

Type of Case Management Review: __ Supervisor __ Senior __ Smart	Has officer completed COMPAS training? Yes No	
Offender's Name:	Prob ID:	PO:
Date of Probation Grant:	Risk Level: High	Medium Low
Date of Review:	Reviewer's Name:	

Performance Measures	3 = Exceeds Standards 2 = Yes / Meets Standards 1 = No / Needs Improvement N/A = Not Applicable	Comments
1. All-Scales Assessment complete w/ criminogenic needs identified	3 2 1 N/A	
2. Case Plan has been generated, reviewed with and signed by offender	3 2 1 N/A	
3. The Case Plan includes a <u>goal</u> and <u>task</u> for at least one of the top 3 identified needs.	3 2 1 N/A	
4. Case Plan tasks are relevant to services & listed in the Community Resource Directory (CRD) for identified goals	3 2 1 N/A	
5. Case plan includes target dates for case plan goals	3 2 1 N/A	
6. Stage of Change addressed in case notes 	3 2 1 N/A	
7. PCMS Case Notes reflect regular discussions with offender regarding case plan	3 2 1 N/A	
8. PCMS Case Notes indicate officer provided mechanisms for offender to engage in long term pro-social support	3 2 1 N/A	
9. Incentives and Sanctions: Officer responded at earliest point to positive or negative behaviors	3 2 1 N/A	
10. Case Review: Documentation of progress toward case plan goals exists (e.g., record of discussion)	3 2 1 N/A	

Remarks:

Stage 1: Precontemplation (Not Ready)

People at this stage do not intend to start the healthy behavior in the near future (within 6 months), and may be unaware of the need to change. People here learn more about healthy behavior, they are encouraged to think about the pros of changing their behavior, and to feel emotions about the effects of their negative behavior on others.

Precontemplators typically underestimate the pros of changing, overestimate the cons, and often are not aware of making such mistakes.

One of the most effective steps that others can help with at this stage is to encourage them to become more mindful of their decision making and more conscious of the multiple benefits of changing an unhealthy behavior.

Stage 2: Contemplation (Getting Ready)

At this stage, participants are intending to start the healthy behavior within the next 6 months. While they are usually now more aware of the pros of changing, their cons are about equal to their Pros. This ambivalence about changing can cause them to keep putting off taking action.

People here learn about the kind of person they could be if they changed their behavior and learn more from people who behave in healthy ways.

Others can influence and help effectively at this stage by encouraging them to work at reducing the cons of changing their behavior.

Stage 3: Preparation (Ready)

People at this stage are ready to start taking action within the next 30 days. They take small steps that they believe can help them make the healthy behavior a part of their lives. For example, they tell their friends and family that they want to change their behavior.

People in this stage should be encouraged to seek support from friends they trust, tell people about their plan to change the way they act, and think about how they would feel if they behaved in a healthier way. Their number one concern is: when they act, will they fail? They learn that the better prepared they are, the more likely they are to keep progressing.

Stage 4: Action

People at this stage have changed their behavior within the last 6 months and need to work hard to keep moving ahead. These participants need to learn how to strengthen their commitments to change and to fight urges to slip back.

People in this stage progress by being taught techniques for keeping up their commitments such as substituting activities related to the unhealthy behavior with positive ones, rewarding themselves for taking steps toward changing, and avoiding people and situations that tempt them to behave in unhealthy ways.

Stage 5: Maintenance

People at this stage changed their behavior more than 6 months ago. It is important for people in this stage to be aware of situations that may tempt them to slip back into doing the unhealthy behavior—particularly stressful situations.

It is recommended that people in this stage seek support from and talk with people whom they trust, spend time with people who behave in healthy ways, and remember to engage in healthy activities to cope with stress instead of relying on unhealthy behavior.