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Case Planning Coaches' Guide

Supporting Continuous
Quality Improvement
in Pennsylvania's
Juvenile Justice System

DECEMBER 2020

Acknowledgment

The development of this guide would not have been possible without the dedicated professionals who serve on the Juvenile Justice System Enhancement Strategy's Case Planning Coaches' Committee. This guide reflects their commitment to continuously improve practice in Pennsylvania's juvenile justice system by providing probation departments with information and tools to support officers' risk reduction work with youth and families.

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Introduction

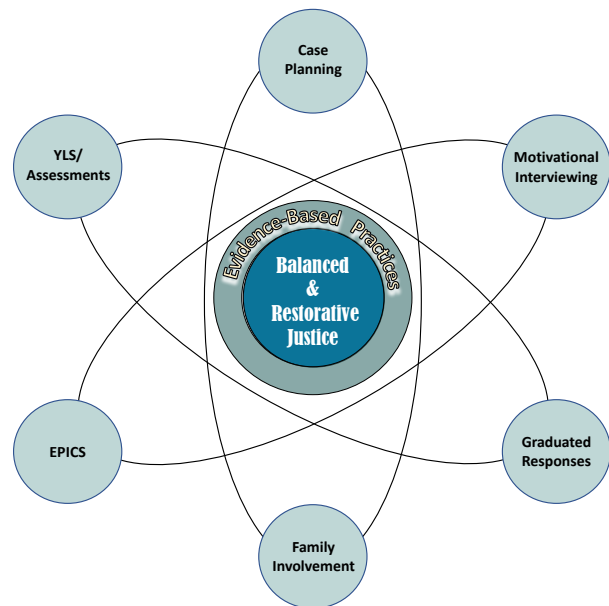
Pennsylvania’s juvenile probation departments have an essential mission to help youth, with support from their family, successfully fulfill their court obligations and leave the justice system with the skills and fortitude to avoid future system involvement. At the core of this work is the case plan, a document that functions as the blueprint for how probation officers help youth build new skills to disengage from anti-social and delinquent behavior. Effective case plans identify and prioritize the domains that will have the greatest impact on future behavior, appropriately matching services to those areas, and doing so in the right dosage and intensity.¹ Effective case planning is the key to achieving recidivism reduction.

To support the development of effective case plans, this *Case Planning Coaches’ Guide* is a means for probation departments to assess how well their probation officers apply the key elements of case planning in their case plans.² This guide is different from other Pennsylvania case planning resources. It concentrates on the written case plan itself and the documented steps taken by the probation officer to develop and actively manage the case plan.³ The tools in this guide measure the officer’s knowledge and skill in creating a case plan and engaging in effective case management. They serve as a practical system for coaches to provide feedback and coaching to officers on their strengths, and they identify where officers may have drifted from research-informed practice and how to adjust. The tools also help departments identify areas for additional staff training or coaching. Most importantly, they ensure that youth and families involved in Pennsylvania’s juvenile justice system are the beneficiaries of high-functioning,

interconnected practices designed to achieve the state’s balanced and restorative justice mission, as seen in Figure 1.

This guide supports the Juvenile Justice System Enhancement Strategy (JJSES) framework by focusing on continuous quality improvement (CQI), a process for determining how well a task or activity is performed. Figure 2 illustrates the vital role of CQI—as represented by the curved blue arrows—throughout the four stages of JJSES. The blue arrows cross all four stages, demonstrating that CQI is a critical component of all core activities that contribute to the mission of achieving safe communities.

Figure 1



1 See page 11 of Pennsylvania’s Juvenile Justice System Enhancement Strategy.

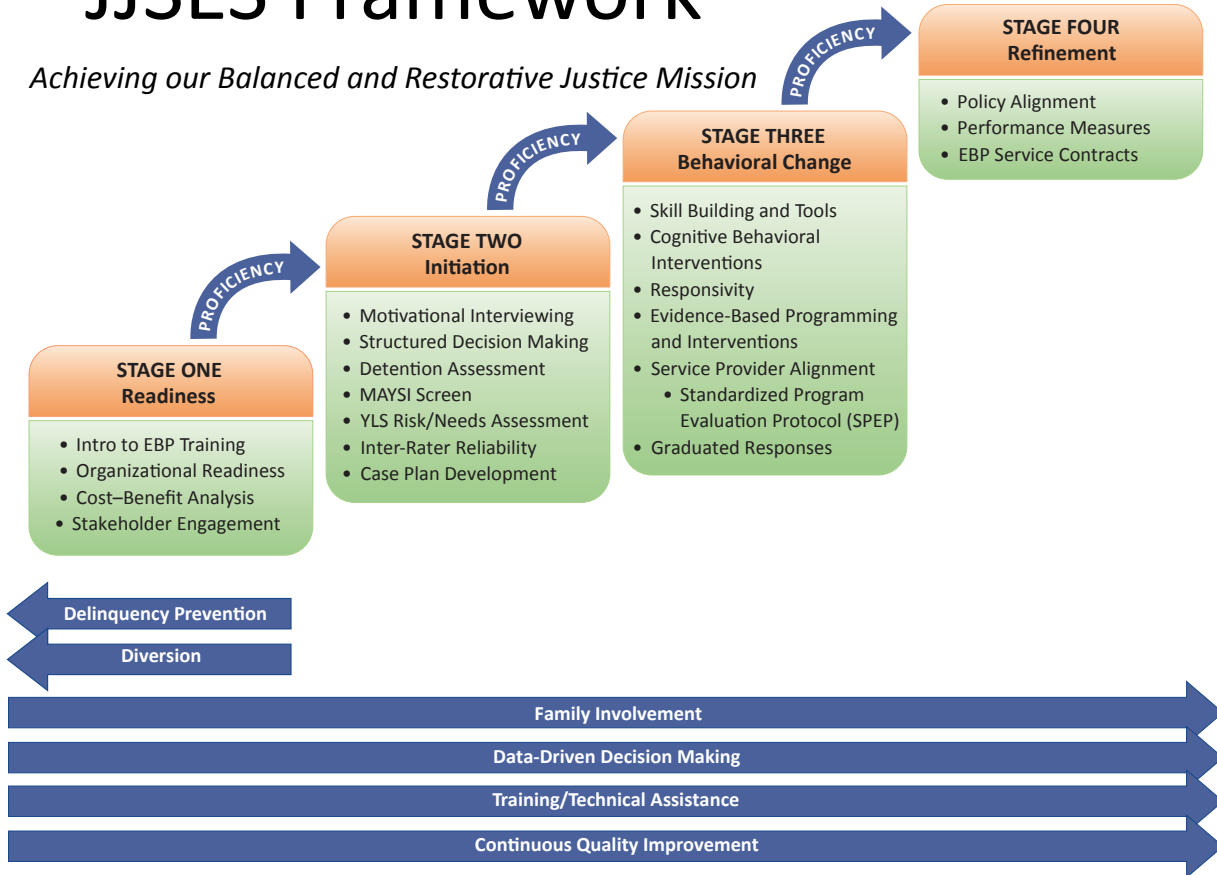
2 Key elements of the case plan are listed in appendix A (page 16).

3 A list of other case planning resources is provided in appendix B (page 17).

Figure 2

JJSES Framework

Achieving our Balanced and Restorative Justice Mission



Definitions

The following terms are used in this guide to describe the case plan review process and the continuous quality improvement activities associated with the process.

Aftercare An individualized plan developed at the time of placement that describes the services and supports that will be provided to the youth following a residential treatment program to assist them in successfully applying skills learned while in the program and to prevent relapse.

Barrier A circumstance or characteristic that prevents or hinders a youth from doing something or limits their ability to do it. For purposes of this manual, a barrier is not a responsivity factor.

Case Plan A dynamic, written document that serves as a road map for the youth, their family, and the probation officer throughout supervision. The case plan links information/feedback from assessments to interventions/services that are targeted to improve the youth's prosocial competencies and reduce recidivism.

Case Plan Elements The essential components of any case plan. These include, but are not limited to, risk level; the two or three most influential dynamic risk factors, including the driver; goals related to the most influential dynamic risk factors; skills that would help the youth achieve their goals; intervention/services; the youth's activities; strengths; responsivity factors; triggers; and dosage.

Case Plan Review The process by which a coach reviews a completed case plan and case notes and engages with a probation officer to ensure that all essential case planning elements have been considered and completed in the manner supported by research, evidence, and policy. The term "review" was selected over the word "audit" because it better represents a collaborative spirit between the coach and the probation officer.

Case Plan Review Checklist The form completed by the coach to provide the probation officer with constructive written feedback on their proficiency in applying the principles of effective case planning in the development and management of their case plans. The checklist is completed as part of the case plan review.

Case Planning A process guided by the probation officer in which the youth, their family, and the officer develop and complete a case plan consistent with the Pennsylvania juvenile justice system's mission of balanced and restorative justice (BARJ) and the principles of evidence-based practices.⁴

Coach A trained case planning specialist who offers support, guidance, and feedback to others to facilitate learning and sustain skills required for quality case planning. This person may also be referred to as a coordinator.

Coaching The ongoing process of supporting juvenile justice professionals as they work to improve their case planning and management skills by helping them identify strengths and potential areas of improvement and by sharing tools, knowledge, and opportunities to build their skills. Successful case planning coaching improves employee job performance and organizational outcomes related to evidence-based case management practices.

Continuous Quality Improvement A process that verifies quality and improves practice. It answers the question "Was the activity done well?"

Discharge Plan A written plan, developed at the time of placement, that describes the activities and services that a youth needs in place to successfully leave the program. When appropriate, the discharge plan should also include the youth's aftercare plan to ensure continuity of services and relapse prevention.

⁴ Effective case planning is at the heart of the BARJ mission in that it uses evidence-based practices to achieve the goals of protecting the community, holding youth accountable, and assisting youth in developing competencies.

Dosage The total number of hours of risk reduction programming related to the youth’s most influential criminogenic needs.

Performance Evaluation A formal assessment of an employee’s work performance that identifies the employee’s strengths and areas in need of improvement, offers feedback, and sets goals for future performance.

Rating The score—based on established criteria—that is given to a specific element on the Case Plan Review Checklist. The rating reflects the probation officer’s skills around case planning and not the youth’s progress.

Responsivity The delivery of services in a manner that is consistent with a youth’s unique characteristics, including culture, cognitive ability, maturity, gender, motivation, learning style, and trauma history. Programming is more effective when it is customized to a youth’s characteristics.

Reviewer The person who conducts the case plan review and writes their findings in the Case Plan Review Checklist. This person can be the coach, the supervisor, or someone else trained in conducting case plan reviews.

Service Provider A for-profit or nonprofit agency that provides direct care and/or treatment for youth involved in the juvenile justice system. There are two primary types of service providers: residential care providers and community-based providers (i.e., for youth who reside in their home).

Transition Plan A written plan developed in collaboration with the youth and the youth’s family to support the youth’s successful return to the community following residential placement. The plan should include the discharge plan; the aftercare plan; supervision expectations; identified goals and activities; medication management, if applicable; housing and other stabilization services; and educational/employment programs.

Trigger A person, place, or thing that sets off an emotional or behavioral response.

Youth A person who has been referred to the juvenile court and is subject to informal or formal court processing.

The Importance of Case Plans and Case Planning Reviews

Research demonstrates that probation officers who effectively apply the principles of risk, need, and responsivity (RNR) in case plans and with case planning are more likely to realize positive outcomes from the youth they supervise. Pennsylvania's juvenile justice system promotes the RNR model throughout the JJSES. Simply stated, RNR guides whom staff should focus on (risk), what staff should focus on (need), and how staff should focus on it (responsivity) to have the most significant influence on recidivism reduction. The risk principle states that the level of supervision and service should match the person's risk of violating the law again (as determined by a validated, actuarial risk assessment tool), with people who are higher risk requiring more intensive services. The need principle says that treatment and interventions should match the person's assessed criminogenic needs. The responsivity principle advocates for tailoring cognitive behavioral interventions to the person's learning style, motivation, abilities, and strengths.

The case plan and the process of case planning are critical components of RNR and key to recidivism reduction. Monitoring the probation officer's progress and providing feedback and coaching are part of evidence-based practice performance management.⁵ As such, these reviews assist officers in fulfilling job expectations and meeting performance requirements. These reviews should not be confused with performance evaluations completed

by the officer's supervisor to evaluate the totality of the officer's job performance. Instead, these reviews are conducted by a coach to facilitate the officer's growth and development in writing comprehensive case plans and dynamically managing the case. To be clear, officers are rated on how well they apply the principles of evidence-based practices in the development and management of case plans. Officers are not rated on the youth's progress or whether the youth completed probation. Officers should consider these reviews as opportunities to demonstrate their skills and to improve upon them.

There are different ways to approach case plan reviews. One approach is to offer booster sessions where officers use a practice vignette to develop a case plan. Another method is to review actual case files and case plans to determine if the officer is appropriately connecting a youth's assessed needs to the right interventions and services, and actively managing case activities to support risk reduction. This type of review can be done by a supervisor, colleague, coach, or team of case planning specialists. Each approach helps officers become more skilled in incorporating evidence-based practices in their supervision of youth. Regardless of the process, reviews have to be done consistently across the department and among officers. The tools in this guide help departments bring officers' attention to the case planning elements that are important for risk reduction, with a focus on conducting case plan reviews.

“The performance management process is an important opportunity for an organization to professionally develop its employees.”

Evidence-Based Performance Management Handbook

⁵ https://www.pachiefprobationofficers.org/docs/1-EBP_Performance_Management_Handbook_final.pdf

The Case Plan Review Process

The goal of a CQI process is to verify quality and to improve practice. The process for continually improving skills involves providing people with feedback on what they are doing well, so those practices continue, and offering input on where they can improve so adjustments can be applied to those areas. This guide describes the steps departments should take for full-scale implementation of the case plan review process. Some departments may already have CQI methods that address one or more of the steps. When this is the circumstance, departments should determine how they intend to incorporate this case plan review process into their overall CQI strategy.

There are six primary steps for implementing the case plan review process.

Steps for Implementing the Case Plan Review Process

1. Adopt case plan review policies and protocols.
2. Communicate to staff the value and purpose of case plan reviews.
3. Select and train coaches.
4. Prepare officers for reviews.
5. Conduct reviews and provide feedback and coaching.
6. Monitor performance by tracking data.

1. Adopt case plan review policies and protocols

Successful CQI efforts rely on establishing policies and protocols that guide these efforts. Departments must adopt policies regarding the case plan review process.⁶ These policies should be an extension of the department's existing case planning policies and

procedures. The policies should include a purpose statement, explain the process, identify how case selection will occur,⁷ discuss the frequency of reviews, and provide an overview of how the information will be used to improve practice.

CQI protocols advise that case plans be examined throughout their life span to gain insight into how probation officers manage a case from initial contact through case closure. Ideally, reviews should occur on an interval basis, such as every quarter, so that coaches can monitor changes in officer practices and provide ongoing coaching. The precise schedule, however, will depend on the department's staffing levels, officer caseloads, and number of available coaches. At a minimum, reviews should occur once per year and examine a minimum of three youth files. The reviews should also cover case plans in different stages: (1) an initial case plan, typically the first 60–90 days of a case; (2) a case plan a few months into supervision; and (3) a case plan nearing case closure.⁸ There will be circumstances when one youth's case file contains only one case type, such as an initial case plan. Other files may contain multiple case types. The goal is to review various case types to assess the officer's case planning skills at various stages of youths' supervision.⁹

Staff Proficiency and Frequency of Reviews

Departments may consider creating "levels of proficiency," where staff are placed within certain proficiency levels based on their performance in the case planning review process. These levels would then help determine the frequency of future reviews, with more frequent reviews for those at lower levels of proficiency. It would be up to individual departments to determine specific levels of proficiency and review frequency.

⁶ Two sample policies are provided in appendix C (pages 18–38).

⁷ Case selection should be random to acquire a realistic picture of case planning activities.

⁸ Sample case plans, as well as two case plans with feedback, are provided in appendix D (pages 39–59).

⁹ If the department is able to conduct case plan reviews only on an annual basis, then at least one of each case plan type should be reviewed.

As probation officers become familiar with the case plan and case planning review process and there is evidence that officers are consistently and effectively applying the principles of evidence-based practices in their case plans, case selection should focus on more challenging case types to help officers continue to hone their skills.

2. Communicate to staff the value and purpose of case plan reviews

Departments that set clear guidelines and directions for their staff and educate them about why this process is necessary to achieve the department's overall mission of recidivism reduction will likely experience less resistance and confusion when it comes time to conduct case plan reviews. These reviews should occur after officers have been trained on case plan elements, writing and updating case plans, understanding the role of responsibility, and linking needs, goals, and activities. A resource guide identifying appropriate case plan interventions and services should also be in place. In other words, probation officers should be provided with the proper framework, training, and resources to be effective prior to these reviews.

Departments need to be aware that CQI efforts often cause anxiety among staff who are the subject of these efforts. Officers may be concerned that information learned in the reviews will be used in a penalizing manner, and they may resent this level of scrutiny of their work. It is essential to convey to probation officers the goals of CQI. The overall message is that the case plan review process is not an evaluation or a disciplinary measure; instead, it is a departmental initiative to provide officers with feedback and coaching to be most effective in their risk reduction work. Policy and practice should be consistent with this message.

The results from case plan reviews should be shared with the probation officer's supervisor. Case plan reviews do not replace internal department processes that may include supervisors reviewing cases, team

reviews of cases, or other case review processes that may already be in place.

See appendix E (page 60) for a sample messaging template to staff about these reviews.

3. Select and train coaches

The person who conducts the case plan review is considered a coach because they offer support, guidance, and feedback to the officer to facilitate learning and help sustain the skills required for quality case planning. This person may also interchangeably be referred to as a coordinator because they coordinate the review of the case plan and case planning. In this guide, the term "coach" will be used.

The primary role of the coach is to complete case plan and case planning reviews. The goal is to verify that the case plan was completed with the required elements and to rate the quality of the probation officer's work. Feedback is then provided to the probation officer and the officer's supervisor using the Case Plan Review Checklist.¹⁰

Case plan coaches are considered subject matter experts on case plans and case planning. At a minimum, coaches must be trained in effective case planning and management, be knowledgeable about the YLS/CMI, know effective coaching strategies, provide constructive feedback and support, and be trustworthy.

As experts, they may also have a role in training new hires and conducting booster training sessions, as well as ensuring that a training plan exists to develop probation officers' case planning skills. Critical training includes an orientation to evidence-based practices, motivational interviewing, skill building, responsibility, graduated responses, family involvement, and Effective Practices in Correctional Settings (EPICS). Training should also be provided on screening and assessment tools such as the YLS and MAYSI-2.

¹⁰ The Case Plan Review Checklist is form A (pages 77–80).

Coaches are expected to attend coaching forums and related case plan training and participate in regional and statewide coaching calls.

Another essential role coaches can play is working with local contracted in-home providers to ensure they are trained on case plan elements and expectations. In this manner, coaches can support continuity of practices and ensure an evidence-based foundation from which services are provided.

Departments will need to determine how they will select and train coaches. Some may ask for interested volunteers. Others may establish a formal application process and interview potential candidates. A coach can be a supervisor, a peer, or an independent person. There are advantages and disadvantages to each of these options:

- **Supervisor:** This person has authority in the office, can direct behavior change, and understands the goals of the CQI process and its implications for the department overall. This person may also be the most familiar with the officer's caseload. However, some officers may be reluctant to express vulnerabilities about their case planning skills to supervisors, hampering opportunities for personal growth.
- **Peer:** This person is most familiar with what it is like to perform the work of a probation officer and understands firsthand case planning challenges and possibilities. However, some peers may be reluctant to critique their colleagues or could be intimidated or swayed by their colleagues.
- **External subject matter expert:** This person, who may be a contractor or an employee from another unit or department, is likely to be the most objective in administering the checklist as they are independent of the chain of command. They may, however, lack insight and knowledge about the probation unit's culture and practices.

