

2019

Case Plan

Frequently Asked Questions

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Introduction

This *Frequently Asked Questions* resource was created in 2017 by the members of the Case Planning Committee of the Pennsylvania Council of Chief Juvenile Probation Officers. The purpose of the following pages is to provide best practice recommendations and resources to juvenile justice professionals to advance effective case planning practices.

The questions contained in this resource were generated from several sources, including Statewide conference calls with Case Plan Coordinators and surveys sent to juvenile probation departments across the Commonwealth. These initial questions, along with the answers generated by the Committee provided the framework around which this document was developed. This document should be used by probation administrators, case plan coaches, and probation officers to assist the progression of sound policy and practice related to the development of quality case plans for youth and families. This resource is intended to supplement other resources related to case planning, such as the *Case Plan Handbook* and the forthcoming *Case Plan Manual for Coaches*.

Recognizing the case planning process will continue to evolve, this document will be regularly updated and distributed by the Case Plan Committee.

Best Practice Suggestions

A. WHO GETS A CASE PLAN?

1. **Which juveniles should be excluded from having a case plan? Does a case plan need to be completed for low risk offenders?**

- All juveniles who receive an overall moderate, high or very high-risk level on the YLS/CMI 1.0 or 2.0 versions should have a case plan completed, with input from the juvenile and family. The focus should be on the prioritized two-three criminogenic needs identified in the YLS based and the skill deficits contributing to these prioritized criminogenic needs. * There may be times it is acceptable to have just 1 identified criminogenic need. This is primarily relevant for low risk youth.
- Juveniles who have an overall low risk level on the YLS/CMI 1.0 or 2.0 will be the exception, in that, juveniles who score at a low risk in ALL criminogenic need areas would not have a case plan completed. However, juveniles who have an overall low risk level but are moderate to high risk in any criminogenic need area shall have a case plan that focuses on reducing the risk level(s) within the specific, identified criminogenic need area(s). Typically, in these instances, one primary need is identified.
- Special consideration should be made for sex offenders. Please see other sections of this document related to this topic.

2. **If a case plan is developed when the juvenile is a moderate risk level and six months later the juvenile scores low on the YLS reassessment, should we continue to carry out the original case plan?**

Juveniles who have a case plan developed because he/she was initially assessed with an overall moderate, high, or very high-risk level but at time of reassessment have an overall risk reduction to low should complete the case plan(s) in progress. Once completed, the low risk juvenile would not have a case plan unless he/she scored moderate to high risk in any criminogenic need area.

3. **Are counties doing case plans for all levels of supervision including Informal Adjustments or just cases with the filing of a Juvenile Petition resulting in a Consent Decree or Formal Adjudication?**

Case plans should be completed for all levels of supervision; with the exception of youth who score low risk overall.

4. **We really struggle with the whole process of completing a YLS and case plan for juveniles who are granted a Consent Decree due to the limited time permitted for supervision.**

The length of a Consent Decree provides ample time to establish a case plan concentrating on the juvenile's prioritized top two-three criminogenic needs. Engaging the juvenile and family to develop goals, accompanied by SMART activities, should provide the juvenile with a guide for focused progress during the course of the Consent Decree.

5. Who is responsible to change and update the case plan of a juvenile with Courtesy supervision?

The home county should share the developed case plan with the county providing courtesy supervision. The supervising county is responsible for continuation and monitoring the progress of the case plan.

6. Is there a sexual offender specific case plan?

There is not a sexual offender specific case plan. The field case plan is recommended to be used for all juveniles, regardless of type of offense.

7. How do we create a case plan for a low risk, sexual offender?

In most cases, sex offenders will score a low risk on the YLS. The use of the psychosexual evaluation assesses the risk of the juvenile's likelihood to reoffend sexually from which offense specific recommendations will be developed; these recommendations along with the prioritized two-three criminogenic need area(s) from the YLS will be helpful in the development of a case plan.

8. How is the development of a case plan approached for youth in residential placement?

- It is critical to engage in the case planning process for youth who are in placement. This may or may not include sending the actual case plan to a placement or requiring that the actual case plan document be filled in while in placement. However, regardless of that decision, case planning and risk reduction principles should always be a focus while in placement even when the case plan document is not sent.
- Keep in mind that youth who are placed are often at significant risk to reoffend, and therefore, are in significant need of risk reduction interventions and activities. Arguably, youth in placement are the population most in need of a case plan. When a youth is removed from their home and placed in a residential program, communication with said program is critical at every stage, including the referral process.
- At time of referral, counties are asked to provide a residential program with a copy of the YLS/CMI in addition to other referral packet information. The county should offer the provider information on the overall risk level of the youth, skills they are working on, the prioritized criminogenic needs, and responsivity factors.
- In practice, counties may choose to provide the actual case plan document, which may look different than goals and activities outlined in a field-based plan. Counties may select to not provide the actual case plan document; however, counties should outline expectations for the provider based on goals established for the youth while in placement and based on the information outlined in the YLS/CMI.
- The steps in the case planning process may be unique for youth in placement. **If a county selects to send a case plan to placement**, below are several points to consider when developing policy related to the case planning for youth in placement:
 - When a youth is placed for *less than 30 days*, a Case Plan is not initially required. The assigned probation officer should develop the case plan following discharge.
 - When a youth is placed for *more than 30 days*, the probation officer will engage the youth and family in case planning by outlining the criminogenic needs, skill development areas,

- responsivity factors and the initial identified goals. Activities will be developed after the youth arrives in placement.
- When a youth is placed out of home for more than 30 days, the probation officer shall forward the partially developed case plan (criminogenic needs, skill development, and the initial identified goals) to the provider.
 - The probation officer shall work with provider staff to identify goals and activities that address the Balanced and Restorative Justice Principles; as well as, risk, need and responsivity factors. (Probation officers should make every effort to ensure that providers know the criminogenic needs and are addressing them while in placement).
 - The probation officer should make every attempt to participate at the Individual Service Plan/Master Case Plan Conference meetings at the placement. This will help ensure the complete development of the youth's case plan, as well as ensure a high degree of service alignment.
 - Policy should outline a time frame for the probation officer to update the case plan following discharge. This plan should include goal/activities established as part of aftercare planning.
- If a county **selects not to send a case plan** to a placement, in addition to ensuring that relevant YLS/CMI information is outlined in the referral packet the following additional considerations should be made:
- When a youth is placed for *less than 30 days*, a Case Plan is not initially required. The assigned probation officer should develop the case plan following discharge.
 - The probation officer shall work with provider staff to identify goals and activities that address the Balanced and Restorative Justice Principles; as well as, risk, need and responsivity factors. (Probation officers should make every effort to ensure that providers know the criminogenic needs and are addressing them while in placement).
 - The probation officer should make every attempt to participate at the Individual Service Plan/Master Case Plan Conference meetings at the placement. This will help ensure the complete development of the youth's case plan, as well as ensure a high degree of service alignment.
 - Policy should outline a time frame for the probation officer to update the case plan following discharge. This plan should include goal/activities established as part of aftercare planning.
 - Simply because a case plan is not sent or completed while a youth is in placement, the interventions and attention to risk reduction principles must still be a focus.

9. If case plans are not completed on low risk juveniles, should there be an exception if a low risk juvenile goes into placement?

If completing case plans for youth in placement, a case plan, consistent and supportive of the treatment plan, should be developed if a criminogenic need area scores moderate to high.

10. Are case plans updated during placement visits?

If a county selects to continue the case planning documentation process while in out of home care, the case plan should be updated during placement visits, similarly to how it would be updated outside of placement.

11. Should the case plan be shared with referral sources and the court?

Assessment results should always be shared with referral sources and providers. However, it is not recommended best practice to provide the court with the specific risk score, just the overall risk level. Best practice also suggests providing the prioritized areas or areas that are moderate or high. In terms of the case plan, the probation officer and the provider should work collaboratively, with each other and with the juvenile, to identify goals and activities that address the juvenile’s criminogenic needs whether this is included on the actual case plan document or not. The completion of activities, as well as progress towards goals should be shared with the court during review hearings.