Whatever method is chosen for selecting coaches, departments should plan to support them and their professional development going forward.

Coaching Traits

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

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

Source: CQI Manual, March 2019

4. Prepare officers for reviews

The case plan review process is a cooperative effort involving the coach and the probation officer. Care should be taken to ensure that officers view this as a collaborative and supportive effort to improve practices rather than as a critical process to identify their faults. When the feedback process is approached in this manner, it will more likely be received positively by officers. Additionally, coaches and officers should view the process as an opportunity to highlight areas of strength and proficiency.

The coach should give advance notice to the probation officer and the officer's supervisor so they have adequate time to prepare for the review.¹¹ The information should include instructions for the officer on

¹¹ A sample preparation memo or email is provided in appendix F (page 61).

preparing for the review, including making sure their case plans are updated and available for review. The notice should also include the checklist so the officer is aware of what will be reviewed. The coach should identify which case plan types will be reviewed and how many cases so the officer can plan accordingly.

5. Conduct reviews and provide feedback and coaching

The coach should schedule a time to meet with the probation officer on the day of the review, answer any preliminary questions the officer may have, and then randomly select the case plans to review. The coach should then review the plans—without the officer present—in a pre-designated place with few or no distractions. There should be a desk, adequate lighting, and room to set up a laptop to verify content in the case management system. The coach should complete a separate checklist for each case plan reviewed.

The coach should be prepared that the officer may ask for feedback immediately after the review. While this is not discouraged, any feedback should be general and limited in content until the coach has had adequate time to review and reflect upon their notes.

The coach should schedule an appointment with the probation officer to discuss the findings and give meaningful feedback and coaching. The coach should provide the officer with the completed checklists at least a week prior to the appointment. This will allow the officer enough time to review the checklists and be prepared for the in-person feedback and coaching session. All materials must be available for the session, including the case materials examined and the completed checklists. The coach must also come fully prepared to provide specific, genuine, and constructive feedback, with examples to illustrate the points being made. Overly broad feedback will likely be ignored or dismissed.

After the feedback session, the coach should finalize each checklist by inserting their recommendations

and the discussed plan of action. Alternatively, the coach can complete the Case Plan Review Feedback Report.¹² The report is an overall summary of the comments from the checklists and coaching session. It contains space to provide specific recommendations for further skill development and to record agreed-upon next steps or the officer's personal plan of action. A copy of the finalized checklists or the Feedback Report should be sent to the officer and the officer's supervisor.

The Challenge of Coaching and Tips for Success

Receiving feedback can be particularly difficult or even intimidating for some people. For feedback and coaching sessions to be effective, there needs to be a trusting relationship between the probation officer and the coach. This type of relationship allows the probation officer to be vulnerable and receptive to feedback. The officer is also more likely to share challenges they are experiencing or ask questions if they do not fear ridicule or retribution.

Below are some tips for a more successful coaching session:

- Facilitate and encourage discussion. Do not dominate the session.
- Use a strength-based approach. Focus on what the person did well and how the person can use those skills to improve in other areas.
- Do not criticize or demean the person. The goal is not to catch the person doing something wrong but to help the person understand where improvement can occur.
- Back up your feedback with specific examples, and provide suggestions for where change is needed and what it would look like.
- Express confidence in the person and their ability to perform the job.
- Ask for lessons learned during this process.
- Agree upon next steps prior to the conclusion of the coaching session and follow up on those steps during the next session or contact.

¹² The Case Plan Review Feedback Report is form B (pages 81–82). An example of a completed Case Plan Review Feedback Report is provided in appendix G (pages 62–63).

6. Monitor performance by tracking data

Coaching and feedback are most effective when results are monitored and tracked over time. Departments should be able to measure how well individual officers, units, and offices perform.¹³ By developing routine monitoring systems, departments will be able to identify areas where changes in case planning training are needed and where there are gaps in the application of effective case planning processes. Monitoring systems can also alert the department to areas where officers are doing well, so further reinforcement of those behaviors can be applied. Ultimately, monitoring is designed to improve the case planning process.

¹³ Data report examples are provided in appendix H (pages 64–68).

The Case Plan Review Checklist

The Case Plan Review Checklist has three sections—Case Plan Development, Case Plan Elements, and Case Plan Management—and nine areas of focus.¹⁴ Each section has a specific purpose leading to Pennsylvania’s goal of recidivism reduction. Background information about each area of the checklist is provided in appendix I (pages 69–72).

The Checklist Summary and Verification Method document lists the materials that are subject to inspection during the review.¹⁵ Departments are encouraged to adopt a separate continuous quality improvement process to capture the degree to which appointment activities constitute an effective intervention.

Agencies can use the Case Plan Review Checklist in conjunction with other continuous quality assurance activities.

Section I: Case Plan Development

In this section, probation officers receive feedback on how well they met the time frame for developing a case plan, and the extent of their collaboration with the youth, family, and social supports.

1. Development

The plan was completed within the required time frame.

2. Collaboration with youth, family, and social supports

The plan was developed collaboratively with all required parties.

Customization

The Case Plan Review Checklist considers only the key elements of an effective case plan and the factors that contributed to its development and its ongoing management.

It is not designed to examine all elements of core correctional practice (e.g., motivational interviewing and graduated sanctions and incentives). However, a department may add such elements to the checklist, if so desired.

Section II: Case Plan Elements

This section focuses on the key elements of the case plan, which include the youth’s criminogenic needs, their unique characteristics and circumstances, and whether those items are properly identified and incorporated in the case plan.

3. Criminogenic needs and driver

The plan prioritizes the youth’s most influential criminogenic needs, including the driver, while also addressing stabilization needs, barriers, and triggers.

4. Strengths and responsivity

The plan incorporates the youth’s strengths and responsivity factors.

5. Skills and interventions

The plan identifies skills that would help the youth be successful and interventions to help build those skills.

6. SMART case plan

The plan includes goals that are clear and activities that are specific, measurable, attainable, realistic, and time-bound.

¹⁴ The Case Plan Review Checklist is form A (pages 77–80).

¹⁵ The Checklist Summary and Verification Method is form C (pages 83–86). Departments may wish to include other methods of verification, such as staff observation or video/audio reviews.

Section III: Case Plan Management

This section assesses the probation officer's effectiveness in dynamically managing the case plan. Areas assessed include continuous collaboration with the youth, their family, social supports, and service providers, and updates and modifications as the youth's behavior or situation changes.

7. Collaboration with youth, family, and social supports

The plan demonstrates continuous collaboration with the youth, their family, and social supports.

8. Collaboration with service providers

The plan demonstrates continuous collaboration with service providers.

9. Updates and modifications

The plan is updated as the youth's behavior or situation changes.

Rating Criteria

The checklist rates the probation officer's application of effective case planning; the youth is not evaluated. Instead, the review considers how the officer responds to the youth and the youth's actions, as documented in the case plan and case plan notes. Each item on the checklist contains four possible rating options that are defined as follows:

Rating Criteria		
S	Satisfactory	Officer met or exceeded the minimum requirements for the listed criteria.
I	Needs Improvement	Officer met some of the requirements but missed key case planning elements or needs improvement in addressing the element.
M	Missed Opportunity	Officer missed an opportunity to address this area.
NA	Not Applicable	This item does not apply.

Scoring

Rather than giving an overall rating, the checklist provides officers with specific feedback on each item, allowing them to see where they met the criteria and where improvement is needed. In general, "Satisfactory" is given when the officer met or exceeded the required element. "Needs Improvement" is marked when the officer fell short of the requirement. "Missed Opportunity" is used when the probation officer had an opportunity to address a specific element but failed to do so. "Not Applicable" should only be used when circumstances make an element irrelevant or unmeasurable. Specific scoring criteria for each item are provided on form D (pages 87–96).

The Case Plan Review Checklist also includes a comments section for each item. The coach is expected to provide comments that support the rating. If improvement is needed, the feedback should be specific about what is missing or needs to be improved. The comments section should also be used to describe areas of strength and proficiency that were noted. At the end of each section is space to list recommendations and the discussed plan of action. This section is completed following the feedback session with the officer. Alternatively, this information can be provided to the officer using the Case Plan Review Feedback Report.¹⁶

Individual/Office/Department Proficiency Rating Report

While numeric values are not assigned to the ratings on the Case Plan Review Checklist, departments are encouraged to develop a method for tracking progress by an individual officer, by office, and department-wide. Form E (pages 97–99) is an example of how ratings can be converted to a numeric value. A sample data report using form E is provided in appendix J (pages 73–75).

¹⁶ The Case Plan Review Feedback Report is form B (pages 81–82).

Using the Results

When case plans and case planning are done effectively, recidivism reduction can be realized. It is, therefore, important that departments develop a methodology for collecting and regularly reviewing data on how well probation officers are applying research-informed practices in the development of their case plans and case planning.

Data and performance measures help departments determine if their system is achieving their intended goals and outcomes. The following are potential data and performance measures to assess how well department staff are developing and managing case plans. These measures are not all inclusive and should be adjusted to meet department needs and data collection capabilities.

Process Measures	
<p>Process Adherence</p> <p>How well did the officer adhere to the case plan policy around timelines and collaboration?</p>	<ul style="list-style-type: none"> ■ % of moderate- and high-risk case plans completed in the time frame set by department policy ■ % of reviewed case plans developed with youth input ■ % of youth who are moderate and high risk whose families are involved in the development of their case plans
<p>Need Identification</p> <p>How well did the officer focus case planning on the most appropriate criminogenic needs, as identified by the YLS assessment?</p>	<ul style="list-style-type: none"> ■ % of moderate- and high-risk case plans addressing the driver ■ % of youth who are moderate and high risk whose most influential criminogenic needs are addressed during supervision
<p>Goal Development</p> <p>How well did the officer write case plan goals and link those goals to the identified need and strengths?</p>	<ul style="list-style-type: none"> ■ % of reviewed case plans that have clear, specific goals ■ % of reviewed case plans that consider the youth's strengths
<p>Activity Linking</p> <p>How well did the officer link their one-on-one activities to the identified need, goal, and skill being taught and present the activities in the right sequence?</p>	<ul style="list-style-type: none"> ■ % of moderate- and high-risk cases where the selected activity links to the youth's identified need, goal, and skill being taught ■ % of moderate- and high-risk cases where interventions occur in the proper sequence
<p>Service Matching and Completion</p> <p>How well did the officer match the referred interventions and services to the identified need and/or goal and ensure programming completion?</p>	<ul style="list-style-type: none"> ■ % of youth who are moderate and high risk who are matched with interventions and service referrals that address their criminogenic needs ■ % of youth who are moderate and high risk who are referred to programming and who attend programming (specify programming type) ■ % of youth who are moderate and high risk who are referred to programming and who complete programming (specify programming type)
<p>Responsivity Consideration</p> <p>How well did the officer address the youth's responsivity factors in the case plan?</p>	<ul style="list-style-type: none"> ■ % of referrals in which the right youth is matched to the right program, given responsivity factors ■ % of reviewed case plans that reflect the youth's responsivity factors
<p>Rewards and Sanctions¹⁷</p> <p>How well did the officer respond to prosocial and noncompliant behavior, according to case plan notes?</p>	<ul style="list-style-type: none"> ■ % of cases where rewards/incentives outnumber sanctions/interventions by a ratio of at least 4 to 1 ■ # (and average by person) of positive behaviors reported ■ # (and average by person) of rewards/incentives provided ■ # and type of prosocial behaviors by criminogenic need ■ # (and average by person) of responses to noncompliance behavior reported

¹⁷ Refer to the Continuous Quality Improvement (CQI) Manual Sustainability Planning Guide for additional measures: https://www.pachiefprobationofficers.org/docs/CQI_Sustainability_Planning_Guide.pdf.

Process Measures	
<p>Case Planning</p> <p>How well did the officer dynamically manage the case planning process, including addressing dosage?</p>	<ul style="list-style-type: none"> ■ % of case plans that are appropriately modified during the supervision period when information and changes dictate ■ % of case plans that are appropriately modified when a new assessment is completed ■ % of youth who are moderate and high risk whose intervention intensity and dosage match their risk level ■ % of youth who are moderate and high risk who receive the targeted dosage for their most influential criminogenic needs prior to discharge
<p>Reentry</p> <p>For youth returning from residential care, was a reentry plan completed before release?</p>	<ul style="list-style-type: none"> ■ % of youth released from residential care who have a reentry plan before release
<p>Ongoing Learning</p> <p>How frequently did staff participate in additional learning opportunities to improve the quality of case planning?</p>	<ul style="list-style-type: none"> ■ % of staff who participate in booster sessions¹⁸ ■ % of staff who participate in learning teams ■ % of staff who participate in case plan team reviews

Performance Measures	
<p>Recidivism Reduction</p> <p>What evidence is there that youth have made changes leading to risk reduction?</p>	<ul style="list-style-type: none"> ■ Average change in antisocial attitudes, coping skills, and other behavioral indicators based on pre- and post-testing with an instrument designed to measure the need area (e.g., the “How I Think” instrument, which measures antisocial cognition) ■ Average decrease in overall risk level based on YLS reassessment ■ Average decrease in most influential needs upon discharge from probation ■ Average reduction in rearrest during supervision and after discharge

¹⁸ Departments should provide ongoing booster sessions on topics related to case plans and case planning regardless of whether data are collected in this area. The data collection, however, can provide information on what booster sessions staff most need.

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Appendix A: Key Elements of the Case Plan

The case planning process involves three primary steps: developing, writing, and dynamically managing the case plan. Using the Case Plan Review Checklist (form A, pages 77–80), coaches can assess a series of items for each step using established criteria and give meaningful feedback to help officers improve their practice.

Step 1: Developing the case plan

- Meets the timeline for completing the case plan.
- Ensures the case plan is signed and dated by the youth and a family member.
- Engages the youth, family, and social supports in developing the case plan.

Step 2: Writing the case plan elements

- Correctly identifies the youth's criminogenic needs according to the YLS/CMI.
- Correctly prioritizes the primary criminogenic need that is driving the youth's behavior.
- Addresses the youth's strengths and responsivity factors.
- Addresses skills that would be helpful for the youth to develop.
- Develops clear goals and SMART activities.

Step 3: Managing the case plan

- Maintains engagement of the youth, family, and social supports.
- Demonstrates continuous collaboration with service providers.
- Adjusts goals, activities, services, and other interventions as the youth progresses or as circumstance change.

Appendix B: Case Planning Resources and Links

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

- Booster cases for inter-rater reliability testing
- Blank and completed case plans
- Carey Group Publishing's *Case Planning* Carey Guide: <http://careygrouppublishing.com/the-carey-guides>
- Case Plan Best Practice Recommendations document
- Case Planning Handbook – YLS/CMI Version, April 2015: https://pachiefprobationofficers.org/docs/Case_Planning_Handbook.pdf
- Continuous Quality Improvement (CQI) Sustainability Planning Guides, March 2019: https://www.pachiefprobationofficers.org/docs/CQI_Sustainability_Planning_Guide.pdf
- Evidence-Based Practice Performance Management Handbook for Juvenile Probation Staff, October 2017: https://www.pachiefprobationofficers.org/docs/1-EBP_Performance_Management_Handbook_final.pdf
- YLS & Case Plan Bench Card: <https://www.jjc.pa.gov/Publications/Documents/JJSES/Youth%20Level%20of%20Service%20and%20Case%20Plan%20-%20Bench%20Card.pdf>

Appendix C: Case Plan Review Example Policies

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Example 1: Lehigh County Juvenile Probation

This policy and addendum serve as an example that others can draw from to develop a policy that best meets the needs of their specific county.



LEHIGH COUNTY JUVENILE PROBATION POLICY AND PROCEDURES



APPROVED:
Elizabeth Fritz

EFFECTIVE DATE: 11/1/16

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3/5/2020

CASE PLAN POLICY

Probation Officers will prepare the Case Plan after considering the top criminogenic needs that are identified in the YLS. The top two or three criminogenic needs are used to achieve the greatest likelihood of reducing recidivism and helping the juvenile to become a productive citizen. When identifying the top two or three criminogenic needs Probation Officers should place an emphasis on the "top four," which include: Attitudes/Orientation, Personality/Behavior, Peers, and Family Circumstances.

The Case Plan guides the activities of the juvenile with the support of the guardian and others involved with the juvenile, including any providers working with the juvenile. Each Case Plan will be individualized, and performance based, outlining specific goals and activities designed to manage the juvenile's risk, address criminogenic needs, and enhance or develop skills. Responsivity factors noted on the YLS should be taken into consideration when developing the Case Plan. Although responsivity factors do not necessarily impact risk reduction, the officer should evaluate the severity of these issues, especially pertaining to trauma and mental health. Other screening tools or evaluations may be needed to help gauge the severity of the responsivity factors. The Probation Officer shall collaborate with the juvenile and guardian in the development of the case plan.

The Case Plan will establish goals and activities for those juveniles who score moderate to very high risk on a consent decree, probation and who are nearing the end of their time in placement. Once a Case Plan has been started, it will be required throughout the duration of supervision regardless if risk level changes (e.g., YLS drops from moderate to low risk). However, once the juvenile moves to low risk and has completed all their Case Plan goals, no further case planning is needed unless the Probation Officer deems it necessary. A Case Plan may be established for a juvenile who initially scores a low risk or those placed on an Informal Adjustment, on an as-needed basis.

Procedure: Initiating and Completing a Case Plan

- The YLS will be administered at the time of intake. A dispositional recommendation will be made and suggested activities will be noted in the intake report to align in addressing the top criminogenic needs. These needs and activities will be used to guide the initial Case Plan.
- The Intake Officer shall explain that the assigned Probation Officer will develop the Case Plan in collaboration with the juvenile and family, as well as any other support system in the juvenile's life (i.e., service providers, OCYS, extended family).
- The Probation Officer will develop a Case Plan **no later** than 45 days following the initial appointment post disposition.
- A Case Plan should be developed with collaboration from the juvenile and guardian, after reviewing the intake report and taking into consideration the risks, needs, skill deficits, responsivity factors, stabilization factors, and strengths of the juvenile.
- The focus shall be on criminogenic needs, skill development, and matching services, tools, and interventions to those moderate- or high-risk areas. Caution should be made to not over-serve the juvenile.
- The Case Plan will be developed electronically and requires a signature of the juvenile and family. If there is no access to email or text messaging, a hard copy will be provided to the family.
- A calendar entry shall be made by the Probation Officer indicating the Case Plan was given to the Family and Supervisor: **Case Plan: Given to Family/Supervisor.**
- The Case Plan shall be electronically saved in a Word document, by the juvenile's last name, Probation Officer's last name and signature date (i.e., CP.Jones.Davies.2.20.19). The Case Plan will also be uploaded to the juvenile's files under "Case Management" in the shared drive.
- It is recommended that the Case Plans of all your clients be carried with you while in the field, or pulled up on a tablet, in order to review and update regularly with the juvenile or guardian.
- Strengths should always be considered in development of the Case Plan and should be used to hold youth accountable in a meaningful way and help moderate the impact of risk. Consideration should also be given to the juvenile's motivation on the established goals. Assessments shall be ongoing in evaluating the juvenile's stages of change.
- Focus of the Case Plan should be on the top two (2) to three (3) criminogenic needs. Remember to review the "Assessment of Other Needs and Special Considerations" (referred to as "Part III" on the YLS) which is completed to identify responsivity factors for the juvenile and family.
- Goals are the outcome a juvenile is seeking to achieve that will reduce his or her risk of violating the law again. Goals are juvenile-friendly and tied to the identified criminogenic need area.
- Skill Developments are identified by the juvenile and family as areas where a new skill needs to be learned to assist in achieving their goals. The Probation Officer should work with the juvenile and family on the Skill Development in order to complete Case Plan goals and activities.
- Activities should be specific, measurable, attainable, realistic and time-limited (SMART). In addition, if a specific community-based provider is involved in the service, this can be noted in the designated activity.
- One or two activities at a time are generally recommended per goal. Additional activities should be added on an ongoing basis. Activities should build upon each other; link to the need, goal, and skill identified; and align with the structured EBP appointments. A date shall be written on the Case Plan when the activity is established.