12. Should there be a treatment plan from the provider and a case plan from juvenile probation at the same time?

- Treatment plans and case planning based on BARJ and risk reduction principles should be inclusive in one overall plan, when possible. This information does not have to be outlined on a field-based case plan but must be part of the overall treatment plan, ISP, or MCPC.
- The treatment plan of a community-based service can be incorporated into the case plan. Providers should be given the criminogenic needs of the identified risks from the YLS to establish their treatment plan. Collaboration between all parties is paramount. All provider monthly reports should represent the activities that the service provider has started, changed and/or completed.

B. CASE PLAN DEVELOPMENT

1. When is the initial case plan developed?

The initial case plan should be completed, with juvenile and family, within 30 days following the date supervision begins.

2. Who is writing the case plan, the probation officer who completes the YLS at intake or the probation officer assigned to supervise the juvenile?

Either position could share the assessment results to bridge the YLS and the case plan. The probation officer, assigned to the ongoing supervision of the juvenile’s case, should be the individual guiding the juvenile and family in creating the goal(s) and activity(s) of a case plan.

3. Do counties have a script to share on how the case plan is introduced to the family?

There are key elements that should be included when introducing the case plan to the juvenile and family: First, the purpose of the YLS assessment and the assessment results should be shared or reviewed, if not previously shared. Module 6 of the Supervisors EBP BriefCASE addresses sharing

assessment results, a video is included demonstrating how to share assessment results. Next, the development of a goal(s) and activity(s) should be explained as well as how the activity(s) can guide the juvenile toward the completion of the developed goal(s). The juvenile and family should have an integral part in creating and supporting the completion of the case plan. The probation officer should explain the case plan is a fluid document that will be changed and updated throughout the course of supervision in order to best meet the identified needs of the juvenile.

4. How do you handle if a parent refuses to sign a case plan regardless of the youth's age?

In the instances where a parent refuses to sign a case plan, your immediate supervisor should be notified. If the parent is refusing to sign, this should be documented on the case plan by stating "parent refused to sign" along with the date they refused, the assigned PO's initials, and the supervisors initials once they are notified. Probation Officers should make a continuous effort throughout supervision to obtain a signature. However, the PO should continue working on the case plan goals with the juvenile and attempt to engage the parents.

5. What does collaboration look like when developing a case plan?

Collaboration in developing a case plan should begin at the intake appointment, where the YLS and case plan is explained to the juvenile and family. Once the juvenile is assigned to a Community Based Probation Officer, the case plan should be discussed again at the initial appointment to obtaining buy-in from the juvenile and family. It is important to emphasize that the case plan is a fluid document that will be updated throughout their time on supervision. The PO should bring the family, juvenile, and any service providers together while developing case plan goals that target the top criminogenic need(s). The PO should lead the conversation, keeping in mind the top criminogenic areas of need. It is important for the PO to use their MI skills to assist the juvenile, family, and service providers in identifying goals, and the steps to achieve the goals that are established. If the juvenile is having trouble developing goals, some possible resources that can be used are; the goal setting sheet, skill development sheets, and Carey Guides: Case Planning or Your Guide to Success.

6. What does a probation officer do when a juvenile or family member wants to work on a goal that is not one of the top criminogenic needs?

Revisit the YLS assessment results with the juvenile and family, reiterating the prioritized two-three criminogenic needs. Explain how these criminogenic needs are dynamic risk factors which place the juvenile at an increased risk of future criminal behavior and how these factors can be included in a case plan, allowing for interventions, to reduce the juvenile's risk of recidivism (refer to Module 1 of the *Four Core Competencies Curriculum* for research findings). Ask the juvenile or family member to elaborate on their selected goal and activities. After giving them the opportunity to explain their point of view, the probation officer can reference the importance of focusing on a prioritized criminogenic need. The probation officer should respect the juveniles desire to focus on a criminogenic need that is not within the prioritized two-three criminogenic needs. Showing this mutual respect promotes rapport and is important for building professional alliance. The probation officer could suggest the development of a case plan with two goals, one selected by the juvenile and the other focusing on a prioritized

criminogenic need. Encourage the parents to be proactive to assist the juvenile in achieving his/her activities and goals.

7. How many goals should an effective case plan have?

The juvenile's needs, responsivity factors, potential barriers, stages of change, skill deficits and strengths should be taken into consideration when determining the number of goals. Developed goals and activities should be relatable to the prioritized 2– 3 criminogenic need(s) while realistic and attainable for the juvenile and family, if one of top 3 criminogenic needs identified include "Family Circumstances." Working on one goal is suggested but two-three goals could be created simultaneously based on the ability, motivation and willingness of the juvenile. At the time of goal completion, if length of supervision allows, another goal can be created. Keep in mind: that by addressing one of the top 3 criminogenic needs, that the 4th-8th criminogenic need may be reduced naturally.

8. Is it acceptable to combine two criminogenic needs on a case plan?

Yes, there are times in which two needs can be addressed by the same goal and activities. An example of this is a youth scoring moderate or high in Attitudes/Orientation and Peers. This youth may be referred to Thinking for a Change and a goal may be established that can address both of these needs. In this situation, you don't need two separate needs, but list both together and outline goals, skills and activities as you typically would.

9. Should the "Top Four" criminogenic needs be addressed first, even if "The Other Four" yield higher YLS scores?

Generally speaking, when any of the top four criminogenic needs are assessed as either moderate or high, they should be prioritized when developing the case plan. The identification of the driver should be considered, as this is critical, when identifying the criminogenic need of highest priority. When uncertain, probation officers should consult with their supervisor, a Case Plan Coordinator or YLS Trainer to discuss need prioritization.

10. What is the process for determining which criminogenic need to address in the event of a tie?

When determining the single most prioritized criminogenic need, refer to the ranking order of the top four criminogenic needs, as these criminogenic needs are more likely to contribute to recidivism. Also utilize the information gathered during the YLS interview, considering the imminent needs of the juvenile and responsivity factors. The ranking order of the top four criminogenic needs is as follows:

- Attitudes/Orientation (Antisocial Cognition)
- Personality Behavior (Antisocial Personality)
- Peer Relations (Antisocial Associates)
- Family Circumstances/Parenting (Family/Marital)

11. How many goals and activities should be focused on for each criminogenic need in a Case Plan?

Each case plan should be individualized and follow the best practice recommendations. In some instances, in order to meet the juvenile's needs, you may need to start with only one need and one goal and build upon that. One goal and the supportive activities should focus on each criminogenic need.

12. How many activities should be developed for each goal?

- One to three activities could be created simultaneously based on the ability, motivation and willingness of the juvenile. The purpose of the activities is to achieve the goal contributing to a reduction of risk for the prioritized criminogenic need. Probation officers should be cognizant not to overwhelm the juvenile with multiple activities but develop the activities, to build upon one another, as the juvenile progresses.
- Note: Keep in mind the programming youth are attending and the ability to utilize the same activities to achieve/complete the goal.

13. When, and if, is it appropriate to focus on one goal as opposed to two?

- When creating a case plan the probation officer's main focus should be on addressing the juvenile's top criminogenic need(s). Although the juvenile's top criminogenic need(s) are the primary focus when creating a case plan, their responsivity factors should not be overlooked. Acknowledging the juvenile's responsivity factors, especially when establishing goals, are important because it allows the probation officer to meet the juvenile at their level.
- Responsivity factors such as age, mental health, and trauma can play an important role when determining if one goal, as opposed to two, is appropriate. If one of these responsivity factors are prevalent, then the probation officer should use their discretion and consider only focusing on one goal. Other factors to take into consideration when developing case plan goals are the juvenile's stage of change as well as the juvenile's motivation to change. Depending on the juvenile's stage of change and motivation, the probation officer may consider just focusing on one goal. Also, during the initial case plan development, it is perfectly acceptable to focus on just one goal so long as it pertains to the correct criminogenic need. With that said, research is clear that the more criminogenic needs that are addressed throughout supervision, the more likelihood there is to reduce recidivism. Therefore, officers should be addressing multiple needs throughout supervision, even if they are only able to address one at a time.

14. Knowing the YLS is updated every 6 months, or with life changing events, how does it look if you are working on a goal, and another more pressing need is identified?

The higher need should be determined by stability factors and professional judgment. The addition of another goal should be determined by the juvenile's ability, motivation and willingness. This does not mean that you cannot continue to work on a previous active goal once the more pressing need is addressed.

15. With a YLS re-assessment, what if a more pressing need is identified and you are working on another need/goal? Should I stop working on that goal?

No, at this point, is it a good time to assess the motivation and ability of the juvenile to work toward the achievement of two goals or determine if one goal can be wrapped up before the development of a second goal. This will depend on the juvenile and where they are at in their stages of change. The addition of another goal should be determined by the juvenile's ability, motivation, and willingness. If the juvenile is able to work on two goals at the same time, then you can add the additional goal at this time. If a new YLS is completed as a result of a significant change in the juvenile's life, the risk levels within each criminogenic need should be re-evaluated to determine if the previous prioritized 2–3 criminogenic needs have changed. Keep in mind that the higher need should be determined by stability factors and the PO's professional judgment. If a case plan already exists, with one goal and at least one activity supporting the goal, at the time of the significant change another goal with activities could be developed specific to the new life event.

16. Do you stop working on the current goal even though it may no longer be identified as a major need?

A current goal should continue if the juvenile is engaged in the activity(s) and working toward goal achievement.

17. Do counties have a standardized list of goals under each criminogenic need or do probation officers develop them on their own, knowing the action steps would be different for each juvenile?

Some counties have provided officers with a list of suggested goals and activities to reference when developing case plans. The *Case Plan Handbook* and service matrixes would also be helpful. The development of goals and activities is not intended to be a standardized process, case plans are meant to be individualized.

18. How do you incorporate case planning into EPICS structured appointments?

- Reviewing goals and action steps is important part of the EPICS model. This is covered in the Review section of the EPICS model. When discussing goals, it is common for the client to express non-criminogenic or very broad goals they would like to achieve (e.g. play a professional sport, graduate high school, get off probation, etc.). These goals are often meaningful to the client and it is important for the probation officer to not disregard these goals; this can have an impact on client's motivation and professional alliance.
- The probation officer must possess the skills to assist the client in seeing how their criminogenic needs are impacting their ability to accomplish their broader/ non-criminogenic need goals. Often times their criminogenic needs and skill deficits are the barriers to achieving their broader goals. It's like peeling back the layers of an onion by using Motivational Interviewing (MI) skills elicit change talk and to delve into what's preventing them from achieving their larger goals. The probation officer must be able to help the client see the link between how their criminogenic needs are impacting their ability to achieve larger life goals such as graduating, getting off probation, etc.
- One tool that can be used to help assist in this process is the EPICS Goal Setting worksheet. On the Goal Setting sheet, the "Long-Term goal" is often the clients broader/ non-criminogenic goal. The

barriers or “What Could Get in Your Way from Accomplishing Your Goal” is often related to the client’s criminogenic needs and skill deficits. These skill deficits and risk-factors are what is preventing them from accomplishing their long-term goals.

- Once again, the probation officer must use their skills to help the client get past the surface, and dive deep into what is really getting in the way from accomplishing the long-term goal. The “Short-Term Goals” are going to be those criminogenic need goals that help them overcome their barriers/ risk-factors. These are the goals that the client and probation officer should be case planning and would be included on the Case Plan. The “Action Steps” section of this worksheet mirrors the Activities section of the Case Plan. These are going to be the concrete steps that the client should be taking in order to complete their goal.

19. Are there designated or suggested activities for lower functioning juveniles and/or different age groups?

- Designated or suggested activities have not been established because the case plan is meant to be individualized and to realistically fit the needs of each juvenile. Responsivity factors including, but not limited to, chronological age, developmental age and cognitive abilities should be identified and considered when developing a goal(s) and activity(s).

20. Why do SMART activities promote the juvenile being more successful in completing the activities/goals in the case plan?

- Activities that are Specific, Measurable, Attainable, Realistic/Relevant, and Time Bound will make a client’s goal achievable. If not listed in a SMART manner, they can often lead to frustration and disappointment when they are not achieved. If the activity is generalized it can make it difficult to measure the completion of the activity and often not show that any progress is being made. Also, if activities are not time bound it is too easy for them to end up not being accomplished.
- SMART activities help to clarify a client’s overall goal, use their time and effort effectively, increase their chances in completing their overall goal, and helps with a juvenile’s level of motivation. SMART goals are also a good way to keep a juvenile accountable to the case planning process.

Specific

When developing an activity be specific, answer the 5 “W” questions:

What do you want to accomplish?

Why is this activity important?

Who is involved?

Where is it located?

Which resources or limits are involved?

Measurable

A measurable goal should address questions such as:

How much?

How many?

How will I know when it is accomplished?

Achievable

An achievable activity should answer such questions as:
How can I accomplish this activity?
How realistic is the activity, based on other constraints?

Realistic/Relevant

A realistic activity can answer “yes” to these questions:
Does this seem worthwhile?
Is this the right time?
Does this match efforts and needs?

Time-Bound

A time-bound activity will usually answer these questions:
When?
What can I do today?
Can I complete this activity in the time specified?
Does the activity have a beginning and an end?

21. Should the interventions in the *Case Plan Handbook* replace Competency Development classes (lecture based) since evidence does not support their efficacy?

The *Case Plan Handbook* is a helpful tool that can be used to establish SMART goals and activities. Counties will have the creative freedom to use the interventions in the *Case Plan Handbook* and to develop their own list of activities based on the current resources within each county.

22. Should the intervention programs be more than the Carey Guides or service providers?

Yes, innovation is encouraged. The key is to help juveniles and families to develop a case plan which lends to “buy in” by the juvenile and their family members. Probation Officer’s should be creative and think on their feet when assist the family with the case planning process. Case Planning is not a scripted process and each Case Plan will be unique with different and creative goals and activities.

23. What do you do if your county is limited on services to provide or if your county does not have enough juvenile offenders that scored medium to high on the YLS to conduct group cognitive behavior intervention programs (such as T4C)?

Individual interventions can have risk reduction value. Many case plan goals and activities can be created and executed, without service providers or cognitive behavior intervention programs, if probation officers have the proper training in engagement techniques and have developed their skills. These engagement techniques could include motivational interviewing and many of the JJSES Stage 3 activities.

24. How are counties incorporating standard conditions? Is there a separate document or just a court order?

Standard conditions are viewed as the non-negotiables in a juvenile’s case while the activities included in the case plan are considered negotiables. Standard conditions should not be included in the case plan

unless they are interventions/services used to create an activity. Some counties choose to use a separate document to outline the standard conditions of supervision while others choose to utilize the court order.

25. How do you incorporate the case plan in the standard terms and conditions of probation?

- The standard conditions of supervision could indicate that the juvenile would not be violated as a result of the case plan but would be expected to work toward establishing and achieving the developed goals and activities. It is also an important reminder Case Plans are not to include goals which restate the standard terms and conditions of probation.

Example: You will be expected to work toward establishing and achieving your goal(s) as outlined in your case plan. You further understand that the case plan goal(s) and activity(s) may be modified during the course of your supervision.

- It should be noted that violations of probation or revocations of Consent Decrees are not in any way based on a juvenile’s failure to achieve a self-created goal as a part of the Case Plan. This allows us to separate the treatment focus of the Case Plan from the law enforcement focus of the terms and conditions of probation.

26. Should compliance be court ordered?

Cooperation is encouraged in the probation conditions but not in a court order. Awareness of the juvenile’s stage of change is important in the development of an attainable goal(s) and activity(s). Case plans are intended to be living documents, developing as the juvenile’s motivation, toward goal achievement. Lack of progress may result in an activity being removed and the development of a more realistic and attainable activity. This would be no different than court ordering an individual to participate in any treatment focused programming.