- The Case Plan should be reviewed with the juvenile on a regular basis, to include being reviewed during all structured appointments.
- Any updates to the Case Plan that have been made should be documented/saved to the Case Plan electronically on a monthly basis. These changes should then be uploaded to the Shared File.
- Lehigh County will adhere to the “Recommended Best Practices for Completion and Transfer of YLS and Case Plan Information for Courtesy Supervision Cases.” A Case Plan is required by the county providing courtesy supervision on a new case.
- A Case Plan is not required when a juvenile is placed on Administrative Collection status or transferred through Interstate Compact.
- Cases transferred to Lehigh County from another state typically will not have a YLS, so a Case Plan is not required for a juvenile through Interstate Compact.

Assessing Progress of the Case Plan

- When a juvenile has violations or receives new charges and another YLS assessment is completed, it is expected that the Probation Officer will also review the Case Plan and make adjustments accordingly.
- Probation Officers are responsible for assisting juveniles in achieving Case Plan goals. Probation Officers should use graduated responses for progress, or lack thereof. Incentives and sanctions should be delivered with consistency, immediacy, and certainty.
- Inadequate progress should initiate a re-evaluation of the Case Plan. A Probation Officer should determine whether the juvenile is either unwilling due to their stage of change or unable due to the goals being unrealistic, unattainable, or improperly matched. In these instances, the Case Plan will be adjusted accordingly.

Scoring of the Case Plan

- When a juvenile has violations or receives new charges and another YLS assessment is completed, it is expected that the Probation Officer will also review the Case Plan and make adjustments accordingly.
- Assessment boxes are included under each activity. These include: Started, Making Progress, Completed, On Hold and Not Achieved/Removed. Progress on the Case Plans shall be made on a regular basis with the juvenile and guardian.
- Assessment boxes, which include Completed and On Hold, have also been added to the Goal section on the Case Plan and should be used as needed.
- Assessment boxes should be updated regularly, but electronically no less than monthly. JCMS notes should reflect circumstances related to the progress of the juvenile in completing each activity.
- The Probation Officer shall save their Case Plans on their tablet and also the juvenile’s folder in the shared drive under case management.

Placement Decisions and the Case Plan

- When a juvenile is placed, a Case Plan is not initially required. However, the Placement Referral Form should include the Probation Officer’s identified goals in accordance with the identified criminogenic needs of the YLS. Additionally, a hard copy of the YLS will be sent as part of the referral process.

- It is the expectation that the residential service provider will develop a treatment plan that will address the identified needs while the juvenile is in placement. The initial treatment plan will be developed at the MCPC/Individual Service Plan (ISP) meeting within 30 days of the inception of placement, and will be developed with input from the family, probation officer and treatment team. The needs, responsivity factors, and strengths identified on the YLS should be regularly reviewed with the treatment staff throughout the juvenile's time in placement to ensure they are being appropriately addressed by the residential service provider in the MCPC/ISP.
- Probation Officers should make every attempt to attend the MCPC/ISP meeting. If the probation officer is unable to attend in person, they should attend via phone/video conference.
- The Probation Officer should have monthly contact with the residential service provider to ensure that the treatment goals continue to be addressed, and that the juvenile is making satisfactory progress while at placement.
- The assigned Probation Officer will develop the Case Plan **within 30 days** prior to discharge. It is strongly encouraged to begin this discussion, specifically in long-term placements, approximately sixty days prior to discharge, including preparing appropriately for any aftercare or re-entry needs.
- Probation Officers shall work collaboratively with providers to identify goals and activities that address the Balanced and Restorative Justice Principles, as well as, risk, need and responsivity factors. Responsivity factors that are important to consider when Treatment Planning is happening at placement are: learning style, mental health status, and cognitive abilities. Responsivity factors can impact the way juveniles interpret and process information.
- The Probation Officers should still make every attempt to participate in the Individual Service Plan/Master Case Plan Conference meetings at the placement.
- A Case Plan, post-discharge from placement, requires a signature of the juvenile and family member/guardian **within two weeks**. A copy shall be provided to them and shall be saved electronically in a Word document. These changes should then be saved to the Shared File.
- If this is the initial Case Plan, supervisors shall receive a copy (electronic or hard copy) and the Probation Officer shall enter a calendar entry indicating that the Case Plan was given to the family and supervisor: **Case Plan: Given to Family/ Supervisor.**

Special Circumstances of the Case Plan

- When a juvenile's overall YLS is overridden from Low- to either Moderate-, High- or Very High-Risk, a Case Plan must be done. For example, when a sex offender is overridden from Low to either Moderate, High, or Very High, their Case Plan will work on their identified treatment needs.
- When a low-risk juvenile's contact level is temporarily overridden to a higher level of contacts, a Case Plan is not required. However, if the contact level override is permanent or long term, the Probation Officer should consider reassessing or overriding the YLS assessment. All changes to the YLS should be made in accordance with the YLS/CMI Policy.

Supervisor Oversight of the Case Plan:

- Supervisors shall enter a calendar entry indicating that the initial Case Plan has been reviewed: **Case Plan: Initial Supervisor Review.**

- At the time of the caseload evaluation, the supervisor will pick five (5) Case Plans to review. The Supervisor shall access the Case Plans in the shared Case Plan folder.
- Supervisors shall review not only for completion but also for proper matching of services/interventions, and for appropriate content.
- Supervisors shall make a calendar entry following a caseload evaluation review: **Case Plan: CLE Supervisor Review.**

Closing Out a Case Plan

- Many factors are considered when you are contemplating the discharge of a client from supervision, one of those being the completion of activities. When closing out a case, all activities must have an end date.
- At the time of case closing, Probation Officers shall upload the completed and final Case Plan into JCMS documents section.
- The PO will go into the Case Plan shared file and delete the juvenile's Case Plan.
- At the time of case closing, the supervisor should review the completed (and historical) Case Plan for the juvenile before approving case closing.
- The supervisor will check JCMS to ensure that the juvenile's Case Plan was uploaded properly, and that it was deleted from the Case Plan shared file.
- If the juvenile's Case Plan was not deleted from the Case Plan shared file, then the supervisor will contact the PO in order to instruct them delete it.

Calendar Entries

- A calendar entry shall be made by the Probation Officer indicating the Case Plan was given to the Family and Supervisor: **Case Plan: Given to Family/Supervisor.**
- Supervisors shall enter a calendar entry indicating that the initial Case Plan has been reviewed: **Case Plan: Initial Supervisor Review.**
- Supervisors shall make a calendar entry following a caseload evaluation review: **Case Plan: CLE Supervisor Review.**

Data

- On a yearly basis, Probation Officers and Supervisors will be provided an End of the Year Proficiency Report which will include their individual scores/data related to the YLS, Case Plan Review, EPICS, and JJSES Boosters.



LEHIGH COUNTY JUVENILE PROBATION POLICY AND PROCEDURES



APPROVED:
Elizabeth Fritz

EFFECTIVE DATE: 04/03/18

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01/30/20

CONTINUOUS QUALITY IMPROVEMENT (CQI) OF EVIDENCE-BASED PRACTICES: ENHANCING CQI OF THE CASE PLAN THROUGH TRAINING AND CASE REVIEW ADDENDUM TO THE CASE PLAN POLICY

Purpose: The Lehigh County Juvenile Probation Department has endorsed the use of evidence-based practices and has developed various CQI processes around the use of these practices. In order to enhance CQI in several of the key areas as well as demonstrate the interconnectedness of these practices, the processes and protocols outlined below are meant to supplement the already existing CQI, training, and review procedures in place.

Case Plan: In addition to the CQI protocols in place for the Case Plan, including policy, the following processes will occur as an additional CQI measure for Community Based Probation Officers.

Case Plan Review 60-Day Post Assignment Prior to January, 2020

- The JSES Coordinator will randomly pull two Case Plans per year per Probation Officer. This will be done by reviewing newly assigned cases;
- The JSES Coordinator, Deputy Chief (when available), Supervisor of the PO, and a rotated Case Plan Coach will review a Probation Officer's Case Plan at 60-90 days post assignment;
- The Case Plan review will be done by using the Community Based Case Plan Quality Assurance Checklist/Feedback Form;
- A face to face meeting with the Probation Officer, Case Plan Coach, and Supervisor will be held for all case plans reviewed regardless of the Probation Officer's level of proficiency in completing the case plan. This meeting will include a discussion on the Probation Officer's strengths in completing the case plan as well as areas for improvement;
- The Office Supervisor will email the Probation Officer the Feedback Form and copy of the Case Plan, which will include specifics on the review of the Case Plan. The Probation Officer's Supervisor will also be included in the email;
- The Office Supervisor will provide a copy of the Feedback Form and Case Plan to the Probation Officer, Supervisor, Chief, Deputy Chief, Case Plan Coach, and Office Supervisor;
- The JSES Coordinator will also keep a copy of the initially reviewed Case Plan;

- The JSES Coordinator will email the Probation Officer, Supervisor, Chief, Deputy Chief, and Case Plan Coach to schedule a meeting to discuss the results of the review;
- The Office Supervisor will record the checklist elements on a tracking sheet located in the shared supervisor file under QA.

Case Plan Review 60-Day Post Assignment Subsequent to January, 2020

- The JSES Coordinator will randomly pull two Case Plans per year per Probation Officer. This will be done by reviewing newly assigned cases;
- The JSES Coordinator, Deputy Chief (when available), Supervisor of the Probation Officer, Office Supervisor, a Case Plan Coach, and the Probation Officer will review an Officer's Case Plan at 60-90 days post assignment. This will allow the Probation Officer to receive immediate feedback on the case plan as well as provide the review team with additional information to accurately assess the case plan;
- The Case Plan review will be done by using the Community Based Case Plan Quality Assurance Checklist/Feedback Form;
- Inclusion of the Probation Officer in the Case Plan Review will remove the requirement of a face to face meeting with the Probation Officer, Case Plan Coach, and Supervisor for a discussion of the Probation Officer's strengths in completing the case plan and areas for improvement as this will occur during the review process;
- The Office Supervisor will email the Probation Officer the Feedback Form and copy of the Case Plan, which will include specifics on the review of the Case Plan. The Probation Officer's Supervisor will also be included in the email;
- The Office Supervisor will also provide a copy of the Feedback Form and Case Plan to the Chief, Deputy Chief, Case Plan Coach, and Office Supervisor;
- The JSES Coordinator will also keep a copy of the initially reviewed Case Plan;
- The Office Supervisor will record the checklist elements on a tracking sheet located in the shared supervisor file under QA.

Case Plan Review 120-Day Post Assignment Prior to January 2020

- At the **120-day point, post assignment**, the same Case Plan will be reviewed using the feedback form from the prior review. This will allow for an assessment on how well the Case Plan has been developed as per best practices;
- The same process will occur as noted above in the 60 Day post assignment.

Case Plan Review 120-Day Post Assignment Subsequent to January 2020

- At the **120-day point, post assignment**, the same Case Plan will be reviewed using the feedback form from the prior review. This will allow for an assessment on how well the Case Plan has been developed as per best practices;
- The same process will occur as noted above in the 60 Day post assignment. However, as of January 2020, the Probation Officer will be included in the review process.

Case Plan Review at Case Closing

- At time of case closing, the supervisor will notify the JJSES Coordinator of this case closure, at which time the JJSES Coordinator will review the Case Plan for data on the YLS score, identified needs, goals, skill deficits, and activities recorded on the document;
- The case file will be marked with a red sticker next to the client's name to indicate that the case plan was reviewed during supervision and a closing case plan review is required.

Continuous Quality Improvement of New Probation Officers

- All newly hired Probation Officers will have their first three Case Plans reviewed by a department Case Plan Coach or designee at the 60 day and 120-day point in the Case Plan process;
- A Feedback Form shall be provided and reviewed with the new Probation Officer by a Case Plan Coach.

Continuous Quality Improvement of Probation Officers

- Probation Officers are expected to achieve a proficiency level of 80% on their case plan reviews. This will be reflected as Proficient or Not Proficient in the Feedback Forms;
- If a case plan has not met the required standards during two consecutive reviews, the Probation Officer will be required to meet with the review team and their supervisor to discuss areas for improvement as well as aspects of the Case Plan that were satisfactory. The Probation Officer will also be required to meet with a Case Plan Coach/Mentor for retraining on the fundamentals of case planning and will be required to have the process continued with a new Case Plan.

Data and Tracking

- The JJSES Supervisor will conduct a final review on the cases reviewed for Case Plan Reviews to collect the following data: initial YLS score, closing YLS score, number of needs addressed, and the initial and closing YLS scores for the domains addressed;
- The Office Supervisor will track all relevant data on the Case Plan spreadsheet located in the Supervisor shared folder under Quality Assurance;
- The Office Supervisor and the JJSES Coordinator will be responsible to track all relevant aspects of the review process;
- On a yearly basis, the Office Supervisor will provide the Chief Juvenile Probation Officer with a summary of how the Case Plan reviews are progressing and note any significant successes or concerns;
- The Deputy Chief will be responsible for tracking the timely completion of the Case Plan and record any delays in developing the Initial Case Plan. Concerns noted in this area can be addressed by the Deputy Chief; however, continued concerns should be brought to the attention of the Chief Juvenile Probation Officer.

- On a quarterly basis, the Deputy Chief and the JJSES Coordinator will be responsible to review case plans for active moderate to high risk youth in the department for any process or quality issues in case planning. This information will be compiled into a chart for the Chief Juvenile Probation Officer reflecting the issue(s) and the Supervisor's response to the issue(s).
- On a yearly basis, Probation Officers and Supervisors will be provided an End of the Year Proficiency Report which will include their individual scores/data related to the YLS, Case Plan Reviews, EPICS, and JJSES Boosters.

Aftercare Cases

- The Case Plan Review Process will begin 30 days post placement with a subsequent review at 90 days post placement.

Additional Information

- If a juvenile is placed in an out of home placement during the review process, the Probation Officer's case plan prior to placement will be reviewed. If the youth was placed within 30 days of the prior review, no further review will be held on that case unless the Probation Officer fell below the required proficiency level of 80%;
- If a 120-day Case Plan is unable to be reviewed due to the case being closed within 30 days of the 60-day Case Plan review, no further review case plans will be reviewed. If the 60-day Case Plan Review fell below the required proficiency level of 80%, the JJSES Coordinator will meet with the Case Plan Coach to determine if another Case Plan should be reviewed.

Example 2: Mercer County Juvenile Probation

This policy is another example that others can draw from to develop a policy that best meets the need of their specific county. It includes a list of skills that would help youth address criminogenic needs, a template for initial notes to guide case plan development, and letters to the youth and their family that would accompany copies of the initial and closing case plans.



Mercer County Juvenile Probation Case Plan Policy

TITLE: CASE PLAN

DEFINITION: "Case Plans are written documents that articulate goals and activities that are to be completed during a period of an offender's supervision" (Carey, 2010; Clear, 1981). "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, 2012).

PURPOSE: The Case Plan will establish goals and activities/action steps for those participants in Mercer County's Community Court diversion program, consent decrees, formal probation and/or aftercare. The top two to three criminogenic needs are targeted to achieve the greatest likelihood to reduce recidivism and help the youth become a productive citizen. Each youth under the supervision of Mercer County's Court is assigned specific Court ordered terms and conditions of probation. No youth should be violated solely based on their lack of progress surrounding their outlined goals and activities.

NOTE: *The Case Plan is a separate document from these conditions.*

Pursuant to best practice policy, the Youth Level of Service (YLS) will be completed and a Case Plan (CP) will be developed as per the guidelines herein. Together the YLS and Case Plan enhance the department's ability to achieve the goal of community protection, offender accountability and competency development.

It is the Mercer County Juvenile Probation Department's (MCJPD) philosophy to assess and review, in collaboration with the youth and family, the YLS results. The objective is to target the primary criminogenic need(s) and the associated skill deficit(s) for the purpose of matching youth to the appropriate service(s) as well as identifying goals and activities that will develop strengths and protective factors in those areas. *JPOs should be aware of "dosage" parameters as to not under or over service youth.*

The MCJPD recognizes that it is crucial to make every effort to involve the youth and family in the development of the Case Plan to increase effectiveness. Working together, utilizing Motivational Interviewing (MI) techniques, will help strengthen professional alliance as the probation officer establishes rapport, clarifies expectations, enhances perceptions of fairness and increases the likelihood that the youth and family will participate in the activities of the Case Plan.

PROCEDURE: Formal Probation, Consent Decree, Courtesy Supervision and Aftercare

• **When to complete a Case Plan**

- The Case Plan is required for all youth, *including courtesy supervision cases*, that score as an overall MODERATE, HIGH or VERY HIGH risk level on the YLS.
- Case Plans are NOT required for overall LOW risk youth.

Note: A Case Plan MAY be developed at the probation officer's discretion on youth who score as an overall LOW risk should it be determined that a youth could benefit from developing skills within a particular domain.

Note: Should sanctions be imposed on overall LOW risk youth, the case should be reviewed with the Deputy Chief to determine if there is a need for YLS reassessment and/or Case Plan creation/modification.

- Case Plans are NOT required to be updated or created for youth in out-of-home placements.
- Case Plans are NOT required to be updated or created for youth placed on administrative supervision.

• **Initiating a Case Plan**

Within the first 30 days following disposition, the probation officer will collaborate with the youth and family to complete a Case Plan. The YLS provides requisite information for the completion of a Case Plan. The YLS will be utilized for the development of the Case Plan for each youth being supervised by the Mercer County Juvenile Probation Department (Refer to Mercer County Juvenile Probation Department's YLS policy).

- **Prior to meeting with the family**, the probation officer will review the YLS results; examine the overall level of risk, and; identify the top criminogenic needs/risk factors—with priority being given to the top four "*criminogenic needs*":

- 1.) Attitudes/Orientation
- 2.) Personality/Behavior
- 3.) Peer Relations
- 4.) Family Circumstances

Of the top 4 criminogenic needs, the JPO shall identify one but no more than two domain(s) that they believe to be the "*primary driver(s)*."

- Other criminogenic risk factors may be considered (i.e., education/employment, substance abuse, and leisure/recreation) should one be determined to be a primary driver.

Note: The probation officer should also consider non-criminogenic risk/responsivity factors (i.e., trauma, mental health, IQ, learning disabilities, etc.) in the development of the Case Plan in order to assess and target potential barriers.

Note: Should significant responsivity factors be present, it is possible that stabilization services may need to be established prior to, or in conjunction with, working on the goals and activities of the Case Plan.

- The JPO will transpose the initial YLS results onto the cover page of the field Case Plan, entitled "Overall Total Risk Level—Initial" section.


- **JPO will then schedule a meeting with the youth and family** (within 30 days following disposition) to discuss the overall YLS results as well as the individual domains. The JPO will engage in conversation with the youth and family regarding the identified primary driver(s) and all parties should be in agreement.