C. CASE PLANNING AND SUPERVISION

1. When is it ok to put homework on a Case Plan?

Homework can be listed as an activity on the case plan as long as it will directly lead your client toward their established goal. You do not need to solely list interventions as an activity. Activities that are assigned for homework that reinforce the skill taught in session are appropriate to put on the Case Plan. Remember that the skills, tools, and interventions we teach in session are reinforced in homework. Therefore, it is appropriate to put homework on a Case Plan when we are working to reinforce a skill that will help ultimately help the juvenile reach their goal. Keep in mind, that activities completed in session should not be listed on the case plan. The activities assigned for homework, that build towards the competition of a goal are key to successful case planning.

2. How do I use the Skill Development Sheets?

- Once you have selected the appropriate need(s) based upon the YLS, select the Skill Development Sheet(s) that relates to the need(s). It is acceptable to begin by working on one identified need, generally the driver, to address in a case plan. When you meet with the youth, present or read, depending on client's reading ability, the Skill Development Sheet and have them check off the areas that they see as important for them to work on. Remember to relate this back to the areas that are checked off under that need/domain in the YLS.
- The Probation Officer should use Motivational Interviewing during this discussion (and throughout their interactions with the client) to get the client's opinion on their deficits. A client may have multiple deficits under one need. The Probation Officer should work with the youth and the family to select one skill development to begin working on. From there, collaboratively develop one goal and one skill within that goal to address with the client. Once the client has made some progress in that need area, you should incrementally and collaboratively add activities to the case plan using YLS and related Skill Development Sheets.

3. How do I use the Case Plan Handbook when doing case planning with a youth and his/her family?

- The Case Plan Handbook is a resource for the Probation Officer to use, prior to meeting with the client, to develop ideas for the case plan. This handbook has ideas for goals and skills as well as activities, homework ideas, tools, and programs to address a specific need on the YLS. However, since the case plan is developed collaboratively with the youth and the family, this book is used to prepare the Probation Officer for the meeting about the development of the case plan. It is not used by the Probation Officer to develop the case plan outside of that collaborative interaction with the family. In order for all parties to have buy-in to the case plan, all parties should develop the case plan.
- Prior to the case planning appointment, the Probation Officer should review the YLS and Case Plan Handbook for ideas on goals, skills, and activities. The officer can make note of these ideas on the Pre-Planning Sheet in preparation for the meeting. When meeting with the family, the Probation Officer should begin by reviewing the results of the YLS again as this can lead into case planning and will create discussion on how all can work together for the betterment of the youth.

4. Are people documenting the use of graduated responses on the case plan? How do you connect incentives to the case plan goals and activities?

- A critical component of risk reduction work is responding effectively to both positive and negative behavior as well as incentivizing positive behavior and progress. The use of rewards and responses are best handled through concrete Graduated Responses policy and procedure. We suggest referring to the *Guiding Principles and Protocol Development* document prepared by the Graduated Responses Workgroup for more information. Additional resources are available in Module 17 of the *Supervisors EBP BriefCASE* which addresses the use of rewards and sanctions to encourage prosocial behavior and Module 18 of the *Supervisors EBP BriefCASE* which addresses effective responses to noncompliant behavior.

5. What role do responsivity factors play in the case plan?

- Responsivity factors such as trauma, mental health, IQ, age, gender, and cultural identity, play a role in case planning, from initial development of a case plan through its progression during supervision. While responsivity factors may not alter the goal(s) identified in the case plan, it is important to note that the **Responsivity Principle** suggests that risk reductions efforts are improved by:
 - matching interventions to a youth's individual characteristics,
 - matching probation officers to youth,
 - using intervention strategies that have been shown in the literature to be effective with youthful offenders.
- Current research related to responsivity also suggests that juvenile justice professionals have an obligation to create a *learning environment* that is conducive to engagement, skill development, retention, and successful completion of interventions/services. Given this, skills related to the development of a professional alliance and the use of motivational interviewing are important to practice of case planning.
- Clearly, the goal of case planning is to apply information gathered during the risk assessment process to strategies aimed at reducing a youth's risk to reoffend. The consideration of responsivity factors ensures that juvenile justice professionals attend to the dynamics of *how* a youth may respond best to interventions and services.
- In more complex cases, it is important to consider the severity of responsivity issues such as mental health and/or trauma reactions. In these cases, juvenile justice professionals (often with supervisory guidance) must carefully evaluate whether the current manifestation of a youth's responsivity factors renders work on a youth's criminogenic needs to be counterproductive. If so, it's critical to address/stabilize these acute responsivity factors (mental health, trauma reactions, etc.) before engaging the youth in traditional delinquency-related interventions. Furthermore, after stabilized, continued attention to responsivity is essential.

D. PROGRESS OF A CASE PLAN

1. How often is the case plan reviewed with the juvenile and the family?

The case plan is reviewed with the juvenile a minimum of every 30 days. It is suggested this review take place during a scheduled, structured session. Reviewing the case plan gives the probation officer opportunities to work on skill practice and create teachable moments. It is important to note there will be some circumstances in which the case plan will not be reviewed with the juvenile, at a scheduled session, if an extenuating circumstance arises. The case plan is reviewed with the family every time a goal is added or updated or at minimum of every 30 days. The purpose of this review is to promote and encourage family engagement. If the juvenile's YLS score changes or there is a life changing event, during the 30 days between reviews, the case plan should be reviewed with the juvenile and family members prior to further progress.

2. Will we try to keep motivational interviewing readiness for change talk as part of a case plan?

At this point, motivational interviewing and readiness for change is not a distinct part of the case plan but is important to effective case planning. Activities for a juvenile in the pre-contemplative stage should focus on establishing discrepancies and building motivation to change. The probation officer's use of motivational interviewing and understanding the stages of change is critical for good case management and effective behavior change work (reference JJSES Stage 2 and 3 activities).

3. If a youth is not completing their case plan activities month after month what is the best method, we can use to change this around?

Effective case planning should involve a level of creativity and flexibility so a probation officer can meet with the juvenile where they currently are. The probation officer working with the juvenile should know the juvenile and their family best and should be able to motivate them based on their individual needs and abilities as a family system. At this point, motivational interviewing and stages of change are not a part of the case plan but both concepts are important tools to engage a juvenile where they currently are in regards to their goals and activities. Additionally, officer should utilize incentives, rewards, and sanctions (i.e. graduated responses system). Officers should be discussing individualized incentives, rewards, and sanctions with their juveniles and families to determine what would motivate the juvenile. These discussions regarding graduated responses should start during the beginning phases and should be regularly reassessed throughout supervision. Officers can utilize the Carey Guide Rewards and Sanctions to help structure these conversations with the juveniles and their families.

4. How do you deal with non-compliance with goals and/or activities?

- The terms compliance and non-compliance are more easily aligned with standard probation conditions that are viewed as non-negotiable and connected to court ordered consequences if not completed. The case plan is meant to be viewed as a document that has the ability to change during a juvenile's supervision period. The case plan will ebb and flow based on a juvenile's motivation and readiness for change as it relates to a specific goal. For response to non-compliance to be most effective, they should be certain, swift., targeted, proportionate and fair. Please refer to Graduated Response Systems Guiding Principles and Protocol Development (pgs. 3-4) which can be found on the PCCJPO website at:
https://www.pachiefprobationofficers.org/docs/GR_Guiding_Principles_and_Protocol_Development.pdf
- Lack of forward movement on a goal and/or activity may result in the need to reassess the goal/activities included in the case plan, and possibly look to remove or reorder a goal/activity and the development of a more realistic and attainable goal/activity. Keep in mind that any new goal and/or activity established should still be in line with the top criminogenic needs of the YLS. An example could be a juvenile not working on a goal focused on Anger Management (Personality/Behavior – ART, CG's, etc.) but we find out that he has posting pictures on social media with known gang members and is throwing up gang signs. This is a good time to address Peers or Attitudes/Orientation depending on the specific case. Maybe the willingness to work on anger is where he was at in the beginning of

supervision but now the driver seems to be in one of the other two categories. Continue all efforts to make sure the juvenile and family know you are still directing all efforts on a criminogenic need(s) even as they change.

5. Where is the case plan reviewed, in the home or more secure environment? Taking a lot of material into a home could be seen as a safety risk.

A case plan can be reviewed in any setting that provides the probation officer security while being aware of the juvenile's confidentiality.

6. How often are case plans adjusted/completed after the initial is completed?

The case plan should be revised if the goal(s) and/or activity(s) have been determined unattainable or there is a need to add an additional goal or activity(s) to the case plan. When adjusting or adding a goal or activity, the prioritized two-three criminogenic needs should remain the focus of the case plan. It is good practice to provide the family with a copy of an updated case plan. Case planning is not meant to be a quick process. The case plan should be completed when the goal(s) and supporting activities have been completed or at the close of supervision.

7. Should the case plan be automatically adjusted when there is a significant change in the juvenile's life?

If a new YLS is completed as a result of a significant change in the juvenile's life the risk levels, within each criminogenic need, should be reevaluated to determine if the prioritized two – three criminogenic needs have changed. If a case plan exists, with one goal and activities supporting the goal, at the time of the significant change another goal with activities could be developed specific to the life event. Assess the motivation and ability of the juvenile to work toward the achievement of two goals prior to the development of a second goal.

8. What is an appropriate length of time for the "Target Date"?

In order for goals to be measurable and have a sense of urgency a time frame should be tethered to each goal. The length of time for a "target date" needs to be realistic and should be set based on the complexity of a goal's achievement. It is also important to note that goals can be short term and long term once again making the selection of the "target date" important so the juvenile has sufficient time to achieve the goal.

9. Who determines if there is sufficient amount of progress on the goals?

The determination of the amount of progress made on a goal should be a collaborative process between the probation officer, the juvenile and their family. This process should include a realistic discussion about the ability or willingness to complete goals which will in turn help to gauge a juvenile's progress on a specific goal. Local department policy should assist the probation officer with outlining the different sections of the progress scale and what appropriate or lack of progress looks like within each section of the progress scale.

10. If a youth is not completing their case plan activities month after month what is the best method, we can use to change this around?

Effective case planning should involve a level of creativity and flexibility so a probation officer can meet with the juvenile where they currently are. The probation officer working with the juvenile should know the juvenile and their family best and should be able to motivate them based on their individual needs and abilities as a family system. At this point motivational interviewing and stages of change are not a part of the case plan but both concepts are important tools to engage a juvenile where they currently are in regards to their problems and goals.

11. How do you deal with non-compliance with goals?

The terms compliance and non-compliance are more easily aligned with standard probation conditions that are viewed as non-negotiable and connected to court ordered consequences if not completed. The case plans are meant to be viewed as documents that have the ability to change during a juvenile's supervision period. The case plan will ebb and flow based on a juvenile's motivation and readiness for change as it relates to a specific goal. Lack of forward movement on a goal may result in the need to readdress the goals included in the case plan, and possibly looking to remove or reorder a goal(s) and the development of a more realistic and attainable goal. MOVE it

12. How do we know when a case plan is ready to be closed out?

A case plan is typically ready to be closed out when all activities have been completed. Remember that the activities established during the juvenile's supervision have been based on criminogenic needs and skill deficits. As a juvenile's overall risk level goes down so will their need for new goals and activities. Typically, case plans will be closed when the juvenile's case is closed.

13. How will the case plan be closed out in JCMS?

Since the field-based case plan will be electronic and/or on a hard copy, as well as dynamic, at the time of case closing all case plans (historical and final) should be uploaded into the documents section of JCMS. This may be dependent on county policy.

14. What does the JPO do with the juvenile/family for case plan closing?

The probation officer should review, with the juvenile and family, all historical and final case plan goals. The probation officer shall also ensure that each activity has a completion date and provide a copy to the juvenile and family if so desired.

15. What is the role of the supervisor at case plan closing?

At the time of case closing, it is best practice that the supervisor reviews the completed (and historical) case plan for the juvenile before approving case to be closed.

E. QUALITY ASSURANCE AND CONTINUOUS QUALITY IMPROVEMENT

1. How do you actually do Quality Assurance on Case Plans?

There is no single way to implement a Case Planning Quality Assurance process within your County. While some counties may use elaborate databases to analyze performance data, others may only want to track a small number of data points. The key is to determine what aspects of case planning are most important to your county, and slowly begin to collect some data in those areas. The information you collect can help determine areas where probation officers may need some additional training or skill building.

2. What do we do with the Case Plan QA data we are collecting?

- This is the point where we begin to move from QA (Was it done?) to CQI (How well was it done and how can we do better?). Whether you are entering your data on a MS Excel spreadsheet or into a MS Access database, you will be able to see areas where probation officers may be doing very well and, conversely, areas where there's a need for improvement. By tracking and analyzing the data you collect, counties will have the ability to hone in on those areas of need and implement precision skills trainings and boosters to improve Probation Officer performance around case planning.
- Below is an example of a database in MS Access that collects Probation Officer "Proficiency" data for Case Plans, YLS assessments, and EPICS performance. This database allows for reports to be run showing detailed and specific areas where PO's are struggling, as well as where they are excelling. While this is taking QA/CQI to the extreme, it is just an example of precision performance analytics within a Juvenile Probation Department.

Community Based Case Plan Review Proficiency Report													Showing Records From: 1/1/2019 To 12/31/2019	
Probation Officer	60-Day Proficiency Score	120-Day Proficiency Score	Process Adherence Proficiency Score	Need Identification Proficiency Score	Goal Development Proficiency Score	Skill Establishment Proficiency Score	Activity Linking Proficiency Score	S.M.A.R.T. Language Proficiency Score	Service Matching Proficiency Score	Responsivity Proficiency Score	Goal #1 Proficiency Score	Goal #2 Proficiency Score	Additional Goal Proficiency Score	
[Redacted]	100.00%	N/A	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	100.00%	100.00%	100.00%	N/A	
[Redacted]	100.00%	N/A	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	
[Redacted]	98.75%	89.68%	94.12%	100.00%	100.00%	100.00%	91.67%	92.50%	87.50%	100.00%	100.00%	92.00%	50.00%	
[Redacted]	100.00%	94.79%	100.00%	100.00%	90.00%	100.00%	91.67%	100.00%	100.00%	100.00%	100.00%	100.00%	88.10%	
[Redacted]	100.00%	N/A	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	
[Redacted]	100.00%	94.44%	100.00%	100.00%	100.00%	100.00%	83.33%	100.00%	100.00%	100.00%	100.00%	N/A	N/A	
[Redacted]	96.43%	100.00%	100.00%	100.00%	87.50%	100.00%	100.00%	100.00%	100.00%	100.00%	94.44%	100.00%	N/A	
[Redacted]	66.36%	N/A	33.33%	100.00%	75.00%	100.00%	100.00%	80.00%	0.00%	100.00%	71.67%	N/A	N/A	
[Redacted]	100.00%	N/A	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	N/A	
[Redacted]	81.48%	N/A	50.00%	100.00%	87.50%	100.00%	50.00%	100.00%	100.00%	100.00%	91.67%	71.43%	N/A	
[Redacted]	100.00%	96.30%	93.33%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	
[Redacted]	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	
[Redacted]	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	
[Redacted]	100.00%	N/A	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	N/A	
[Redacted]	95.00%	88.89%	100.00%	100.00%	75.00%	100.00%	66.67%	100.00%	100.00%	100.00%	93.75%	N/A	N/A	
[Redacted]	100.00%	81.48%	85.71%	100.00%	100.00%	100.00%	77.78%	100.00%	100.00%	100.00%	97.92%	N/A	N/A	
[Redacted]	100.00%	97.67%	94.74%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	
[Redacted]	95.45%	94.12%	92.31%	100.00%	75.00%	100.00%	100.00%	100.00%	100.00%	100.00%	94.44%	N/A	N/A	
[Redacted]	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	N/A	

Probation Officer names in blue font do not have any 120-day feedback data entered. Their average proficiency scores only include 60-day data.

Wednesday, August 28, 2019

This is an example of a report showing the results of the 60-Day and 120-Day Case Plan Review forms compiled in a way that allows for reader to see areas where PO's are struggling.