Note: The JPO should be cognizant of the “*Stages of Change*” as the youth and/or family may not be ready to engage in particular activities. Some flexibility/patience may be required (roll with resistance).

- Upon consensus, the JPO will circle the corresponding risk/criminogenic need outlined on the field-based Case Plan template.
- Based on the primary risk identified, the JPO and family shall begin to identify the youth and/or family’s “*skill deficit(s)*” that are contributing to the risk.

Note: See MCJPD’s SKILL DEFICIT FORM attachment for examples, which is not exhaustive.

- The JPO in conjunction with youth and family will discuss a potential goal that corresponds with the identified criminogenic need/primary driver.
- Once the goal has been identified and agreed upon, the JPO, youth and family will initially brainstorm two to three activities that support forward progression of each goal.

- S- Specific
 - M- Measurable
 - A- Achievable
 - R- Realistic
 - T- Time Limited
- 
- Each activity ***must be*** written in the S.M.A.R.T. format.

- **Reminder:** Activities may include the utilization of *Carey Guides*, *Brief Intervention Tools (BITS)*, *National Curriculum Training Institute (NCTI) programs*, other “*Cognitive Behavioral Interventions*” (CBIs) via the *EPICS model*, etc.

- Once an activity is created, the JPO will enter the creation date in the box to the right of the S.M.A.R.T. activity and record the same date in one of the appropriate progress boxes (i.e., Not Yet Started, Started).

Note: Once activities are completed and the goal remains, the JPO, youth and family will continue to identify other activities that support successful completion of the goal.

- Should the JPO believe that a secondary criminogenic need is strongly influencing the current negative behaviors, the secondary driver may be identified and goals and activities should be established via the previously identified process.

Note: A maximum of two criminogenic needs should be worked on at any particular time.

- **Reviewing a Case Plan**

- JPOs will then review the “collaboration clause” section with the youth and family, located on the cover page of the Field Case Plan, and have them initial it, indicating that they have co-created the goals and activities with the JPO. Once this section has been reviewed and initialed, the JPOs along with the youth and parent/guardian will sign and date the finalized Case Plan.
- Within 72 hours of Case Plan completion, the JPO will put the initial Case Plan in the “Case Plan Mailbox” for review by either the Case Plan Coordinator, Quality Assurance Specialist, Deputy Chief JPO or Chief JPO. Once the Case Plan has been reviewed and approved by the designated personnel, signature and date of approval will be provided in the supervision signature section, located at the bottom of the cover page.
- The designated personnel will return the approved Case Plan to the assigned JPO and provide feedback, when appropriate.
- The JPO shall give the Case Plan to the procedure clerk for processing and disbursement to the youth and family along with a cover page.
- The procedure clerk will attach an address sheet for the JPO to verify the home address and attach the approved Case Plan cover letter to each “initial” Case Plan mailing. See Attached Form.
- The “initial” Case Plan will be mailed to the family within one week of completion and the original Case Plan should be kept in the youth’s file for ongoing review.
- JPOs will conduct a formal review of the Case Plan with the youth and guardian/parent, at a minimum, once a month via a face-to-face meeting throughout the course of supervision. However, the Case Plan can be ***additionally*** reviewed via a phone call, a provider/school meeting, etc., at the probation officer’s discretion. The Case Plan should be available for ***immediate*** review at every visit with youth under community supervision. This will require that JPOs obtain and maintain a case file on each juvenile under supervision.

Note: Should a youth and/or family have an adverse event occur (i.e., eviction, loss of transportation, allegation of abuse, etc.) then the JPO must discuss postponement of the Case Plan update with the Deputy Chief.

- As supervision progresses and the Case Plan is reviewed with the youth and/or family, JPOs will then complete the “Making Progress” or “Completed” box, located under each activity when applicable.
- Once the Case Plan has been reviewed as described above, the JPO will have the youth and/or family sign and date the final page of the document indicating that they have updated and/or reviewed the Field Case Plan.
- The JPO will then utilize the Graduated Responses KEY, located at the top of the final page, with the appropriate number based on the designated outcome of the review.

**KEY: 1 – Reviewed no change
2 – Reviewed w/ changes
3 – Incentive Offered
4 – Incentive Given
5 – Reward Given**

Note: Incentives and rewards shall be given per Mercer County's Graduated Response Policy.

Note: The sanctions/noncompliance section of the GR has been intentionally negated from the CP as youth should not be sanctioned solely based on their lack of progress surrounding their outlined goals and activities.

- **Closing a Case Plan**

Court ordered release from supervision

- Should the youth's period of supervision expire, or upon early release from supervision, the Case Plan should be closed regardless of progress made.
- The JPO will put the closing Case Plan in the "Case Plan Mailbox" for review by either the Case Plan Coordinator, Quality Assurance Specialist, Deputy Chief JPO or Chief JPO. Once the Case Plan has been reviewed and approved by the designated personnel, a signature and date of approval will be provided in the supervision signature section, located at the bottom of the cover page.
- The designated personnel will return the approved Case Plan to the assigned JPO and provide feedback, when appropriate.
- The JPO shall give the Case Plan to the procedure clerk for processing and disbursement to the youth and family along with a cover page.
- The procedure clerk will attach an address sheet for the JPO to verify the home address and attach the approved Case Plan closing cover letter to each "closing" Case Plan mailing. See Attached Form.
- The "closing" Case Plan will be mailed to the family within one week of completion and the original Case Plan should be kept in the youth's file for ongoing review.

Achievement of goals/YLS reassessment

- Should all goals/activities within the Case Plan be completed, consideration can be given to closing the document. However, a YLS reassessment must be completed in order to assist in determining the appropriateness of closing a Case Plan. If upon reassessment, the YLS score is LOW, the JPO shall discuss with the Deputy Chief the appropriateness of closing a Case Plan. If upon reassessment, the YLS continues to be MODERATE or HIGH, the JPO shall develop goals and activities surrounding the other areas of need.

Transfer of supervision

TRAINING:

CASE PLAN COORDIN- ATORS:

QUALITY ASSURANCE:

- Should supervision be transferred to another county/state, the Case Plan shall be closed as it pertains to Mercer County's interest; however, a copy of the Case Plan, indicating current progress, shall be forwarded to the agency providing future supervision with the transfer packet.
- All JPOs upon hiring shall participate in the JJSES YLS/Case Plan quarterly boosters provided by appropriate MCJPD staff.
- It is the intention of the MCJPD to provide regular maintenance and training activities to increase JPO proficiency in the art of Case Planning.
- The Mercer County Chief/Deputy Chief shall identify two personnel to be the department's Case Plan Coordinators (CPC). They will participate in the Case Plan Workgroup, quarterly YLS/Case Plan conference calls, and the annual Statewide Case Plan Forum.
- The CPCs shall be responsible for assisting in the development of booster training for each quarterly JJSES booster.
- The CPCs will participate on the Chief's Assessment/Case Plan Committee and/or Case Plan Workgroup.
- A copy of each signed Case Plan, initial and closing, is to be placed in the "Case Plan Mailbox" located in the office of the Fiscal Assistant. Case Plans will be reviewed to ensure completion and to ensure the proper matching of interventions and services with the prioritized criminogenic need(s), identified driver(s) and skills deficit(s).
- The Deputy Chief and/or Quality Assurance Specialist shall randomly review revised/updated field Case Plans to assure that the aforementioned requirements are being met. The probation officer shall continue to update the signature page with the youth and/or family during each review consistent with procedures outlined in this policy.
- The Deputy Chief and/or Quality Assurance Specialist will monitor and record staff compliance with Case Plan policy via ongoing case supervision and quality assurance reviews. Compliance with Case Plan policy will be a component of the staff's yearly Evidence-Based Practices (EBP) performance appraisal.
- The Deputy Chief and/or Quality Assurance Specialist **require** all JPOs to maintain, and have available at all times, an updated "Supervision Briefcase."
- The Deputy Chief and Quality Assurance Specialist shall provide regular feedback to Case Plan Coordinators to aid in ongoing booster training development. The Deputy Chief and Quality Assurance Specialist will provide feedback to individual JPOs based on compliance with established policies. Feedback may include, but may not be limited to, requests for further training and organizational suggestions to improve utilization of the Supervision Briefcase.

COMMUNITY COURT DIVERSION PROGRAM

DESCRIPTION: The Community Court Program is Mercer County's diversionary initiative. Typically, offenders processed through the Community Court program are found to be low or low/moderate risk overall on the YLS. Community Court is a form of Informal Supervision used before the petition (formal list of charges) is docketed with the Court. The Community Court program combines the community and Juvenile Justice System by working together to achieve the goal of decreasing recidivism and instilling competency development skills. The Community Court

committees hold youth accountable with terms and conditions of an informal adjustment, which includes probation supervision, payment of supervision fee, restoration to the victim, and any other services deemed necessary to address risk(s) or need(s) of the youth. Participating youth will be supervised by the Community Court Specialist and their requirements monitored monthly by the committees. Once a youth has successfully completed the process, in whole, the alleged charges are dismissed and/or any records associated with the charges are destroyed or expunged.

PROCEDURE:

• **When to complete a Case Plan**

• **Initiating a Case Plan**

• **Reviewing a Case Plan**

• **Closing a Case Plan**

- A Case Plan is required on any youth that scores at an overall MODERATE risk level via the standard policy and procedure outlined above.
- Any youth scoring at an overall LOW risk, but at a MODERATE to HIGH risk level *within any domain*, then a Case Plan will be completed that focuses on reducing the risk in those areas. In all other regards, the Case Plan shall be developed by the Community Court Specialist in a manner consistent with all other procedures outlined above in this policy.
- Following the initial Community Court hearing, the Community Court Specialist and volunteers shall discuss the results of the YLS, identify the primary driver(s) and brainstorm possible goals/activities the family may choose to address in the Case Plan.
- Case Plans shall be completed within the first 30 days following the initial Community Court hearing, with the youth and/or family, consistent with all other procedures outlined above in this policy.
- The Community Court Specialist will review the Case Plan with the youth and/or family at each meeting, assess progress and make any necessary changes.
- A copy of the Case Plan will be provided to the Community Court volunteers to briefly review prior to each Community Court hearing and progress will be assessed. Modification to the Case Plan's goals/activities can also be made at that time.
- The Case Plan shall be reviewed at a minimum rate of every 30 days.
- The Case Plan shall be reviewed and closed at the final Community Court hearing or upon unsuccessful discharge from the program. If closing occurs at the final Community Court hearing, a copy of the closed Case Plan shall be provided to the youth and/or family.
- A Case Plan shall be closed consistent with all other procedures outlined above in this policy.
- For all Community Court youth, an updated copy of the Case Plan shall be maintained in the youth's file.

TRAINING:

QUALITY ASSURANCE:

- Training for the Community Court Specialist is consistent with all other procedures outlined above in this policy.
- Quality Assurance for the Community Court Specialist is consistent with all other procedures outlined above in this policy.

Mercer County Skill Deficit Examples

Attitudes/Orientation

Identify Your Thoughts-Emotions-Behavior Link
(Behavior Chain)

How to Take Responsibility for Your Actions

Developing Resiliency

Understanding Values/Beliefs That Lead to
Negative Choices

Understanding/Respecting Authority

Accepting/Understanding a Need for Help

Other: _____

Peer Relations

Recognizing Healthy and Unhealthy
Relationships

Avoiding Unhealthy Conflict and Violence

Ending Unhealthy Relationships/Setting
Boundaries

Where to Find Positive Peers

Making and Maintaining Positive Relationships

Other: _____

Substance Abuse

Recognizing Indicators of Addictive Behaviors

Learning to Cope Without Substances

Having Fun Without Substances

Avoiding Relapse

Understanding Negative Impact of Substance
Use

Dealing with Peer Pressure

Understanding Triggers—People, Places and
Things.

Other: _____

Personality/Behavior

Identify Your Thoughts-Emotions-Behavior Link
(Behavior Chain)

Identifying Triggers

Coping with Disappointment

Regulating Emotions/Managing Stress

Having and Showing Empathy

Recognizing and Avoiding High Risk Situations

Recognizing Effective Communication Skills

Other: _____

Family Circumstances

Managing Conflict/Deescalating a Situation

How to Make Amends

Effective Communication with Family

How to Share Household Chores

Developing Healthy Structured Family Time

How to Have Fun Within the Family

Setting Appropriate Boundaries/Rules

How to Compromise

Other: _____

Education/Employment

Identifying Future Interests/Goals

Working Hard and Persevering

Asking for Help

Time Management and Timeliness

Organizational Skills

Improving Conflict Resolution Skills

Identifying Appropriate School Behavior

Appropriate Social Interactions

Understanding the Value of Education

Developing Effective Life/Job Skills

Other: _____

Mercer County Skill Deficit Examples

Leisure/Recreation

Finding Positive Activities
Identify Prosocial Recreational Interests
Having Courage to Try Something New
Identify a Support Network
Ways to Avoid Negative Activities
Dealing with Boredom
Other: _____

All

Making Good Choices/Decisions
Effective Problem Solving
Developing Prosocial Goals (Short/Long)
Develop Effective Stress Management
Understanding Thinking Traps
Develop Impulse Control
Improve Personal Awareness
Other: _____

Based on YLS results, the primary areas of risk identified are:

- 1.) _____
- 2.) _____
- 3.) _____

Which skills do you believe might reduce future risk in this area(s)?

- 1.) _____
- 2.) _____

Now that we have identified some skills that we would like to work on, let's create a goal.

What goals should we set for developing/improving skills in this area?

- 1.) _____
- 2.) _____

Now that we have established our goal, let's brainstorm two to three relevant activities to help us achieve the goal.

- 1.) _____
- 2.) _____
- 3.) _____
- 1.) _____
- 2.) _____
- 3.) _____

Identify personal and family strengths that will help to achieve these goals:

- 1.) _____
- 2.) _____
- 3.) _____

******* Now transpose final results to the Field Case Plan Document**

Thomas R. Dobson
President Judge

Christopher J. St. John
Judge

Robert C. Yeatts
Judge

Daniel P. Wallace
Judge



MERCER COUNTY COURT OF COMMON PLEAS
JUVENILE DIVISION

Mark F. Benedetto
Chief Juvenile Probation Officer

Juvenile Probation Department
120 Strawberry Street
Mercer, PA 16137

(724) 662-3800
Ext. 2499-2500
Fax: (724) 662-4105

Date

RE: Initial Case Plan

Dear Youth and Family,

I would like to take this opportunity to thank you for your participation in the creation of the Case Plan. We value your insight and input throughout this process. As you may recall, we previously reviewed the results of the Youth Level of Service (YLS) risk/needs assessment for your youth, which identified top risk factors that could contribute to the possibility of your youth reoffending. Stemming from these risk factors, together we recently created your family's individualized Case Plan, which identifies goal(s) and activities that focus on your families and/or youth's specific needs. The Case Plan will be modified as goal(s) and activities are achieved or as a specific area of need arises.

The Mercer County Juvenile Probation Department believes that your youth and family's success, now and in the future, is very much dependent upon your support and active participation. Therefore, it is our hope that you will continue to work with us throughout the course of your youth's supervision. Enclosed is a copy of your initial Case Plan that we jointly created for your ongoing review.

Sincerely,

JPO Name
Mercer County Juvenile Probation Officer

Thomas R. Dobson
President Judge

Christopher J. St. John
Judge

Robert C. Yeatts
Judge

Daniel P. Wallace
Judge



MERCER COUNTY COURT OF COMMON PLEAS
JUVENILE DIVISION

Mark F. Benedetto
Chief Juvenile Probation Officer

Juvenile Probation Department
120 Strawberry Street
Mercer, PA 16137

(724) 662-3800
Ext. 2499-2500
Fax: (724) 662-4105

Date

RE: Closing Case Plan

Dear Youth and Family,

I would like to take this opportunity to once again thank you for your ongoing participation with the Case Plan. Your insight and input throughout this process have been invaluable. Together we created your family's individualized Case Plan, which identified goals and activities that focused on your family's and/or youth's needs over the last several months. Although the term of supervision has ended there may be goals and activities that have not yet been completed. It is our hope that you will continue to work toward achieving those goals by using the skills acquired and/or enhanced throughout our time together. We encourage you and your youth to continue to develop new goals and activities and work toward achieving them together.

It remains the belief of the Mercer County Juvenile Probation Department that your youth and family's success, now and in the future, continues to be very much dependent upon your support of one another. Enclosed is a copy of your closing Case Plan.

Sincerely,

JPO Name
Mercer County Juvenile Probation Officer

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Example 1: Initial Case Plan

Field Case Plan
Name: Youth 1 Contact #: XXX-XXX-XXX PO Name: PO 1

OVERALL TOTAL RISK LEVEL: (INITIAL ASSESSMENT)	<input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High	Date: November 19 <input type="checkbox"/>	
1. Prior and Current Offenses/Dispositions: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	5. Substance Abuse: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	2. Family Circumstances/Parenting: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	6. Leisure/Recreation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength
3. Education/Employment: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength	7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength	4. Peer Relations: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength	8. Attitudes/Orientation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength

OVERALL TOTAL RISK LEVEL: (REASSESSMENT)	<input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High	Date: <input type="checkbox"/>	
1. Prior and Current Offenses/Dispositions: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	5. Substance Abuse: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	2. Family Circumstances/Parenting: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	6. Leisure/Recreation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength
3. Education/Employment: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	4. Peer Relations: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength	8. Attitudes/Orientation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength

By signing this case plan, you acknowledge and agree that you and your child, with the assistance of the juvenile probation officer, have created the goals and activities outlined in this document.

Signatures:		Date:
Probation	_____ <i>(Initials)</i>	
Juvenile		
Parent		

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting
<input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation
Goal: Learn to control my emotions <input checked="" type="checkbox"/> Completed <input type="checkbox"/> On Hold
Skill Development: Think before I act

Activity/Action Step:

1. I will be ready to start Tool 1 of Carey Guide <i>Emotional Regulation</i> in session with PO on January 21.	Date: January 16
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Completed <input type="checkbox"/>	January 21 <input type="checkbox"/>

Activity/Action Step:

2. From <i>Emotional Regulation</i> : I will identify some people, places, and things that make me feel good or bad by February 4.	Date: January 21
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Completed <input type="checkbox"/>	February 5 <input type="checkbox"/>

Activity/Action Step:

3. From <i>Emotional Regulation</i> : I will write down how I'm feeling and what I think triggered each emotion by February 12.	Date: February 5
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Completed <input type="checkbox"/>	February 12 <input type="checkbox"/>

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input checked="" type="checkbox"/> Family/Parenting
<input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation
Goal: Have a better relationship/communication with mom
Skill Development: Effective listening skills
<input type="checkbox"/> Completed <input checked="" type="checkbox"/> On Hold

Activity/Action Step:	Date:
1.	
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Activity/Action Step:	
2.	
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Activity/Action Step:	
3.	
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Activity/Action Step:	
4.	
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>

Risk/Criminogenic Need: <input checked="" type="checkbox"/> Attitudes/Orientation <input type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting
<input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation
Goal: Learn to listen to authority figures around me <input type="checkbox"/> Completed <input type="checkbox"/> On Hold
Skill Development: Respect others

Activity/Action Step:

1. From Carey Guide <i>Moral Reasoning</i> : I will identify how my behavior affects those around me by February 19.					Date: February 12
Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	February 19	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

2. From Carey Guide <i>Moral Reasoning</i> : I will explain why I believe my top choice is the most harmful by February 26.					Date: February 19
Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	February 26	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

3. From Carey Guide <i>Moral Reasoning</i> : I will explain why obeying the law helps me by March 4.					Date: February 26
Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	March 4	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

4. From Alligator River: I will explain if it is easier to go against a core value if I go against it more than once by March 11.					Date: March 4
Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Example 2: Active Case Plan

Field Case Plan
Name: Youth 2 Contact #: XXX-XXX-XXX PO Name: PO 2

OVERALL TOTAL RISK LEVEL: (INITIAL ASSESSMENT)	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input checked="" type="checkbox"/> Very High <input type="checkbox"/>	Date: December 4
1. Prior and Current Offenses/Dispositions:	Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	Strength <input checked="" type="checkbox"/>
2. Family Circumstances/Parenting:	Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	5. Substance Abuse: <input checked="" type="checkbox"/> High <input type="checkbox"/>
3. Education/Employment:	Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	6. Leisure/Recreation: <input type="checkbox"/> High <input checked="" type="checkbox"/>
4. Peer Relations	Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	7. Personality/Behavior: <input type="checkbox"/> High <input type="checkbox"/>
		8. Attitudes/Orientation: <input type="checkbox"/> High <input type="checkbox"/>

OVERALL TOTAL RISK LEVEL: (REASSESSMENT)	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	Date:
1. Prior and Current Offenses/Dispositions:	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	Strength <input type="checkbox"/>
2. Family Circumstances/Parenting:	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	5. Substance Abuse: <input type="checkbox"/> High <input type="checkbox"/>
3. Education/Employment:	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	6. Leisure/Recreation: <input type="checkbox"/> High <input type="checkbox"/>
4. Peer Relations:	Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	7. Personality/Behavior: <input type="checkbox"/> High <input type="checkbox"/>
		8. Attitudes/Orientation: <input type="checkbox"/> High <input type="checkbox"/>

By signing this case plan, you acknowledge and agree that you and your child, with the assistance of the juvenile probation officer, have created the goals and activities outlined in this document.

_____ (Initials)

Signatures:

Probation	
Juvenile	
Parent	

Date:

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting
<input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation
Goal: Control my anger <input type="checkbox"/> Completed <input type="checkbox"/> On Hold
Skill Development: Learn how to express my anger and frustrations in a positive manner.

Activity/Action Step:

1. I will complete the Carey Guide Anger by April 30. Date: February 7

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	March 9	March 9	<input type="text"/>	March 19 COVID-19	<input type="text"/>

Activity/Action Step:

2. I will create a list of 5 things that make me angry or frustrated by March 7. Date: February 26

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	February 26	<input type="text"/>	March 9	<input type="text"/>	<input type="text"/>

Activity/Action Step:

3. I will learn to identify my physical signs of anger by completing tool 1 of the Carey Guide Anger. Date: March 6

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	March 9	<input type="text"/>	March 9	<input type="text"/>	<input type="text"/>

Activity/Action Step:

4. For two weeks, I will identify my physical signs of anger and use positive self-talk to control my anger (reporting outcomes to PO). Date: March 6

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	March 9	<input type="text"/>	<input type="text"/>	March 19 COVID-19	<input type="text"/>

Example 3: Case Plan at Closure

Field Case Plan
Name: Youth 3 Contact #: XXX-XXX-XXXX PO Name: PO 3

OVERALL TOTAL RISK LEVEL: (INITIAL ASSESSMENT)	<input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High	<input type="checkbox"/> <input checked="" type="checkbox"/>	Date: January 15	<input type="checkbox"/>
1. Prior and Current Offenses/Dispositions: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 2. Family Circumstances/Parenting: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 3. Education/Employment: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 4. Peer Relations: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 5. Substance Abuse: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input checked="" type="checkbox"/> Strength 6. Leisure/Recreation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 8. Attitudes/Orientation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength				

OVERALL TOTAL RISK LEVEL: (REASSESSMENT)	<input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High	<input checked="" type="checkbox"/> <input type="checkbox"/>	Date:	<input type="checkbox"/>
1. Prior and Current Offenses/Dispositions: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 2. Family Circumstances/Parenting: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 3. Education/Employment: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 4. Peer Relations: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 5. Substance Abuse: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input checked="" type="checkbox"/> Strength 6. Leisure/Recreation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength 8. Attitudes/Orientation: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/> Strength				

By signing this case plan, you acknowledge and agree that you and your child, with the assistance of the juvenile probation officer, have created the goals and activities outlined in this document.

Signatures:		Date:
Probation		
Juvenile		
Parent		

Risk/Criminogenic Need: Attitudes/Orientation Personality/Behavior Peer Relation Family/Parenting

Substance Abuse Education/Employment Leisure/Recreation

Goal: Learn good coping skills for when I'm mad Completed On Hold

Skill Development: Dealing with anger

Activity/Action Step:

1. List at least 4 ways I could slow myself down when I first notice I'm getting angry by May 1. Date: April 18

Not Yet Started	Started	Making Progress	Completed	Removed
<input type="text"/>	<input type="text"/>	<input type="text" value="May 1"/>	<input type="text" value="May 13"/>	<input type="text"/>
				On Hold <input type="text"/>

Activity/Action Step:

2. Complete the BITS Overcoming Automatic Responses tool by May 1. Date: April 18

Not Yet Started	Started	Making Progress	Completed	Removed
<input type="text"/>	<input type="text" value="May 1"/>	<input type="text"/>	<input type="text" value="May 13"/>	<input type="text"/>
				On Hold <input type="text"/>

Activity/Action Step:

3. Practice the new responses to triggers that were identified in session. Be prepared to talk about how they went on May 23. Date: May 13

Not Yet Started	Started	Making Progress	Completed	Removed
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="May 29"/>	<input type="text"/>
				On Hold <input type="text"/>

Activity/Action Step:

4. Complete a Behavior Chain on a risky behavior identified in session by June 10. Date: May 29

Not Yet Started	Started	Making Progress	Completed	Removed
<input type="text"/>	<input type="text" value="May 29"/>	<input type="text"/>	<input type="text" value="June 12"/>	<input type="text"/>
				On Hold <input type="text"/>

Activity/Action Step:

5. Complete the Carey Guide Emotional Regulation by July 15. Date: June 10

Not Yet Started	Started	Making Progress	Completed	Removed
<input type="text"/>	<input type="text" value="6/21/19"/>	<input type="text" value="Aug. 5
Sept. 17
Oct. 11"/>	<input type="text" value="Nov. 22"/>	<input type="text"/>
				On Hold <input type="text" value="July 23"/>

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting <input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation	<input checked="" type="checkbox"/> Completed <input type="checkbox"/> On
Goal: Learn good coping skills for when I'm mad (continued)	
Skill Development: Dealing with anger (continued)	

Activity/Action Step:

1. Complete a Cognitive Restructuring on a risky behavior identified in session by June 21.		Date: June 12
Not Yet Started	Started	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Making Progress	On Hold
	<input type="checkbox"/>	<input type="checkbox"/>
	Completed	Removed
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

2. Keep a log of good/bad days (5) and why (page 1 tool 2 of the ER Guide). Due by July 2.		Date: June 21
Not Yet Started	Started	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Making Progress	On Hold
	<input type="checkbox"/>	<input type="checkbox"/>
	Completed	Removed
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

3. Complete page 2, Tool 2 of ER Guide: log 5 days of feelings and triggers. Due by September 24.		Date: Sept. 17
Not Yet Started	Started	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Making Progress	On Hold
	<input type="checkbox"/>	<input type="checkbox"/>
	Completed	Removed
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

4. Complete page 3, Tool 3 of the ER Guide: using calming skill discussed in session. Due by October 24.		Date: Oct. 11
Not Yet Started	Started	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Making Progress	On Hold
	<input type="checkbox"/>	<input type="checkbox"/>
	Completed	Removed
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Activity/Action Step:

5. Complete page 2, Tool 4 of the ER Guide- stop and think on your own. Due by November 4.		Date: Nov. 24
Not Yet Started	Started	Removed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Making Progress	On Hold
	<input type="checkbox"/>	<input type="checkbox"/>
	Completed	Removed
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input type="checkbox"/> Substance Abuse <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Education/Employment <input type="checkbox"/> Peer Relation <input type="checkbox"/> Leisure/Recreation <input type="checkbox"/> Family/Parenting	<input checked="" type="checkbox"/> Completed <input type="checkbox"/> On Hold
Goal: Identify prosocial activities to join so I don't engage in unhealthy behaviors when I'm bored	
Skill Development: Dealing with boredom	

Activity/Action Step:

1. Make a list of at least 5 things I could do when I'm bored. Due by November 26.	Date: Nov. 22
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Nov. 26 <input type="checkbox"/>	Nov. 26 <input type="checkbox"/>

Activity/Action Step:

2. Practice skill card # 43, Deciding on Something To Do, on my own between JPO appointments. Be prepared to discuss with my JPO by December 13.	Date: Nov. 26
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Dec. 18 <input type="checkbox"/>	Dec. 18 <input type="checkbox"/>

Activity/Action Step:

3. Practice skill card #49, Making a Decision, on my own between JPO appointments. Be prepared to discuss with my JPO on December 27.	Date: Dec. 18
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
Dec. 30 <input type="checkbox"/>	Dec. 30 <input type="checkbox"/>

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting
<input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation
Goal: Learn to avoid negative thoughts when I'm bored
<input checked="" type="checkbox"/> Completed <input type="checkbox"/> On Hold
Skill Development: Reducing frustration

Activity/Action Step:
 1. Log how many days between today and January 9 I feel bored to the point of frustration/negative thoughts. Due January 9. Date: Dec. 30

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	<input type="text"/>	<input type="text"/>	Jan. 9	<input type="text"/>	<input type="text"/>

Activity/Action Step:
 2. Complete Tool 1, Question 1 from the Carey Guide *Prosocial Leisure Activities* by February 4. Date: Jan. 9

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	<input type="text"/>	Feb. 5	Feb. 18	<input type="text"/>	<input type="text"/>

Activity/Action Step:
 3. Complete Tool 1, Question 2 from the Carey Guide *Prosocial Leisure Activities* by January 21. Date: Jan. 9

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	<input type="text"/>	<input type="text"/>	Jan. 22	<input type="text"/>	<input type="text"/>

Activity/Action Step:
 4. Complete Tool 2 from the Carey Guide *Prosocial Leisure Activities* by January 30. Date: Jan. 22

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	<input type="text"/>	<input type="text"/>	Jan. 30	<input type="text"/>	<input type="text"/>

Activity/Action Step:
 5. Complete the first page of Tool 3 from the Carey Guide *Prosocial Leisure Activities*—logging activities per hour—by February 18. Date: Feb. 5

Not Yet Started	Started	Making Progress	Completed	On Hold	Removed
<input type="text"/>	<input type="text"/>	<input type="text"/>	Feb. 18	<input type="text"/>	<input type="text"/>

Example 4: Effective Case Plan with Feedback

Field Case Plan	
Name: Youth 4	Contact #: XXX-XXX-XXX
PO Name: PO 4	
Date: April 12	
OVERALL TOTAL RISK LEVEL: (INITIAL ASSESSMENT) Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	
1. Prior and Current Offenses/Dispositions: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 2. Family Circumstances/Parenting: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 3. Education/Employment: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 4. Peer Relations: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/>	5. Substance Abuse: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 6. Leisure/Recreation: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input checked="" type="checkbox"/> Strength <input type="checkbox"/> 8. Attitudes/Orientation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input checked="" type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/>
Date: _____	
OVERALL TOTAL RISK LEVEL: (REASSESSMENT) Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Very High <input type="checkbox"/>	
1. Prior and Current Offenses/Dispositions: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 2. Family Circumstances/Parenting: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 3. Education/Employment: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 4. Peer Relations: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/>	5. Substance Abuse: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 6. Leisure/Recreation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 7. Personality/Behavior: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/> 8. Attitudes/Orientation: <input type="checkbox"/> Low <input type="checkbox"/> Mod <input type="checkbox"/> High <input type="checkbox"/> Strength <input type="checkbox"/>
Date: _____	
By signing this case plan, you acknowledge and agree that you and your child, with the assistance of the juvenile probation officer, have created the goals and activities outlined in this document.	
Signatures:	Date:
Probation	
Juvenile	
Parent	

Risk/Criminogenic Need: <input checked="" type="checkbox"/> Attitudes/Orientation <input type="checkbox"/> Substance Abuse <input type="checkbox"/> Personality/Behavior <input type="checkbox"/> Education/Employment <input type="checkbox"/> Family/Parenting <input type="checkbox"/> Peer Relation <input type="checkbox"/> Leisure/Recreation	<input type="checkbox"/> Completed <input type="checkbox"/> On Hold
Goal: I will work on understanding why I need help (Feedback: Although Attitudes/Orientation scores as Moderate as opposed to Personality/Behavior scoring High, it was selected in order to meet Youth at her current stage of change. She does not think she has any problems and does not think she needs help. Guiding a youth like this to work on understanding the need can be beneficial in targeting their other needs as well. This is also a good example of how a goal can be written in simple, strength-based language.)	
Skill Development: Accepting help (Feedback: This skill is directly linked to the need area and to what PO is looking to specifically target with Youth. Also, it is tied to the goal and allows the youth to go from understanding the need for help to accepting help. A simple skill like this allows the case planning process to have fluidity and direction. Remember that the activities that we build through collaboration should always be able to ultimately lead to the established goal and skill. This skill is taken from a skill development sheet that is often used to have youth self-identify skills they need to develop to address each criminogenic need area.)	

Activity/Action Step:

1. Complete the <i>Overcoming Thinking Traps BITS</i> with my JPO by May 15 (Feedback: This particular tool is a great way for Youth to begin to understand the way she thinks. A great way to use this tool with a precontemplative juvenile like Youth is to complete the first page with PO in session to figure out her type of thinking and then have her complete the second page for homework to examine the consequences of her actions. It's simple and sets the tone for how contact with PO will require work on her end.)	Date: May 8
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
On Hold <input type="checkbox"/>	Removed <input type="checkbox"/>

Activity/Action Step:

2. Complete the Forward Thinking Journal (FTJ) Group "What Got Me Here" by August 1 and prepare to discuss with PO on a weekly basis (Feedback: This is a good example of how a court-ordered program can be incorporated into effective case planning. It also sets the tone for something achievable as Youth appears to be resistant to change. This allows her to ease into the case plan and allow for future building of activities—see below.)	Date: May 15
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
On Hold <input type="checkbox"/>	Removed <input type="checkbox"/>

Activity/Action Step:

3. Review the FTJ "What Got Me Here" homework with PO of an article on "Someone Who Has Made a Positive Change in Their Life" by May 29 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ group. Each activity builds from the previous one while still keeping in mind the goal and skill.)	Date: May 22
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>
On Hold <input type="checkbox"/>	Removed <input type="checkbox"/>

Activity/Action Step:		Date: June 5
4. Review the FTJ "What Got Me Here" homework with PO of "Top 3 Issues and Top 3 Solutions" by June 12 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ group. Each activity builds from the previous one while still keeping in mind the goal and skill.)		
Not Yet Started	<input type="checkbox"/>	
Started	<input type="checkbox"/>	
Making Progress	<input type="checkbox"/>	
Completed	<input type="checkbox"/>	
On Hold	<input type="checkbox"/>	
Removed	<input type="checkbox"/>	
Activity/Action Step:		Date: June 19
5. Review the FTJ "What Got Me Here" homework with PO of keeping a log of Thoughts, Feelings & Actions from p. 19 by June 26 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ group. Each activity builds from the previous one while still keeping in mind the goal and skill.)		
Not Yet Started	<input type="checkbox"/>	
Started	<input type="checkbox"/>	
Making Progress	<input type="checkbox"/>	
Completed	<input type="checkbox"/>	
On Hold	<input type="checkbox"/>	
Removed	<input type="checkbox"/>	
Activity/Action Step:		Date: June 26
6. Review the FTJ "What Got Me Here" homework with PO of keeping a log of Thoughts, Feelings & Actions after practicing humility by July 10 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ group. Each activity builds from the previous one while still keeping in mind the goal and skill.)		
Not Yet Started	<input type="checkbox"/>	
Started	<input type="checkbox"/>	
Making Progress	<input type="checkbox"/>	
Completed	<input type="checkbox"/>	
On Hold	<input type="checkbox"/>	
Removed	<input type="checkbox"/>	
Activity/Action Step:		Date: July 17
7. Review the FTJ "What Got Me Here" homework with PO of keeping a log of each time I use one of my 5 strategies to stay in control by July 24 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ Group. Each activity builds from the previous one while still keeping the goal and skill in mind.)		
Not Yet Started	<input type="checkbox"/>	
Started	<input type="checkbox"/>	
Making Progress	<input type="checkbox"/>	
Completed	<input type="checkbox"/>	
On Hold	<input type="checkbox"/>	
Removed	<input type="checkbox"/>	
Activity/Action Step:		Date: July 24
8. Review the FTJ "What Got Me Here" homework with PO of writing a letter to a loved one by August 1 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can be reinforced during individual sessions with the JPO. It also allows for her to be successful and accountable for her FTJ group. Each activity builds from the previous one while still keeping in mind the goal and skill.)		
Not Yet Started	<input type="checkbox"/>	
Started	<input type="checkbox"/>	
Making Progress	<input type="checkbox"/>	
Completed	<input type="checkbox"/>	
On Hold	<input type="checkbox"/>	
Removed	<input type="checkbox"/>	

Activity/Action Step:

9. Review and process with PO the "Readiness Statement" that I came up with during FTJ "What Got Me Here" and how it can help me be open to help by August 15 (Feedback: This is a good example of how the skills Youth is learning in her FTJ group can ultimately lead to her accomplishing her goal and developing the skill of accepting for help.)

Date: August 1

Not Yet Started

Started

Making Progress

Completed

On Hold

Removed

Risk/Criminogenic Need:	<input type="checkbox"/> Attitudes/Orientation	<input checked="" type="checkbox"/> Personality/Behavior	<input type="checkbox"/> Peer Relation	<input type="checkbox"/> Family/Parenting
	<input type="checkbox"/> Substance Abuse	<input type="checkbox"/> Education/Employment	<input type="checkbox"/> Leisure/Recreation	
Goal: I will work on the way I deal with my anger (Feedback: This is a good example of prioritizing a high-risk need area. Youth's case is a good way to demonstrate that once thinking [Attitudes/Orientation] is targeted, behavior [Personality/Behavior] can then be worked on. The goal is also worded simply and is strength-based.)				<input checked="" type="checkbox"/> Completed <input type="checkbox"/> On Hold
Skill Development: Regulate emotions (Feedback: This is a good example of tying together a skill, need, goal, and activities that are personalized for Youth. She struggles with tantrum-like behavior when angry, and she is easily frustrated. This skill is taken from a skill development sheet that is often used to have youth self-identify skills they need to develop to address each criminogenic need area.)				