60-Day Case Plan Review Departmental Proficiency

Number of Case Plans Reviewed: 19

		EA	NI	NM
1. Was the initial Case Plan developed within 45 days of the first appointment?.....	89.47%	17	0	2
2. Did the juvenile sign the Case Plan?.....	100.00%	19	0	0
3. Did the parent/guardian sign the Case Plan?.....	94.44%	17	0	1
4. Were the appropriate needs identified on the Case Plan based on the YLS?.....	100.00%	19	0	0
5. Has goal #1 been established and linked to the identified need?.....	97.37%	18	1	0
6. How well was goal #1 written?.....	89.47%	15	4	0
7. Has goal #2 been established and linked to the identified need?.....	100.00%	10	0	0
8. How well was goal #2 written?.....	100.00%	10	0	0
9. Has a skill been established and linked to the identified need for?				
Goal #1	100.00%	19	0	0
Goal #2	100.00%	10	0	0
10. How well does the skill help to achieve the goal?				
Goal #1	100.00%	19	0	0
Goal #2	100.00%	9	0	0
11. Regarding goal #1, how well do the activities link to the?				
Needs	100.00%	19	0	0
Goal	100.00%	19	0	0
Skill Development	100.00%	19	0	0
12. Regarding goal #2, how well do the activities link to the?				
Needs	87.50%	7	0	1
Goal	87.50%	7	0	1
Skill Development	87.50%	7	0	1
13. Are the activities developed in a SMART manner for goal #1?				
Specific	97.37%	18	1	0
Measurable	97.37%	18	1	0
Attainable	100.00%	19	0	0
Realistic	100.00%	19	0	0
Time Limited	100.00%	19	0	0
14. Are the activities developed in a SMART manner for goal #2?				
Specific	100.00%	7	0	0
Measurable	85.71%	6	0	1
Attainable	100.00%	7	0	0
Realistic	100.00%	7	0	0
Time Limited	100.00%	7	0	0
15. How well were the interventions/tools/services matched to identified needs?				
Goal #1	92.86%	13	0	1
16. How well were the interventions/tools/services matched to identified needs?				
Goal #2	100.00%	3	0	0
17. Was the Case Plan completed in a developmentally appropriate/client-friendly way?.....	100.00%	19	0	0

This is an example of a report showing the department's overall scoring results of the 60-Day Case Plan Review forms.

3. What is the quality assurance role of supervisors?

Supervisors have an important role to play in the creation, implementation and completion of a juvenile's case plan. A supervisor needs to ensure that the probation officer is engaging in collaboration with the juvenile and their family when creating the case plan. The use of collaboration is something that can only be sustained by constant reinforcement during supervision. Supervisors should also be focusing on the goal selection in connection with risk/needs identified on the YLS. A supervisor will want to know: *Is a juvenile's progress toward the completion of a goal also resulting in the reduction of risk/need in the juvenile's highest, or prioritized, YLS domain(s)?* Supervisors should also be focusing on the targeted dates of goal completion in regards to the appropriate amount of time to complete the goal: *Are probation officers timely in regards to making changes/updates to case plans in relation to shifts in a juvenile's risks/needs?* Supervisors should also be focusing time during supervision on available trainings or currently used skill sets within the department that can assist a probation officer with better case planning (motivational interviewing, case planning handbook, Four Core Competencies, EBP Briefcase etc.).

4. How do you outline expectations for supervisors to review the plan and discuss with the JPO?

In order for a case plan to be effective it needs to be collaborative, timely and relevant to a juvenile's current situation in regards to problems or issues, which in most circumstances should connect to the juvenile's YLS. A department should be thinking about these core concepts when creating a formalized review process of probation officers in regards to the case plan. Departments can look to The Assessment/Case Planning Committee for guidance as more information becomes available on what individual counties are doing around the state with supervision of case plan creation and oversight.

5. How do we keep good statistics on the case plan if using the field version outside of JCMS?

The Assessment/Case Planning Committee is currently working with the Stage 4 Data Workgroup, as well as the CJJT&R on the development of a plan for the collection of data related to case planning goals and activities.

6. Will JCJC offer case plan 101 training to line staff? And if so, then a case plan format should be standardized and offered to all counties. It would be nice to add this to new P.O. training.

The Assessment/Case Planning Committee will work collaboratively with JCJC to develop a series of short training clinics to support staff development around Case Planning skills. These clinics will most likely be offered in an online modality. These clinics will provide additional support and consistency to PA's Case Plan support infrastructure. The Four Core Competencies is offered at Orientation for the New Juvenile Justice Professional.

7. Are specific trainings necessary to begin using those interventions or can Probation Officers begin working with clients on some of these topics by accessing them through the links provided in the handbook?

There should be an Initial Case Plan Creation Training, Webinar, or Internal Training to support proper case plan creation.

8. How do we learn to link the YLS to the case plan?

Understanding how to link the information from a juvenile's YLS to the case plan begins with probation officers becoming conversant in the foundations of evidence-based practices. This is accomplished through the *EBP 101 Curriculum*. Next, probation officers learn the basics of case planning during the *Four Core Competencies Curriculum* and ongoing booster activities such as the *Supervisors EBP Briefcase*.

Lastly, the details around the skills of properly matching of interventions/services and identifying the prioritized criminogenic need areas and the driver can be introduced, practiced and reinforced through ongoing training. This ongoing training can include the use of the *Case Plan Handbook* and the *Supervisor's EBP BriefCASE*. It is important to note that training on case planning skills cannot be a "once and done" activity. Many of the skills associated with evidence-based practices require ongoing coaching and practice.

9. Is there training to better understanding skill deficits and writing good case plans (goals and activities)?

Training on the understanding of skill deficits and writing good case plans begins with Officers becoming conversant in the foundations of evidence-based practices. This is accomplished through the *EBP 101 Curriculum*, as well as through on-going boosters (ex. Through the use of the *Supervisors EBP Briefcase*). Next, Officers learn the basics of Case Planning via the *Four Core Competencies Curriculum*. Finally, the details around understanding skill deficits and the writing of good case plans can be introduced, practiced and reinforced through ongoing training on the use of the *Case Plan Handbook*. Module 7 of the *Supervisors EBP BriefCASE* address driver identification. It is important to note that training on case planning skills cannot be a "once and done" activity. Many of the skills associated with evidence-based practices require ongoing coaching and practice.

10. Understanding proper matching of interventions/ services based on the YLS for development of the case plan

Training on the understanding of proper matching of interventions/ services based on the YLS begins with Officers becoming conversant in the foundations of evidence-based practices. This is accomplished through the *EBP 101 Curriculum*, as well as through on-going boosters (ex. Through the use of the *Supervisors EBP Briefcase*). Next, Officers learn the basics of Case Planning via the *Four Core Competencies Curriculum*. Finally, the details around proper matching of interventions/ services based on the YLS can be introduced, practiced and reinforced through ongoing training on the use of the *Case Plan Handbook*. It is important to note that training on case planning skills cannot be a "once and done" activity. Many of the skills associated with evidence-based practices require ongoing coaching and practice.

11. What are some resources available to help advance probation officer's competencies with the measurement of activities?

- There are several resources that offer assistance with responding to the needs of Attitudes/Orientation and Personality/Behavior. Among these resources are: *The Carey Guides*, *The Supervisors EBP BriefCASE*, *Four Core Competencies*, and *The Case Plan Handbook*. These needs cannot be overlooked as they are two of the top four criminogenic needs.
- In order to advance probation officer comfort and competency around the measurement of activities, staff must receive training and practice writing SMART activities. When written in SMART format, measurement of progress toward an activity is intuitive.

12. Will there be policy development guidance?

- A policy writing checklist and suggested policies for reference have been included in the appendix. Training on case plan policy development can be accessed via the *Case Plan Webinar* which will be available through Articulate.

13. What are suggestions for the definition, purpose and procedures of a case plan policy?

- **Definition** - “Case plans are written documents that articulate goals and activities that are to be completed during a period of an offender’s supervision. Supervision levels, services, and interventions that are attentive to the principles of Balanced and Restorative Justice are fundamental to the development of case plans in the Commonwealth” (JJSES Implementation Manual).
- **Purpose** - “The case planning process focuses upon addressing identified risk factors, emphasizing strengths, identifying triggers, and customizing approaches based on the unique characteristics or responsivity factors of the youth” (JJSES Implementation Manual).
- **Procedures** – “Staff will demonstrate an understanding of matching identified criminogenic risks/needs with appropriate interventions, engaging families in the assessment process, the components of an effective case plan, and using a SMART process in developing case plans” (JJSES Implementation Manual).

14. How do we emphasize to the probation officer, through policy, that the case plan is a “living document” - it’s not just done initially, signed and put away?

- The case plan is be used throughout supervision to keep priorities current, as well as to track progress toward meeting risk reduction goals. Updating and dynamic case management should be highlighted and detailed in a county’s case plan policy. Module 10 of the Supervisor EBP BriefCASE addresses understanding the key components of effective case planning and management.

Appendix

Attached Resources

- Policy Development Checklist
- Letter to Parent/Guardian
- Skill Deficit Examples
- Skill Development Examples
- Case Plan Booster Activity Instructions

Additional Resource Handouts

- Case Plan
 - English and Spanish
- Case Plan Policies
 - Allegheny, Lehigh, McKean and Westmoreland Counties

Internet Based Resources

YLS/Case Plan Bench Card

<http://www.jcic.pa.gov/Publications/Documents/JJSES/Youth%20Level%20of%20Service%20and%20Case%20Plan%20%E2%80%93%20Bench%20Card.pdf>

JJSES Framework

<http://www.jcic.pa.gov/Publications/Documents/JJSES/PA%20JJSES%20Framework.pdf>

Case Planning Handbook – YLS/CMI Version

<http://www.jcic.pa.gov/Publications/Documents/JJSES/Case%20Planning%20Handbook%20%E2%80%93%20YLS%20CMI%20Version.pdf>

Quality Case Planning Participant Guide

<http://www.jcic.pa.gov/Publications/Documents/JJSES/Quality%20Case%20Planning%20Participant%20Guide.pdf>

Case Plan Policy Development Checklist

- Definition
- Purpose
- Procedures
 - Establish Expectations Outlining What Risk Levels Receive A Case Plan
 - Initial Development of a Case Plan
 - Timeframe for Completion
 - Integration of Results from the YLS
 - Identification of Drivers and Skill Deficits
 - Inclusion of Strengths, Triggers and Stages of Change
 - Use of Goals and Activities (SMART)
 - Family Engagement
 - Updating a Case Plan
 - Frequency of Progress Assessment and Scoring
 - Closing a Case Plan
 - Case Planning During Placement
 - Training Requirements
 - Initial and Booster Trainings
 - Supportive Resources
 - Role of the Case Plan Coordinator
 - Supervisory Review

Dear Parent or Guardian,

RE: CASE PLAN

Enclosed you will find a Case Plan that has been developed based on an assessment of your child's needs, risks and strengths.

The purpose of the Case Plan is to outline a set of obligations and activities that are designed for specific reasons: 1) to protect the community, 2) to hold your son/daughter accountable for the offense(s) they committed and 3) to help your child acquire skills that will assist them in becoming a productive citizen.

We encourage you and your child to provide input into the future development of this Plan. It may be necessary to amend it at various times of your child's involvement with Juvenile Court. During his/her period of probation/supervision, your child's needs, risks and strengths may change which will drive the amendment. You are encouraged to keep an open dialogue with the probation officer assigned in an attempt to keep the Case Plan as meaningful as possible. Please note that the Case Plan will also consider the needs of the victim(s) and the community.

Please note that you may at any time request a hard copy of an updated Case Plan from your child's probation officer.

Sincerely,

Westmoreland County
Juvenile Probation Department

Enclosure

Skill Deficit Examples

- Problem Solving
- Moral Reasoning
- Controlling emotions
- Dealing with anger
- Resisting peer pressure
- Developing empathy
- Reducing impulsivity
- Asking for help
- Starting a conversation
- Saying thank you
- Introducing yourself
- Giving a compliment
- Convincing others
- Negotiating
- Making a decision
- Dealing with boredom
- Respecting authority
- Communication/listening
- Following Instructions
- Dealing with Fear
- Expressing affection
- Dealing with someone else's anger
- Knowing/expressing your feelings
- Standing up for yourself
- Avoiding trouble with others
- Keeping out of fights
- Sportsmanship after a game
- Standing up for a friend
- Responding to Failure
- Dealing with group pressure
- Making new friends
- Concentrating on a task
- Setting a Goal
- Apologizing
- Asking permission
- Other: _____
- Other: _____
- Other: _____

*One way to identify skill deficits is to ask the youth and/or family to answer the question:

What skill could you have used, in this incident, which would have resulted in a better outcome for you?

*Knowing the skill deficit will help the youth and family identify meaningful activities for the Case Plan.

Client/Family: _____ JPO: _____ Date: _____

Lehigh County Skill Development Examples

- ✓ Recognize high risk situations
- ✓ Avoiding high risk situations
- ✓ Structuring time effectively
- ✓ Follow a daily/weekly plan
- ✓ Making good choices
- ✓ Effective problem solving
- ✓ Maintaining sobriety
- ✓ Effective decision making
- ✓ Develop pro-social goals
- ✓ Develop effective job skills
- ✓ Develop healthy family relationships
- ✓ Develop life skills
- ✓ How to engage in positive activities
- ✓ Develop healthy living skills (physical)
- ✓ Develop healthy living skills (mental health)
- ✓ Develop spiritual balance
- ✓ Develop healthy parenting skills (youth who are parents)
- ✓ Develop effective stress management
- ✓ Understand thinking traps
- ✓ Develop impulse control
- ✓ Establish victim empathy
- ✓ Improve your self-worth
- ✓ Recognize healthy and unhealthy relationships
- ✓ Manage conflict
- ✓ How to give and receive love
- ✓ How to make amends
- ✓ How to set boundaries
- ✓ Effective communication
- ✓ Being honest
- ✓ How to better structure time
- ✓ Make responsible decisions
- ✓ How to share household chores
- ✓ Develop structured family time on a daily basis
- ✓ Understand your role/expectations of others
- ✓ How to use verbal praise
- ✓ How to be affectionate
- ✓ Establish a commitment to someone
- ✓ Strengthen ties with family and extended family
- ✓ Share cultural and traditional values and practices
- ✓ How to be supportive of others
- ✓ How to accept the faults of others
- ✓ How to use humor and fun within your family
- ✓ Develop a safe environment
- ✓ Develop a safety plan
- ✓ Spiritual guidance
- ✓ Setting appropriate boundaries/rules
- ✓ How to compromise
- ✓ Identify your thoughts- emotions-behavior link
- ✓ How to take responsibility for your actions
- ✓ How to guard against trigger events
- ✓ Recognize and manage thinking traps
- ✓ Demonstrating dignity for self and others
- ✓ Develop positive self-talk
- ✓ Healthy use of social media
- ✓ Develop positive goals
- ✓ Being open-minded
- ✓ Being open to change
- ✓ Accepting constructive feedback- criticism
- ✓ Develop resiliency
- ✓ Living a sober life

- ✓ Understand and identify positive and negative thoughts and choices
- ✓ Identify healthy community connections
- ✓ Identifying employment interests and aptitudes
 - Where to job search
 - Ability to complete an application
 - Ability to complete a resume
- ✓ Working hard and persevering
- ✓ Seeking out educational – employment – financial assistance
- ✓ Developing interviewing and self-presentation techniques
 - Dressing appropriately
 - Developing references
 - Manners
 - Social skills
 - Follow up with applications
- ✓ Managing conflicts and disappointments
- ✓ Asking for help
- ✓ Budgeting and money management
- ✓ Time management and timeliness
- ✓ Being responsible/dependable
- ✓ Literacy
- ✓ Negotiating
- ✓ Being appropriately assertive
- ✓ Conflict resolution
- ✓ Organizational skills
- ✓ Knowing how to be a team player
- ✓ Appropriate peer relationships
- ✓ Develop resiliency
- ✓ Budget management
- ✓ How to ask for help
- ✓ How to handle criticism
- ✓ Listening skills
- ✓ Following instructions
- ✓ Multi-tasking
- ✓ How to be patient
- ✓ Educational/vocational training
- ✓ Ability to plan
- ✓ Recognizing indicators of addictive behavior
- ✓ Coping with stress without substances
- ✓ Having fun without substances
- ✓ Avoiding relapse
- ✓ Learning how to say “No”
- ✓ Understand negative impact of drug/alcohol use.
- ✓ Dealing with negative peers
- ✓ Maintaining employment
- ✓ Decision making
- ✓ Impulse control
- ✓ Appearance and attitudes to attract more prosocial peers
- ✓ Understanding triggers: people. Places and things
- ✓ Being responsible
- ✓ Decision impact on others –empathy
- ✓ Addressing trauma
- ✓ Dealing with peer pressure
- ✓ Developing coping skills
- ✓ Healthy living
- ✓ Setting boundaries
- ✓ How to develop positive peer friendships
- ✓ Avoiding relapse prevention
- ✓ Recognizing healthy and unhealthy relationships
- ✓ Making and maintaining relationships
- ✓ Avoiding unhealthy conflict and violence
- ✓ Ending unhealthy relationships
- ✓ Demonstrating loyalty in healthy ways
- ✓ Setting boundaries
- ✓ How to introduce yourself