Activity/Action Step:

1. Make a list of 5 things that trigger my anger and prepare to discuss with PO on August 8 (Feedback: This activity is a good example of a "jumping-off" point for Youth. It allows her to reflect on her anger and will also help the PO identify specific interventions to target this need area.)	Date: August 1
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
	Making Progress <input type="checkbox"/>
	Completed <input type="checkbox"/>
	On Hold <input type="checkbox"/>
	Removed <input type="checkbox"/>

Activity/Action Step:

2. Complete the Cost-Benefit Analysis (CBA) on the prosocial activity of walking away from a fight and prepare to discuss with PO on August 15 (Feedback: This activity is a good example of incorporating EPICS interventions into case planning. The CBA allows Youth to look at the pros and cons of her aggressive behavior while also identifying the positive and negative consequences of the behavior. It also builds from the previous activity: Youth went from identifying her anger in Activity 1 to taking a deeper look at her behavior in this Activity 2.)	Date: August 8
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
	Making Progress <input type="checkbox"/>
	Completed <input type="checkbox"/>
	On Hold <input type="checkbox"/>
	Removed <input type="checkbox"/>

Activity/Action Step:

3. Complete a Behavior Chain on arguing with mom and prepare to discuss with PO on August 22 (Feedback: This activity is another good example of incorporating EPICS interventions into case planning. The Behavior Chain allows Youth to make a connection between her thoughts, feelings, and behaviors. It also builds from the previous activity: Youth went from weighing out the pros and cons of her behavior to understanding how her thinking affects her behavior.)	Date: August 15
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
	Making Progress <input type="checkbox"/>
	Completed <input type="checkbox"/>
	On Hold <input type="checkbox"/>
	Removed <input type="checkbox"/>

Activity/Action Step:

4. Complete a Behavior Chain on fighting with a peer at school and prepare to discuss with PO on August 29 (Feedback: This activity is another good example of incorporating EPICS interventions into case planning. The continued use of the Behavior Chain allows Youth to practice the interventions and skills being taught by the PO.)	Date: August 22
Not Yet Started <input type="checkbox"/>	Started <input type="checkbox"/>
	Making Progress <input type="checkbox"/>
	Completed <input type="checkbox"/>
	On Hold <input type="checkbox"/>
	Removed <input type="checkbox"/>

Activity/Action Step:

5. Complete a Cognitive Restructuring on the fight that led to arrest and prepare to discuss with PO on September 19 (Feedback: This activity is another good example of incorporating EPICS interventions into case planning. The Cognitive Restructuring allows Youth to build from her previous interventions/activities and work on changing the way she thinks in order to change the behaviors exhibited in the past.)

Date: September 5

Not Yet Started

Started

Making Progress

Completed

On Hold

Removed

Example 5: Case Plan with Feedback on Potential Areas of Improvement

Field Case Plan	
Name: Youth 5	Contact #: XXX-XXX-XXX
PO Name: PO 5	
Date: April 12	
OVERALL TOTAL RISK LEVEL: (INITIAL ASSESSMENT)	
Low Mod High Very High	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
1. Prior and Current Offenses/Dispositions:	Low Mod High Strength
2. Family Circumstances/Parenting:	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3. Education/Employment:	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
4. Peer Relations:	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
5. Substance Abuse:	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
6. Leisure/Recreation:	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7. Personality/Behavior:	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
8. Attitudes/Orientation:	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Date: <input type="checkbox"/>	
OVERALL TOTAL RISK LEVEL: (REASSESSMENT)	
Low Mod High Very High	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
1. Prior and Current Offenses/Dispositions:	Low Mod High Strength
2. Family Circumstances/Parenting:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3. Education/Employment:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4. Peer Relations:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
5. Substance Abuse:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
6. Leisure/Recreation:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7. Personality/Behavior:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
8. Attitudes/Orientation:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Date: <input type="checkbox"/>	
By signing this case plan, you acknowledge and agree that you and your child, with the assistance of the juvenile probation officer, have created the goals and activities outlined in this document.	
Signatures:	_____ (Initials)
Probation	_____ Date:
Juvenile	_____
Parent	_____

<p>Risk/Criminogenic Need:</p> <p><input type="checkbox"/> Attitudes/Orientation <input checked="" type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting</p> <p><input type="checkbox"/> Substance Abuse <input type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation</p>	<p>Goal: I will stop fighting (Feedback: This is not a good example of a goal that Youth would come up with on her own. It takes us back to her need area of Attitudes/Orientation where she does not believe she has a problem and is refusing to accept help. If Youth would be identifying this as her goal (possibly to just tell the PO what they want to hear), a continued conversation with her would be beneficial to meet her stage of change. For example, we might ask: How will you stop fighting? What makes you want to fight? How can you avoid fighting? A conversation like this will make the goal more achievable and lead to greater investment. Possible alternate goals: I will identify what triggers me to fight; I will learn healthy ways to deal with my anger; I will learn to avoid fighting.)</p> <p>Skill Development: Anger Management (Feedback: Anger management is an easy fall-back skill. Try to make it more specific to her goal and what you will be working on together. Possible alternate skills: impulse control; recognizing high-risk situations.)</p>	<p><input type="checkbox"/> Completed <input type="checkbox"/> On Hold</p>
--	---	---

Activity/Action Step:

<p>1. Complete the Carey Guide Anger by June 8 (Feedback: The Carey Guide Anger is a good Guide for working on this need area with Youth. She has repeatedly fought with peers, has poor emotional regulation when angry, is impulsive, and is easily frustrated. However, Anger has four tools and PO is only giving her one month to get them all done. Each Tool can help her build her skills and will lead to more collaboration and investment. Possible ways to break down Anger for Youth: Keep a list of your physical signs of anger from Tool 1 and be prepared to discuss with PO on May 15; complete Part A of Tool 2 by May 15 and be prepared to discuss with PO.)</p>	<p>Date: May 8</p>
<p>Not Yet Started <input type="checkbox"/></p> <p>Started <input type="checkbox"/></p> <p>Making Progress <input type="checkbox"/></p> <p>Completed <input type="checkbox"/></p> <p>On Hold <input type="checkbox"/></p> <p>Removed <input type="checkbox"/></p>	

Activity/Action Step:

<p>2. Breathe and count to 20 every time I get mad (Feedback: This is a not a good example of a SMART activity. It is not realistic for Youth to breathe and count EVERY time she gets mad. Also, there is no build from Activity 1 to Activity 2. It is helpful that Youth will develop healthy coping skills she can use when she is angry, but it should be reflected in the case plan. Example of a good activity for this point in her case plan that still addresses healthy coping skills: List 3 ways to calm down when angry and be prepared to discuss with PO on June 15.)</p>	<p>Date: June 8</p>
<p>Not Yet Started <input type="checkbox"/></p> <p>Started <input type="checkbox"/></p> <p>Making Progress <input type="checkbox"/></p> <p>Completed <input type="checkbox"/></p> <p>On Hold <input type="checkbox"/></p> <p>Removed <input type="checkbox"/></p>	

Activity/Action Step:

<p>3. Complete the Aggression Replacement Training (ART) group by August 1 (Feedback: ART is another good example of an EBP program that is often used to address this need area. However, ART is often a court-ordered program, so including it in the case plan may be just another way of listing a condition of probation. It is best for skill reinforcement if the PO reviews with Youth what she is doing in ART each week. Example of a good activity related to this: Attend ART class weekly for the next 3 months and be prepared to discuss one takeaway with PO each week)</p>	<p>Date: June 22</p>
<p>Not Yet Started <input type="checkbox"/></p> <p>Started <input type="checkbox"/></p> <p>Making Progress <input type="checkbox"/></p> <p>Completed <input type="checkbox"/></p> <p>On Hold <input type="checkbox"/></p> <p>Removed <input type="checkbox"/></p>	

Risk/Criminogenic Need: <input type="checkbox"/> Attitudes/Orientation <input type="checkbox"/> Personality/Behavior <input type="checkbox"/> Peer Relation <input type="checkbox"/> Family/Parenting	<input type="checkbox"/> Completed
<input type="checkbox"/> Substance Abuse <input checked="" type="checkbox"/> Education/Employment <input type="checkbox"/> Leisure/Recreation	<input type="checkbox"/> On Hold
Goal: Do better in school (Feedback: Education can at times be an easy need area to select, especially when it is scored as High. However, it is important to look at the areas of school that Youth is struggling with to see if there is another need area that can ultimately lead to some self-correction in the area of Education. For example, addressing Attitudes/Orientation, Personality/Behavior, or Peers can ultimately lead to some change in Education. Also, doing better in school is very broad and general. Where does she want to do better? Grades? Behavior? Peers? Asking more questions may lead the PO and Youth to address a more pertinent need area.)	
Skill Development: Asking for help	

Activity/Action Step:

1. Get passing grades in all of my subjects by the end of the year (Feedback: This activity is too general and seems unrealistic. There is approximately one month left in the year according to the date this activity was created, and Youth is failing two classes. Creating a more achievable activity can make Youth more willing to complete it. An example for this specific activity: Talk to the teachers in both classes I am failing to inquire about extra credit by May 22.)	Date: March 8
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>

Activity/Action Step:

2. Follow school rules (Feedback: Again, it is not realistic for Youth to go from struggling to follow school rules, walking out of class, being disruptive in class, being disrespectful to teachers, and so on to following school rules. An example for this specific activity: Complete a cost-benefit analysis for being disruptive in class vs. staying quiet in class by March 22.)	Date: March 8
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>

Activity/Action Step:

3. Stay after school for extra help (Feedback: Youth is still struggling to accept that she needs help; therefore, seeing an activity like this may make one question the quality of case planning that is happening. However, if this were in line with where Youth is presently, this activity could still be written in SMART language. An example of this: Stay after school every Monday and Wednesday until the end of the year for credit recovery.)	Date: March 8
Not Yet Started <input type="checkbox"/>	Removed <input type="checkbox"/>
Started <input type="checkbox"/>	On Hold <input type="checkbox"/>
Making Progress <input type="checkbox"/>	Completed <input type="checkbox"/>

Appendix E: Staff Messaging Document

CQI Talking Points for Supervisors	Description
CQI has started	As you know, the department is moving ahead with a continuous quality improvement (CQI) plan.
Not new	This is not a new topic for us. We have been involved in this for years. Our goal here is to perform key tasks at our best. This is not unique to us. Successful businesses worldwide do this.
Planful	What is new is that we are trying to be more planful about CQI by rolling it out incrementally in stages. [Insert reference to a department CQI plan or strategic plan.]
A few things we need to do well	We know if we are going to reach our vision of reducing recidivism, there are a few things we need to do really well. These include conducting accurate assessments, using motivational interviewing, case planning, engaging in effective 1:1 appointments (where we teach skills to youth), programming effectively, and appropriately using rewards and sanctions.
Go slow to go fast	We can't do CQI on all of these things at once. In fact, we have adopted the motto of "go slow to go fast." This means that we don't want to rush the CQI process. We want to learn one thing reasonably well before we move onto the next thing.
Roll out in stages	We will be rolling out different CQI processes one at a time. We will be sensitive to people's time, not overwhelming everyone with too many things at once. You will get details when the rollout happens.
Checklists and coaches	The CQI process will involve the use of checklists, similar to what you are used to, and working with a coach who is a subject matter expert. This may be a supervisor, another staff member, or a contractor.
Be yourself	When we say that we will be using checklists, it is to help us be consistent with the things that matter the most. It does NOT mean that we expect people to follow a specific script and be robotic. We encourage you to be yourself.
Rating system	At some point, we will rate the items on the checklists. Please don't focus on ratings; focus on getting proficient and making incremental improvements. The goal is not to compare ourselves with each other; the goal is to learn.
Performance appraisals	At some point, after you've had enough time to learn and practice the skill, it will be built into the performance appraisal system—not at first, but after you've had time to practice it.
Proficiency levels	Using ratings will help us identify proficiency levels. These proficiency levels will help us decide how often we will hold coaching sessions.
Recognition and accountability	Ratings will also help us recognize our successes; ratings motivate high achievers. And, they will help us hold each other accountable to our department standards.
Best effort	The bottom line is that we are trying to make incremental improvements, and we do that best when we put forth our best effort, work together, and are open and transparent.
Here to help	My goal is to help you (and the department) be successful. As CQI efforts are rolled out, let me know what I can do to best help you.

Appendix F: Staff Preparation Memo or Email Template

Dear [insert the probation officer's name]:

The [insert the department name] is committed to supporting probation officers in the development of their case plans and case planning skills. We have implemented a process where trained case planning coaches will conduct case plan reviews and provide officers with feedback on the content and management of their case plans. These independent reviews will be done using the attached Case Plan Review Checklist.

You will be receiving an email shortly from [insert name of coach] to schedule a time convenient for you to conduct a review. In anticipation of this appointment, please ensure your case plan files are up to date. On the day of the scheduled review, please have your case files accessible and be prepared to meet with the coach to assist with the case selection process. The coach will select [insert number] case plans at random. The review will take place on site, and the coach will return your case files once the review is completed. You do not need to be present while the coach is conducting the review, but you should be accessible in the event the coach needs to contact you.

Following the review, the coach will schedule a time to meet with you to provide feedback and coaching. Prior to this appointment, you will receive draft copies of the completed checklists to review.

Should you have any questions, please contact [insert name and number].

Appendix G: Case Plan Review Feedback Report Example

Case Plan Review Feedback Report

Directions: Comments from the checklists and coaching session should be summarized in this report along with specific recommendations for further skill development. The report, along with the completed checklists, should be provided to the probation officer, and a copy should be sent to the officer's supervisor.

Probation Officer's Name	PO Example 4
Case Plan Review Date	June 12
Number of Cases Reviewed	6
Cases Reviewed by Youth Identifier Number	See attached

Section I: Case Plan Development

1. Development

All 6 cases completed within the time frame, signed/dated, and marked as completed or active by the required date. Good job.

2. Collaboration with youth, family, and social supports

Largely satisfactory ratings in that the youth and PO had clearly defined roles listed in the case plan. However, at times, the case plan used jargon probably only familiar to a PO. Given that two of the youth had learning difficulties (responsivity factor), using language that the youth understands is especially important.

Recommendations and Discussed Plan of Action

Use more youth-friendly language. Let me know if you want to see some examples from other case plans.

Section II: Case Plan Elements

3. Criminogenic needs and driver

Highest priority YLS items were clearly addressed in 5 out of 6 case plans. One case plan did not address the highest priority items for reasons that were not clear in the case notes. Stabilization factors were appropriately noted in 2 of the cases, and the CP addressed them.

4. Strengths and responsivity

Clearly excelled in identifying responsivity factors (mental health, motivation, learning difficulty, and past trauma) in all of the cases and in modifying the case plans accordingly. Strengths were not noted in any of the case plans or case notes.

5. Skills and interventions

In all cases, skills in need of development were clear and on target (e.g., learn to listen to authority figures, think before I act, learn to respect others). They were concise and easy to understand and they linked directly to the YLS and goals. If possible, try to get even more granular, such as "learn to respect others when I feel threatened." In terms of the activities, services, and other interventions, they all helped build skills related to the case plan goals except for one (reading a book to achieve empathy).

6. SMART case plan

All the goals were clear, and all the activities were specific and time-bound. Many activities were not measurable, and two were not realistic given the youth's situation (significant family stress and conflict).

Recommendations and Discussed Plan of Action

Overall, very solid work on making sure the core case plan elements were included on the case plans. Greatest room for improvement is weaving in youth (and/or family) strengths in the case plan activities and making sure that the activities are measurable and realistic. We discussed working through a couple of the activities that were problematic together. Please send me a date when you are available to do that.

Section III: Case Plan Management

7. Collaboration with youth, family, and social supports

Case notes showed continuous communication with youth and family in 5 of 6 cases. One case had limited contact with family which, as we discussed, had to do with family disengagement with the courts and probation due to past experiences. Your attempts to overcome their resistance were appropriate and partially successful. Not pushing it further was the right choice. Relationships with youth and family members seem strong, with mutual respect. There were not many examples when you were engaged with social supports other than school personnel.

8. Collaboration with service providers

Case plans and case notes show regular, meaningful collaboration with service providers. Routinely shared YLS results and, importantly, were very clear as to which goals and skills the service providers should address. Especially appreciated the way you redirected the service provider who was supposed to be addressing a lack of appropriate boundaries. In every case, there was a discharge or aftercare plan.

9. Updates and modifications

In 4 of 6 cases, the YLS was updated as per policy. In 2 cases, a reassessment should have been done. All of the case plans were modified in real time and updated appropriately.

Recommendations and Discussed Plan of Action

Reassessments need to be conducted every six months or when there is a reason to do so (e.g., new arrest or discovery of a risk not known at the time of the original assessment). Suggest that you maintain a tracking sheet showing when each reassessment is due.

Reviewer's Name: Reviewer 1

Date: June 30

Appendix H: Data Report Examples

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Example 1: Tracking Probation Officer Proficiency Related to Case Plans

This is an example of a data report form used to track probation officer proficiency related to case plans.

60 DAY CASE PLAN REVIEW FORM			
EA = EXPECTATIONS ACHIEVED		NI = NEEDS IMPROVEMENT	
NM = EXPECTATIONS NOT MET			
Juvenile:	ID#:	Probation Officer:	
Initial 60 Day Review:		Date:	
1. Was the initial Case Plan developed within 45 days of the first appointment? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
2. Did the juvenile sign the Case Plan? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
3. Did the parent/guardian sign the Case Plan? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
4. Were the appropriate needs identified on the Case Plan based on the YLS? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
a. If yes, what were the identified needs			
Comments:			
5. Has goal #1 been established and linked to the identified need? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
6. How well was goal #1 written? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
7. Has goal #2 been established and linked to the identified need? <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
8. How well was goal #2 written?..... <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
9. Has a skill been established and linked to the identified need for?			
Goal #1 <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Goal #2 <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
10. How well does the skill help to achieve the goal?			
Goal #1 <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Goal #2 <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			
11. Regarding goal #1, how well do the activities link to the?			
Needs <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Goal <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Skill Development <input type="checkbox"/> EA <input type="checkbox"/> NI <input type="checkbox"/> NM <input type="checkbox"/> NA			
Comments:			

Example 2: Tracking Departmental Proficiency Related to Case Plans

This is an example of a data report used to track departmental proficiency related to case plans.

60-Day Case Plan Review Departmental Proficiency				
Number of Case Plans Reviewed: 12		EA	NI	NM
1. Was the initial Case Plan developed within 45 days of the first appointment?.....	100.00%	12	0	0
2. Did the juvenile sign the Case Plan?.....	100.00%	12	0	0
3. Did the parent/guardian sign the Case Plan?.....	91.67%	11	0	1
4. Were the appropriate needs identified on the Case Plan based on the YLS?.....	100.00%	12	0	0
5. Has goal #1 been established and linked to the identified need?.....	95.83%	11	1	0
6. How well was goal #1 written?.....	100.00%	12	0	0
7. Has goal #2 been established and linked to the identified need?.....	100.00%	5	0	0
8. How well was goal #2 written?.....	100.00%	5	0	0
9. Has a skill been established and linked to the identified need for?				
Goal #1	100.00%	12	0	0
Goal #2	100.00%	5	0	0
10. How well does the skill help to achieve the goal?				
Goal #1	100.00%	12	0	0
Goal #2	100.00%	5	0	0
11. Regarding goal #1, how well do the activities link to the?				
Needs	100.00%	12	0	0
Goal	100.00%	12	0	0
Skill Development	100.00%	12	0	0
12. Regarding goal #2, how well do the activities link to the?				
Needs	100.00%	3	0	0
Goal	100.00%	3	0	0
Skill Development	100.00%	3	0	0
13. Are the activities developed in a SMART manner for goal #1?				
Specific	100.00%	12	0	0
Measurable	95.83%	11	1	0
Attainable	100.00%	12	0	0
Realistic	100.00%	12	0	0
Time Limited	100.00%	12	0	0
14. Are the activities developed in a SMART manner for goal #2?				
Specific	100.00%	3	0	0
Measurable	100.00%	3	0	0
Attainable	100.00%	3	0	0
Realistic	100.00%	3	0	0
Time Limited	100.00%	3	0	0
15. How well were the interventions/tools/services matched to identified needs?				
Goal #1	100.00%	11	0	0
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%	12	0	0

Example 4: An “At a Glance” View of Probation Officer Proficiency

This is an example of a data report that can be created for an “at a glance” view of probation officer proficiency. Scores from the Proficiency Rating Report are entered here and averaged for each officer.

Date of Review:	June 1, 2020									
Probation Officer	1	2	3	4	5	6	7	8	9	Score
M.A.	91.0	84.3	84.8	92.9	90.8	83.3	78.5	83.3	91.7	86.7%
J.C.	92.8	85.7	85.7	92.8	92.8	85.7%	92.8	88.3	92.8	89.9%
R. H.	85.7	85.7	78.6	92.8	78.5	78.6	78.6	90.0	98.6	85.2%
S.M.	78.5	75.0	83.3	91.7	91.7	83.3	78.5	91.7	91.7	85.0%
D.W.	100	90.0	90.0	100	90.0	90.0	100	90.0	90.0	93.3%

Appendix I: Case Plan Review Checklist Background Information

The following provides background information on the checklist items.

Section 1: Case Plan Development

1. The case plan was completed within the required time frame, per policy; signed and dated by the youth; and signed and dated by a family member.

Case plans establish the purpose and direction of the youth's time while on probation. The plan sets forth goals and activities to be accomplished during supervision to meet court requirements and to help the youth develop and practice new skills that lessen their likelihood of returning to the system. Completing a case plan on time starts supervision activities quickly and in the right direction.

Signatures on the case plan are not symbolic. Obtaining signatures indicate that the youth and their family¹⁹ agree to the contents of the case plan and are willing to work on the plan's goals and activities. Although signatures are an essential component of collaboration, they are not a guarantee that the youth and their family had meaningful input into the case plan. Collaboration in this sense is examined and scored in items 2 and 7 of the Case Plan Review Checklist.

It is important to note that, in some situations, the youth's family may choose not to be involved, or it would be inappropriate to have them involved. If this is the case, items on the checklist related to the family should be scored as "not applicable."

2. The case plan indicates that the youth has a clearly described role in the case plan and actively participated in its development; the probation officer's role in the case plan is clearly defined; the language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors; the youth's family has a meaningful role in the case plan; and other social supports are identified, and they have a meaningful role in the case plan, where appropriate.

The case plan is a collaborative document, functioning as an agreement between the youth, the youth's family, social supports (e.g., extended family members, friends, teachers, or others), and the probation department. Each person has a role to play, and that role must be clearly identified in the plan. Having clear expectations reduces confusion and stress while helping keep everyone focused on results.

The youth and their family must have ownership of the case plan. Youth are more likely to be motivated to work on case plan goals and complete activities when they have had meaningful input in the plan's development. Likewise, the family is more likely to actively support their youth in achieving the case plan goals when they have had a voice in the plan's development.

True collaboration cannot occur without understanding the current conditions of the youth and their family. The plan must be realistic and achievable for the youth and their family, taking into consideration environmental factors such as their housing situation, access to transportation, work schedules, finances, childcare needs, and other related issues. Collaboration should also consider responsivity factors such as motivation level, culture, mental health, and trauma. For example, if a family is overwhelmed due to a recent death of

¹⁹ "Family" is considered the biological family, extended family, legal guardian, foster family, or other caregivers who live with the youth and/or are responsible for the youth's well-being and care.

a family member, developing case plan goals around the criminogenic needs may have to be slowed down; instead, goals might address the immediate needs of the family.

The case plan should be written using language the youth and their family would understand and use. The probation officer should avoid complex sentences, jargon, undefined acronyms, or other words and phrases unfamiliar to the youth or their family. If English is a second language for either the youth or their family, it is even more paramount to use clear, simple language. The language should also be developmentally appropriate, avoiding concepts that may exceed the youth's stage of development. The youth should understand not only the words but also the meaning and context behind them. Finally, the probation officer should use the youth's preferred name and pronoun, which may differ from the youth's legal name or assigned gender at birth.

Section II: Case Plan Elements

3. The case plan goals and/or activities address the youth's most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable; address stabilization needs, if applicable; and address triggers or other barriers, if applicable.

Key to reducing a youth's risk of violating the law again is knowing the youth's criminogenic needs and prioritizing those needs so they can be the focus of the case plan. Probation uses the YLS risk/needs assessment to identify the youth's risk level, criminogenic needs, and strengths. The assessment helps the probation officer determine the youth's supervision and treatment requirements.

Prioritizing the youth's most influential needs also requires the probation officer to gather information from the youth, the youth's family and social supports, and other sources such as school records or results from other assessments and tests. Through this information gathering process, the probation officer can start to home in on which criminogenic needs are most influential. When necessary, a driver worksheet or behavioral analysis worksheet can aid the probation officer in determining which criminogenic need appears to have the most influence on the youth's behavior. By prioritizing criminogenic needs in this manner, case plan goals and activities can target conduct and skills that, once addressed, are most likely to result in behavior change.

When developing case plan goals and activities, the probation officer must also consider any stabilization needs, triggers, or other barriers that would prevent the youth from benefitting from supervision, case management, and behavioral change interventions. Stabilization needs could include the lack of safe housing, insufficient access to food, or an untreated mental health condition. Barriers can consist of transportation issues, need for a translator, or financial constraints. Triggers can also impede success. Triggers are events or circumstances that cause a strong emotional response that may lead to resistance to behavior change or to harmful or unlawful behavior. Triggers and other barriers must be addressed before, during, and after the youth participates in interventions or treatment. When barriers are eliminated, the youth's motivation and ability to engage in behavior change activities are likely to increase.

4. The case plan identifies the youth's strengths; makes use of the youth's strengths; identifies the youth's responsivity factors; and takes into account the youth's responsivity factors.

When a case plan focuses on the youth's strengths and responsivity factors, engagement is increased and motivation is enhanced, both of which increase the likelihood that the youth will achieve their case plan goals. The process for identifying the youth's strengths and responsivity factors begins with the probation

officer's first contact with the youth and the youth's family. It continues throughout the YLS assessment and case plan development interview.

The youth's responsivity factors should also be considered when writing case plan goals and activities. Specific responsivity factors include individual learning style, verbal skills, mental health, motivation, trauma history, developmental age, culture, and gender.

5. The case plan identifies skills for the youth to develop and links them to the correct case plan goal, and includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills.

Effective case plans focus on helping the youth build specific skills that will help them reach their goals and that reflect their particular circumstances. Examples of specific skills are learning how to be assertive, understanding the difference between a positive and negative friendship, and learning how to receive feedback without becoming defensive. These examples are distinguishable from broad, general statements such as learning coping skills or making new friends.

Activities such as one-on-one practice sessions with the probation officer as well as referrals to cognitive behavioral and other evidence-based programming and interventions can help the youth build the identified skills. It is essential to choose the right interventions and to sequence them so that the youth and their family feel confident that the skill will be developed and the goal will be achieved once the interventions are completed. Motivation to work on the activities will likely decline if the youth cannot see how their involvement in these interventions will aid in skill development and contribute toward goal accomplishment.

6. The case plan contains goals that are clear and activities that are specific, measurable, achievable, realistic, and time-bound.

A case plan is meant to be an action-oriented and outcomes-driven document detailing the concrete steps that must occur while the youth is on supervision so that they can meet court obligations and reduce their risk of violating the law again. In addition to being written in a youth- and family-friendly manner, goals should be clear and activities should be specific, measurable, achievable, realistic, and time-bound (SMART) in order to be most effective.

Section III: Case Plan Management Feedback

7. The case plan demonstrates continuous collaboration with the youth, the youth's family, and the youth's other social supports.

Accomplishing case plan goals is difficult to do without the ongoing involvement of the youth, their family, and other social supports. Motivation to complete case plan goals increases when the youth, family members, and social supports remain engaged during the implementation phase of the case plan, see progress on the achievement of case plan goals, and engage in proactive, meaningful collaboration with the probation officer throughout the youth's time on supervision.²⁰ Proactive communication is more than just sharing information; it involves listening, understanding, and acknowledging the other person's needs, concerns, and successes.

²⁰ The effective use of rewards and incentives is another way to motivate youth to work on their case plan goals, while responses to harmful behavior help youth be accountable and reduce the likelihood of future harmful behavior.

Collaboration also requires being invested in the process—actively working together to complete case plan activities and to find solutions to barriers or challenges that arise along the way. It should be evident in the case notes that the probation officer is working collaboratively with the youth, the family, and other social supports in managing the case.

8. The case plan demonstrates continuous collaboration with service providers that includes sharing results from the youth's YLS/CMI, when appropriate, and monitoring their integration in the treatment plan; sharing the youth's case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan; ongoing and collaborative communication, starting at the time of referral and throughout the case; and the development of a discharge/aftercare plan, where appropriate.

Community-based in-home or out-of-home providers offer essential services to youth on probation when their interventions or treatment focus on the youth's criminogenic needs. To be most effective, probation must have open and continuous communication and collaboration with service providers before, during, and after the youth's placement with the provider. Before placement, care must be taken to match the youth's needs to the provider's expertise. The provider also needs to have access to enough information to match the youth to the right program for the right duration and intensity. Sharing the results from the youth's YLS/CMI assessment helps the provider better understand the risk and needs of the youth, as well as their strengths, triggers, and responsivity factors. This information enables the provider to better tailor their responses to the youth's needs. In some situations, it may be inappropriate to share the YLS/CMI assessment results with the provider. Instead, the probation officer will want to use another method to inform the provider of the youth's needs. The provider must also know probation's expectations for the youth while in placement, the youth's case plan goals, and skills the youth should build while with the provider.

During the youth's involvement with the provider, communication and collaboration must focus on monitoring and sharing information about the youth's progress in the program, proactively addressing any issues or concerns by modifying the program to better meet the youth's needs, and planning for the youth's completion of and graduation from the program. If the youth is in a residential program, the probation officer should actively work with the provider to develop a discharge and aftercare plan for the youth's successful return to the community. If the youth is receiving services while at home, a discharge or aftercare plan may not be necessary.

9. As the youth's behavior or situation changes, the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed; services and interventions are updated or modified; and the case plan is updated to reflect the youth's progress and achievements.

The case plan is a living document that is adjusted throughout the period of supervision to reflect changes in the youth's life circumstances, motivation, attitudes, behaviors, and skills. As the youth progresses or struggles with their case plan goals and activities, the probation officer should document accomplishments and adjust goals or activities to reflect those accomplishments or to better respond to the youth's needs. If new behaviors emerge or incidents occur that require a new YLS assessment, the results should be incorporated into the case plan. It may also be necessary to complete other new assessments. The results from these assessments should also be incorporated into the case plan. Continuous review and updates demonstrate active case management.

Appendix J: Scored Case Plan Review Example

This is an example of a data report that converts the Case Plan Review Checklist to a numeric value. A report can be created for a probation officer, an office/unit, or the department.

Case Plan Review – Individual/Office/Department Proficiency Rating Report

Directions: To calculate the proficiency score, add up the total points for each item and divide by the total possible points (excluding NA from the total). For example, if an item received 7 S, 2 I, and 1 NA, the total is 8.0 points (according to the Rating and Numeric Value chart below). Divide 8.0 by 9 (the total possible points if all applicable items were scored satisfactory). That equals an 88.9% proficiency for that item.

Rating Report	
Date: June 1	
Number of Case Plans Reviewed: 7	
<input checked="" type="checkbox"/> Probation officer: M.A.	
<input type="checkbox"/> Office/unit:	<input type="checkbox"/> Department

Rating and Numeric Value		
S	Satisfactory	1.0 point
I	Needs Improvement	0.5 point
M	Missed Opportunity	0.0 point
NA	Not Applicable	–

1. Development	S	I	M	NA	SCORE
The case plan was:					
1a. completed within the required time frame, as per policy	6	1			92.9%
1b. signed and dated by the youth	6	1			92.9%
1c. signed and dated by a family member	6		1		85.7%
(total score divided by 3)	OVERALL SCORE				90.5%
2. Collaboration with youth, family, and social supports	S	I	M	NA	SCORE
The case plan indicates that:					
2a. the youth has a clearly described role in the case plan and actively participated in its development	6	1			92.9%
2b. the probation officer's role in the case plan is clearly defined	5	2			85.7%
2c. the language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors	5	2			85.7%
2d. the youth's family has a meaningful role in the case plan	5	1	1		78.6%
2e. other social supports are identified, and they have a meaningful role in the case plan, where appropriate	5	1	1		78.6%
(total score divided by 5)	OVERALL SCORE				84.3%
3. Criminogenic needs and driver	S	I	M	NA	SCORE
The case plan goals and/or activities:					
3a. address the youth's most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable	5	2			85.7%
3b. address stabilization needs, if applicable	4	2		1	83.3%
3c. address triggers or other barriers, if applicable	5	1	1		78.6%
(total score divided by 3)	OVERALL SCORE				82.5%

4. Strengths and responsivity **S I M NA** **SCORE**

The case plan:

4a. identifies the youth’s strengths	7				100%
4b. makes use of the youth’s strengths	6	1			92.9%
4c. identifies the youth’s responsivity factors	7				100%
4d. takes into account the youth’s responsivity factors	5	1	1		78.6%

(total score divided by 4) **OVERALL SCORE** **92.9%**

5. Skills and interventions **S I M NA** **SCORE**

The case plan:

5a. identifies skills for the youth to develop and links them to the correct case plan goal	6		1		85.7%
5b. includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills	6		1		85.7%

(total score divided by 2) **OVERALL SCORE** **85.7%**

6. SMART case plans **S I M NA** **SCORE**

The case plan contains:

6a. goals that are clear	6	1			92.9%
6b. activities that are specific	6	1			92.9%
6c. activities that are measurable	6	1			92.9%
6d. activities that are achievable	5	2			85.7%
6e. activities that are realistic	5	2			85.7%
6f. activities that are time-bound	7				100%

(total score divided by 6) **OVERALL SCORE** **91.7%**

7. Collaboration with youth, family, and social supports **S I M NA** **SCORE**

The case plan demonstrates continuous collaboration with the:

7a. youth	6	1			92.9%
7b. youth’s family	5	1	1		78.6%
7c. youth’s other social supports	4	1	2		64.3%

(total score divided by 3) **OVERALL SCORE** **78.6%**

8. Collaboration with service providers	S	I	M	NA	SCORE
The case plan demonstrates continuous collaboration with service providers that includes:					
8a. sharing results from the youth's YLS/CMI, when appropriate, and monitoring their integration in the treatment plan	4		1	2	80.0%
8b. sharing the youth's case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan	4	1		2	90.0%
8c. ongoing and collaborative communication, starting at the time of referral and throughout the case	3	2		2	80.0%
8d. the development of a discharge/aftercare plan, where appropriate	2	1		4	83.3%
(total score divided by 4)	OVERALL SCORE				83.3%

9. Updates and modifications	S	I	M	NA	SCORE
As the youth's behavior or situation changes:					
9a. the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed	5	1		1	91.7%
9b. services and interventions are updated or modified	5	1		1	91.7%
9c. the case plan is updated to reflect the youth's progress and achievements	5	1		1	91.7%
(total score divided by 3)	OVERALL SCORE				91.7%

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Form A: Case Plan Review Checklist

Case Plan Review Checklist

Directions: This checklist provides feedback to probation officers on the contents of their case plans and the management of their cases. Follow the scoring guide to determine the rating for each section. Provide comments and specific examples in each section to support the rating.

Staff, Case, and Review Information

Probation Officer's Name: _____ Date: _____
 Youth's Name: _____ Youth Identifier #: _____
 Reviewer's Name: _____ Title: _____
 Type of case plan: Initial (first case plan) Open (ongoing case plan)

Rating Criteria

S	Satisfactory	Officer met or exceeded the minimum requirements for the listed criteria
I	Needs Improvement	Officer met some of the requirements but missed key case planning elements or needs improvement in addressing the element
M	Missed Opportunity	Officer missed an opportunity to address this area
NA	Not Applicable	This item does not apply

Section I: Case Plan Development

1. Development	S	I	M	NA
The case plan was: 1a. completed within the required time frame, as per policy 1b. signed and dated by the youth 1c. signed and dated by a family member Comments and specific examples:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2. Collaboration with youth, family, and social supports	S	I	M	NA
The case plan indicates that: 2a. the youth has a clearly described role in the case plan and actively participated in its development 2b. the probation officer's role in the case plan is clearly defined 2c. the language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors 2d. the youth's family has a meaningful role in the case plan 2e. other social supports are identified, and they have a meaningful role in the case plan, where appropriate Comments and specific examples:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Recommendations and Discussed Plan of Action

Section II: Case Plan Elements

3. Criminogenic needs and driver	S I M NA
<p>The case plan goals and/or activities:</p> <p>3a. address the youth’s most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable</p> <p>3b. address stabilization needs, if applicable</p> <p>3c. address triggers or other barriers, if applicable</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
4. Strengths and responsivity	S I M NA
<p>The case plan:</p> <p>4a. identifies the youth’s strengths</p> <p>4b. makes use of the youth’s strengths</p> <p>4c. identifies the youth’s responsivity factors</p> <p>4d. takes into account the youth’s responsivity factors</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
5. Skills and interventions	S I M NA
<p>The case plan:</p> <p>5a. identifies skills for the youth to develop and links them to the correct case plan goal</p> <p>5b. includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

6. SMART case plan	S I M NA
<p>The case plan contains:</p> <p>6a. goals that are clear</p> <p>6b. activities that are specific</p> <p>6c. activities that are measurable</p> <p>6d. activities that are achievable</p> <p>6e. activities that are realistic</p> <p>6f. activities that are time-bound</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>Recommendations and Discussed Plan of Action</p>	

Section III: Case Plan Management

7. Collaboration with youth, family, and social supports	S I M NA
<p>The case plan demonstrates continuous collaboration with the:</p> <p>7a. youth</p> <p>7b. youth's family</p> <p>7c. youth's other social supports</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
8. Collaboration with service providers	S I M NA
<p>The case plan demonstrates continuous collaboration with service providers that includes:</p> <p>8a. sharing results from the youth's YLS/CMI, when appropriate, and monitoring their integration in the treatment plan</p> <p>8b. sharing the youth's case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan</p> <p>8c. ongoing and collaborative communication, starting at the time of referral and throughout the case</p> <p>8d. the development of a discharge/aftercare plan, where appropriate</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Comments and specific examples:	
9. Updates and modifications	S I M NA
<p>As the youth's behavior or situation changes:</p> <p>9a. the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed</p> <p>9b. services and interventions are updated or modified</p> <p>9c. the case plan is updated to reflect the youth's progress and achievements</p> <p>Comments and specific examples:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
Recommendations and Discussed Plan of Action	

<p>Reviewer's Signature: _____ Date: _____</p>
<p>Probation Officer's Signature: _____ Date: _____</p>
<p>Supervisor's Signature: _____ Date: _____</p>

Form B: Case Plan Review Feedback Report

Case Plan Review Feedback Report

Directions: *As an alternative method to provide written feedback, comments from the checklists and coaching session could be summarized in this report along with specific recommendations for further skill development. The report, along with the completed checklists, would then be provided to the probation officer, and a copy would be sent to the officer's supervisor.*

Probation Officer's Name	
Case Plan Review Date	
Number of Cases Reviewed	
Cases Reviewed by Youth Identifier Number	

Section I: Case Plan Development

1. Development

--

2. Collaboration with youth, family, and social supports

--

Recommendations and Discussed Plan of Action

--

Section II: Case Plan Elements

3. Criminogenic needs and driver

--

4. Strengths and responsivity

--

5. Skills and interventions

--

6. SMART case plan

--

Recommendations and Discussed Plan of Action

--

Section III: Case Plan Management

7. Collaboration with youth, family, and social supports

--

8. Collaboration with service providers

--

9. Updates and modifications

--

Recommendations and Discussed Plan of Action

--

Reviewer's Name:	Date:
------------------	-------

Form C: Checklist Summary and Verification Method

Section I: Case Plan Development	
1. Development	
Item	Verification Method
<i>The case plan was:</i>	
1a. completed within the required time frame, as per policy	The case plan is developed within the department's required time frame, as defined by department policy.
1b. signed and dated by the youth	The case plan signature line and date field are completed by the youth.
1c. signed and dated by a family member	The case plan signature line and date field are completed by the family.
2. Collaboration with youth, family, and social supports	
Item	Verification Method
<i>The case plan indicates that:</i>	
2a. the youth has a clearly described role in the case plan and actively participated in its development	Case notes show that case plan goals are specific to the youth and that the youth worked with the probation officer on the contents of the plan. Examples of active participation include the youth selecting a domain to work on or the youth writing the goal.
2b. the probation officer's role in the case plan is clearly defined	The case plan and/or case notes indicate how the officer will support the youth in achieving the case plan goals such as frequency of meetings and program referrals.
2c. the language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors	The language used in the case plan is clear, free of jargon, and reflects language that the youth and their family would use.
2d. the youth's family has a meaningful role in the case plan	The case plan and case notes document the family's role in helping their youth achieve case plan goals and activities. Examples include transporting the youth to required activities, participating with the youth in program services, reviewing and discussing the youth's assignments, or practicing skills with the youth.
2e. other social supports are identified, and they have a meaningful role in the case plan, where appropriate	The case plan and case notes document the social supports' role in helping the youth achieve case plan goals and activities. Examples include involving the youth in prosocial activities, practicing skills with the youth, and supporting the youth's participation in required activities by providing transportation or reviewing homework assignments.