- ✓ Where to find positive peers
- ✓ Signing up for positive activities
- ✓ Communication skills
- ✓ Learn problem solving
- ✓ Learn conflict resolution
- ✓ Identify strengths with self esteem
- ✓ Separating from negative peers
- ✓ How can someone be supportive of you?
- ✓ How to show someone you care
- ✓ How to end a friendship
- ✓ How to keep a friend: respect, acceptance, tolerance. Boundaries
- ✓ Choosing friends with goals
- ✓ Listening skills
- ✓ Coping chooses
- ✓ Knowing how to problem solve effectively
- ✓ Having and showing empathy
- ✓ Managing stress and anger
- ✓ Coping with disappointment
- ✓ Listening effectively
- ✓ Regulating emotions
- ✓ Motivating for action
- ✓ Asking for help
- ✓ Weighing pros and cons
- ✓ Techniques: exercise, meditation, relaxation, journaling
- ✓ ART therapy
- ✓ Equine therapy
- ✓ Identifying strengths
- ✓ Identifying triggers
- ✓ Setting short/long term goals
- ✓ Create checklist
- ✓ Recognizing thinking traps/errors
- ✓ STOP – say the problem, think of solutions, weight options, pick the best one
- ✓ Recognizing resources
- ✓ Reinforce new skills
- ✓ Identifying recreational interests
- ✓ Knowing how to find fun, healthy things to do
- ✓ Having courage to begin something new
- ✓ Making time to try new things
- ✓ Scheduling leisure activities on a routine basis
- ✓ Relaxing enough to feel enjoyment
- ✓ Laughing
- ✓ Knowing how to invite others to join you or how to meet others who have similar interests
- ✓ Defining your talents
- ✓ Ways to avoid negative activities
- ✓ Identify support network (teachers, parents, clergy, etc.)
- ✓ Time management skill development

YLS/Case Plan Booster Outline

Prior to Booster:

It is strongly recommended that one week prior to the department's scheduled YLS/Case Plan Booster that each staff is provided with a copy of the Case Plan Handbook, Field Case Plan and the Skill Deficit Sheet for them to review, familiarize themselves and sign off. Signing off will ensure each JPO has the fundamental understanding of the documents. This step will save significant time during the booster and allow for more specific conversation. This will also assist JPOs in understanding the case plan structure, terminology, and develop "best practice" case plans.

During Booster:

Step 1: YLS MTs will have the JPOs read the Tom Gordon Booster (previously dispersed for a YLS booster)

Step 2: MTs will have the JPOs score the YLS.

Step 3: MTs will have an open discussion with the JPOs about the results of the YLS from the Tom Gordon Booster.

- MTs should discuss scores based on the JCJC's rating guide and definitions to make sure all JPO's understand why some of the boxes were or weren't selected.

Step 4: MTs and JPOs will then have a discussion to identify the top 3 criminogenic needs for Tom Gordon based on the final scoring (i.e. attitudes/orientation, personality/behavior, peer relations and family circumstances/parenting) and rank them in order of importance.

- Peer Relations High Risk
- Personality/Behavior Moderate Risk
- Family Circumstance/Parenting Moderate Risk

NOTE: Although Education/Employment was high, the focus remained, at least in the initial case plan, on the "top four criminogenic needs".

Step 5: MTs and JPOs will then have a discussion about the above listed criminogenic needs and determine which one is the primary driver for the behaviors.

- Note: The various activities related to the risk domains can be chosen dependent upon the family and juvenile's primary desired outcomes as the case plan should be pre-dominantly driven by the family and youth.

Step 6: Each county's YLS MT/Case Plan Coordinator (CPC) will introduce their identified Field Case Plan to the JPO staff. (A copy of Mercer County's is attached for review and consideration)

Step 7: MT/Case Plan Coordinator (CPC) will introduce the Field Case Plan Handbook and have a brief review of the goals, skill deficits, and S.M.A.R.T. activities. (*Remember only the activities are written in the S.M.A.R.T. format*)

S - Specific

M - Measurable

A - Achievable

R - Realist

T - Time Limited

Step 8: MT/CPC will then ask the staff to locate the groups identified primary driver/criminogenic need, previously identified in Step 4, within the Case Plan Handbook.

- For example: if the identified primary driver chosen is Personality/Behavior then see pg. 10 in the Case Plan Handbook and begin the discussion about some identified goals, skill deficits and S.M.A.R.T. activities listed.

Step 9: MT/CPC should facilitate conversation with staff about the identified “skill deficit” for the identified driver/criminogenic need.

- For Example: If the primary driver/criminogenic need identified is Personality/Behavior then skill deficits should be such things as; dealing with anger, controlling emotions, knowing or expressing feelings, etc. (Note: this is not an exhaustive list)

Step 10: MT/CPC should have all staff create a goal for Tom Gordon based on the primary driver/criminogenic need identified and the skill deficit associated with the driver. Each JPO should be required to share the goal they created and the skill deficit they selected. If a JPO is having difficulty, allow others to assist in the goal/skill deficit creation.

- For Example: If the primary driver/criminogenic need identified is Personality/Behavior then a possible S.M.A.R.T. activity could be “I will attend and successfully complete the ART program within 10 weeks of the programs start date”.
- Note: JPOs should identify *goals that families would create*.

Step 11: Once the JPOs have identified the goal and skill deficit, ask them to begin identifying activities and writing them in the S.M.A.R.T. format. Once again, review the S.M.A.R.T. activities and have the JPOs read them out loud in the S.M.A.R.T. format.

- Have the JPOs identify a minimum of two S.M.A.R.T. activities per goal that families would create.
- Remind staff that these goals and activities should be a collaboration with the juvenile and their family, **not** created in advance for the family to sign off on.

Step 12: Have the JPOs transfer their identified skill deficits, goals and S.M.A.R.T. activities on to the blank Field Case Plan document.

Step 13: Make sure JPOs complete the date box to the right of the S.M.A.R.T. activity, that being the date the activity was created as well as the recording a date in the: Not Yet Started, Started, Making Progress and/or Completed boxes, located under each activity when applicable.

Step 14: Repeat steps 5-11 to complete the secondary driver/criminogenic need for the Field Case Plan. Again, discussing the skill deficit, goal and activities out loud to ensure all are appropriate and written in the S.M.A.R.T. format.

- For Example: If the secondary driver/criminogenic need identified is “Family Circumstances/Parenting” then the skill deficit should be such things as; being considerate of family members, following household rules, asking permission, respecting authority, etc.) (Note: this is not an exhaustive list)

Special Notes:

MT/CPCs should discuss with the Chief/Deputy Chief/Administration within their county about their department’s Case Plan Policy to determine the staff’s expectations (i.e. what youth will receive a case plan (i.e. low, moderate, high), the frequency the Case Plan is reviewed with the youth and family and signed off on, etc.

Also, it may be helpful to create a script for staff that provides an overview of how to discuss the results of the YLS to the family that includes the explanation of what a criminogenic need is, the value of reducing the risk as well as the reason for the implementation of the field case plan and the importance of the case plan.