Section II: Case Plan Elements

3. Criminogenic needs and driver

Item	Verification Method
<i>The case plan goals and/or activities:</i>	
3a. address the youth's most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable	Case plan goals link to the most influential criminogenic needs according to the YLS assessment, prioritizing work on the driver, as identified by the driver worksheet or in case notes.
3b. address stabilization needs, if applicable	Case plan goals link to stabilization needs identified in the assessment(s) and case notes.
3c. address triggers or other barriers, if applicable	Case plan activities link to triggers and barriers identified in the assessment(s) and case notes.

4. Strengths and responsivity

Item	Verification Method
<i>The case plan:</i>	
4a. identifies the youth's strengths	The case plan documents the youth's strengths, as identified in the assessment(s) and case notes.
4b. makes use of the youth's strengths	The youth's strengths are incorporated into case plan goals and activities.
4c. identifies the youth's responsivity factors	The case plan documents the youth's responsivity factors, as identified in the assessment(s) and case notes.
4d. takes into account the youth's responsivity factors	The youth's responsivity factors are addressed in case plan goals and activities.

5. Skills and interventions

Item	Verification Method
<i>The case plan:</i>	
5a. identifies skills for the youth to develop and links them to the correct case plan goal	The case plan identifies skills for the youth to develop, as indicated by the assessment(s) and in case notes, and links these skills to the appropriate case plan goal.
5b. includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills	The case plan includes activities, service referrals, and other interventions that will help the youth build the identified skills.

6. SMART Case Plan	
Item	Verification Method
<i>The case plan contains:</i>	
6a. goals that are clear	Case plan goals are well defined.
6b. activities that are specific	Case plan activities are clearly defined and specific.
6c. activities that are measurable	Case plan activities are measurable, and the method for measuring progress is clearly defined.
6d. activities that are achievable	Case plan activities are within the youth's capabilities, as determined by assessment results and as indicated in case notes.
6e. activities that are realistic	Case plan activities are realistic and reasonable for the youth to accomplish, given where they are at the moment (e.g., their available time, priorities, and situation).
6f. activities that are time-bound	Case plan activities have a specific time frame or date for completion.

Section III: Case Plan Management

7. Collaboration with youth, family, and social supports

Item	Verification Method
<i>The case plan demonstrates continuous collaboration with the:</i>	
7a. youth	Case notes identify adjustments to the case plan as a result of working with the youth on goals and activities.
7b. youth's family	Case notes identify adjustments to the case plan as a result of working with the family on the youth's goals and activities.
7c. youth's other social supports	Case notes identify adjustments to the case plan as a result of working with the youth's social supports on the youth's goals and activities.

8. Collaboration with service providers

Item	Verification Method
<i>The case plan demonstrates continuous collaboration with service providers that includes:</i>	
8a. sharing results from the youth's YLS/CMI, when appropriate, and monitoring their integration in the treatment plan	Case notes indicate that the probation officer shared assessment results and updates with service providers, and there are demonstrated efforts to have them integrated in the treatment plan.
8b. sharing the youth's case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan	Case notes indicate that the probation officer shared the youth's case plan goals and/or expectations related to the goals with service providers along with any goal updates, and there are demonstrated efforts to have them integrated in the treatment plan.

8c. ongoing and collaborative communication, starting at the time of referral and throughout the case	Case notes indicate that the probation officer had frequent and regular contact with service providers as they worked together on activities to support the case plan.
8d. the development of a discharge/aftercare plan, where appropriate	Case notes indicate that the probation officer worked with service providers to develop a discharge/aftercare plan.
9. Updates and modifications	
Item	Verification Method
<i>As the youth's behavior or situation changes:</i>	
9a. the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed	The case plan is updated to reflect new assessment results, and the results are properly linked to appropriate goals and activities.
9b. services and interventions are updated or modified	Services or interventions are updated to reflect new assessment results or case notes.
9c. the case plan is updated to reflect the youth's progress and achievements	The case plan is updated when the youth completes an activity or successfully achieves a goal.

Form D: Case Plan Review Checklist Scoring Guide

The following provides scoring criteria for each checklist item and element.

1. Development			
Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
1a. The case plan was completed within the required time frame, as per policy.			
The probation officer completed the case plan within the required time frame.	This criterion is not applicable. The probation officer either met the required element ("satisfactory"), did not meet it ("missed opportunity"), or it was not applicable.	The case plan was not completed within the required time frame.	The case plan was not completed within the required time frame due to circumstances beyond the probation officer's control.
1b. The case plan was signed and dated by the youth.			
The case plan was signed and dated by the youth, acknowledging the youth's agreement with the plan's contents.	This criterion is not applicable. The probation officer either met the required element ("satisfactory"), did not meet it ("missed opportunity"), or it was not applicable.	The case plan was not signed and dated by the youth.	The youth refused to sign despite the efforts of the probation officer.
1c. The case plan was signed and dated by a family member.			
The case plan was signed and dated by the family, acknowledging the family's agreement with the plan's contents.	This criterion is not applicable. The probation officer either met the required element ("satisfactory"), did not meet it ("missed opportunity"), or it was not applicable.	The case plan was not signed and dated by the family.	A signature is not required for a youth 18 years of age or older, or the family refused to sign despite the efforts of the probation officer.

2. Collaboration with youth, family, and social supports

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
2a. The youth has a clearly described role in the case plan and actively participated in its development.			
The youth actively participated in the development of the case plan, and the plan clearly describes the youth's role in achieving the case plan goals and completing the identified activities.	The youth minimally participated in the development of the case plan, and the officer made minimal or ineffective efforts to engage the youth. The plan does not clearly describe the youth's role.	The youth did not participate in the development of the case plan, and the officer did not make a concerted effort to engage the youth. There are gaps in the description of the youth's role.	The youth refused to participate in the development of the case plan, was disengaged, or was unable to participate despite the probation officer's efforts.
2b. The probation officer's role in the case plan is clearly defined.			
The plan clearly describes the probation officer's role in helping the youth achieve the case plan goals and completing the identified activities.	The plan does not clearly describe the probation officer's role, or the probation officer's role is clearly defined with respect to one case plan goal but not to others.	There are gaps in the description of the probation officer's role.	This criterion is not an option. The probation officer must have a clearly described and active role in the case plan.
2c. The language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors.			
The case plan is written in clear and easy-to-understand language and takes into consideration the developmental stage of the youth and their family, their ability to understand concepts, their language comprehension skills, and other responsivity factors. The plan is personalized to the youth, consistently using the youth's preferred name and pronoun.	Parts of the case plan are clear and easy to understand, but there are one or more instances where the language is not developmentally appropriate, does not take into account the youth's or their family's responsivity factors, is unclear, contains jargon, or includes undefined acronyms. The youth's name and pronoun preferences are used inconsistently.	The language throughout the case plan is not developmentally appropriate and does not reflect the youth's and their family's ability to understand concepts, their language comprehension skills, or other responsivity factors. The youth's name and pronoun preferences are not used despite case file notes indicating the youth's preferences.	This criterion is not an option. The language used in the case plan must be youth and family friendly.

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
2d. The youth’s family has a meaningful role in the case plan.			
<p>The family actively participated in the case plan development. The plan clearly describes the family’s role in helping the youth achieve the case plan goals and complete the identified activities. The role described is appropriate for the family’s situation.</p>	<p>The family minimally participated in the case plan development, and the probation officer made minimal or ineffective efforts to engage the family. The plan does not clearly describe the family’s role, or the family’s role is minimal, superficial, or not well connected to supporting the youth’s goals. One or more activities would be difficult for the family to complete due to cost, transportation, childcare, work schedules, or other related issues.</p>	<p>The family was present but did not participate in the case plan development, and the probation officer did not make a concerted effort to engage the family. The plan does not include a role for the family when one is appropriate. When a role is included, it does not consider the family’s strengths and abilities.</p>	<p>The family was unable to participate in case plan development, the family refused to participate despite the probation officer’s efforts, or family involvement is not applicable/advised.</p>
2e. Other social supports are identified, and they have a meaningful role in the case plan.			
<p>Social supports are included in the case plan where appropriate and they have a meaningful role in helping the youth achieve case plan goals.</p>	<p>Identified social supports are minimally included in the case plan or their role is not clearly described.</p>	<p>Identified social supports are not included in the case plan even though they would have helped the youth achieve case plan goals or activities.</p>	<p>Social supports are not relevant to the case plan goals or activities, or social supports were not identified.</p>

3. Criminogenic needs and driver

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
3a. The case plan goals address the youth's most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable.			
The case plan goals address the youth's most influential criminogenic needs, as identified by the YLS assessment, and the identified driver is prioritized.	One or more of the youth's most influential criminogenic needs are not reflected in the case plan goals, or one or more goals do not clearly connect to the youth's most influential criminogenic needs. The youth's identified driver was included in the case plan, but it was not prioritized.	None of the goals targets the youth's most influential criminogenic needs or communicate the need that is being addressed, and the youth's driver was not included in the case plan.	The YLS assessment was not completed due to circumstances beyond the probation officer's control, or the YLS assessment was completed but the driver was not identified because the timing was not right (i.e., the rapport needed to identify the driver was lacking or other issues took precedence), or the youth's age, offense type, or cognitive abilities did not allow the probation officer to identify the driver.
3b. The case plan addresses stabilization needs, if applicable.			
The case plan includes stabilization needs, as identified by the YLS assessment, the youth, the family, and other collateral contacts. The plan to address stabilization needs is appropriate.	The plan to address identified stabilization needs is not well defined or is unrealistic, or the plan is unlikely to address the identified needs.	The youth's stabilization needs are not identified, or they are identified but there is no plan to address them.	The youth does not have any identified stabilization issues that need to be addressed.
3c. The case plan addresses triggers or other barriers, if applicable.			
The case plan addresses triggers and other barriers, as identified by the YLS assessment, the youth, the family, and other collateral contacts. The plan to address triggers and overcome barriers is appropriate.	Minimal effort was made to identify the youth's triggers and barriers. Plans to address the triggers and overcome the barriers that were identified are not well defined or realistic, and they are unlikely to address the identified issues.	The youth's triggers and barriers are not identified, or they are identified but there is no plan to address them.	The youth does not have any identified triggers or barriers that need to be addressed.

4. Strengths and responsivity

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
4a. The case plan identifies the youth's strengths.			
The probation officer used the results from the YLS assessment and information gathered from the youth, the family, and collateral contacts to identify and document the youth's strengths.	Minimal effort was made to identify the youth's strengths, or the strengths were not clearly identified and documented.	The youth's strengths were not identified and/or documented.	The youth's strengths were not identified due to circumstances beyond the probation officer's control.
4b. The case plan makes use of the youth's strengths.			
The youth's strengths are incorporated into the case plan in a meaningful way. The case plan goals and activities use strength-based language.	The probation officer attempted to integrate the youth's strengths in the case plan but did so in a vague, indirect, or ineffective way.	The youth's strengths were not incorporated in the case plan goals and activities.	The youth's strengths were not identified due to circumstances beyond the probation officer's control.
4c. The case plan identifies the youth's responsivity factors.			
The probation officer used the results from the YLS assessment and information gathered from the youth, the family, and collateral contacts to identify and document the youth's responsivity factors.	Minimal effort was made to identify the youth's responsivity factors, or the responsivity factors were not clearly identified and documented.	The youth's responsivity factors were not identified and/or documented.	No responsivity factors were discovered or it would not have been in the best interest of the youth to have the responsivity factors listed on the case plan (i.e., past abuse or trauma).
4d. The case plan takes into account the youth's responsivity factors.			
The youth's responsivity factors are effectively addressed in the case plan, thus reducing barriers to youth engagement and increasing the likelihood of success while on supervision.	One or more of the youth's responsivity factors are not addressed in the case plan, creating potential barriers to youth engagement and success, or the probation officer attempted to address responsivity in the case plan but did so in a vague, indirect, or ineffective way.	The youth's responsivity factors are not incorporated in the case plan goals and activities.	No responsivity factors were discovered or it would not have been in the best interest of the youth to have the responsivity factors listed on the case plan (i.e., past abuse or trauma).

5. Skills and interventions			
Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
5a. The case plan identifies skills for the youth to develop and links them to the correct case plan goal.			
The case plan identifies skills that would be helpful for the youth to develop, is within the youth's ability to work on, and links the skills to the correct case plan goal.	The case plan does not connect identified skills to the correct case plan goal.	The case plan does not identify skills that would be helpful for the youth to develop.	Skills are not identified due to circumstances beyond the probation officer's control or because stabilization factors are a higher priority at the moment.
5b. The case plan includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills.			
The activities, service referrals, and other interventions included in the case plan would help the youth build the identified skills.	One or two of the activities, service referrals, or other interventions included in the case plan would not help the youth build the identified skills.	Three or more of the activities, service referrals, or other interventions included in the case plan would not help the youth build the identified skills.	Skill-building activities, service referrals, or other interventions are not included in the case plan due to circumstances beyond the probation officer's control or because stabilization factors are a higher priority at the moment.

6. SMART case plan ¹			
Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
6a. The case plan contains goals that are clear.			
Case plan goals are simple and clear so there is no question as to what is expected.	One case plan goal is unclear, leaving room for potential confusion around expectations.	All case plan goals are unclear.	Goals are not listed due to circumstances beyond the probation officer's control.
6b. The case plan contains activities that are specific.			
Activities identified in the case plan are specific so there is no question as to what is being described.	One or two activities are described in a vague way and lack enough detail to fully understand what is being required of the youth.	Three or more activities are not specific or are unclear.	Activities are not listed due to circumstances beyond the probation officer's control.

¹ The checklist and the scoring criteria for 6b to 6f rate whether the case plan activities meet each element of SMART. Departments can choose to adjust the checklist so that SMART is one measurement and give one overall rating in this area.

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
6c. The case plan contains activities that are measurable.			
Activities identified in the case plan are measurable so it can be determined when they are completed or when progress is being made.	One or two activities are not measurable, so it is not clear what it looks like when the activities are completed or when a milestone is reached.	Three or more activities contain no method of measuring whether they are successfully completed or whether progress is being made.	Activities are not listed due to circumstances beyond the probation officer's control.
6d. The case plan contains activities that are achievable.			
Activities identified in the case plan are achievable for the youth given their stage of change, strengths, responsivity factors, physical and intellectual capabilities, and family/social supports.	One or two activities would be difficult for the youth to achieve because they are beyond the youth's capabilities or means, or because they do not match the youth's stage of change.	Three or more activities would be difficult for the youth to achieve because they are beyond the youth's capabilities or means, or they do not match the youth's stage of change.	Activities are not listed due to circumstances beyond the probation officer's control.
6e. The case plan contains activities that are realistic.			
Activities identified in the case plan are realistic for the youth given where they are at the moment (e.g., their motivation, available time, priorities, and situation).	One or two activities are not realistic for the youth given where they are at the moment (e.g., their motivation, available time, priorities, and situation).	Three or more activities are not realistic for the youth given where they are at the moment (e.g., their motivation, available time, priorities, and situation).	Activities are not identified due to circumstances beyond the probation officer's control.
6f. The case plan contains activities that are time-bound.			
Activities are time-bound, with an identified due date or time frame required for completion.	One or two activities do not have a time frame attached to them, so the deadline for completing the activities is unknown.	Three or more activities do not have a time frame or deadline attached to them.	Activities or timelines are not identified due to circumstances beyond the probation officer's control.

7. Collaboration with youth, family, and social supports

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
7a. The case plan demonstrates continuous collaboration with the youth.			
There is documentation of continuous communication and collaboration between the probation officer and the youth, including efforts to overcome resistance to collaboration.	There is documentation of some collaboration with the youth, but the collaboration is minimal in nature (e.g., the probation officer shares information rather than actively involving the youth in an issue or activity).	No or almost no communication or collaboration is documented.	The youth refused to collaborate despite the probation officer's efforts.
7b. The case plan demonstrates continuous collaboration with the youth's family.			
There is documentation of continuous communication and collaboration between the probation officer and the youth's family, including efforts to overcome resistance to collaboration.	There is documentation of some collaboration with the youth's family, but the collaboration is minimal in nature (e.g., the probation officer shares information rather than actively involving the family in an issue or activity).	No or almost no communication or collaboration is documented.	The family is not involved or refused to collaborate despite the probation officer's efforts.
7c. The case plan demonstrates continuous collaboration with the youth's other social supports.			
There is documentation of continuous communication and collaboration between the probation officer and the youth's other social supports, including efforts to overcome resistance to collaboration.	There is documentation of some collaboration with the youth's other social supports, but the collaboration is minimal in nature (e.g., the probation officer shares information rather than actively involving the other social supports in an issue or activity).	No or almost no communication or collaboration is documented.	Other social supports are not involved or refused to collaborate despite the probation's officer efforts.

8. Collaboration with service providers

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
<p>8a. The case plan demonstrates continuous collaboration with service providers that includes sharing results from the youth’s YLS/CMI, when appropriate, and monitoring their integration in the treatment plan.</p>			
<p>The youth’s most influential criminogenic needs from the YLS/CMI were shared with the service provider in a timely manner and were incorporated in the youth’s treatment plan.</p>	<p>The youth’s most influential criminogenic needs from the YLS/CMI were shared with the service provider but not in a timely manner and/or the youth’s treatment plan only partially addresses the criminogenic needs for which the referral was made.</p>	<p>The service provider was not informed of the youth’s most influential criminogenic needs and/or the treatment plan does not include services that address the intended risk factors.</p>	<p>The youth was not referred to a service provider, sharing the results from the YLS/CMI was not appropriate, or the service provider was not available or amenable to learning about the youth’s most influential criminogenic needs and addressing them in the treatment plan despite the officer’s efforts.</p>
<p>8b. The case plan demonstrates continuous collaboration with service providers that includes sharing the youth’s case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan.</p>			
<p>The youth’s case plan goals and expectations, including the specific skills to be developed, were communicated to the service provider in a timely manner and are reflected in the youth’s treatment plan.</p>	<p>The youth’s case plan goals, expectations, and skills to be developed were shared with the service provider but not in a timely manner and/or the youth’s treatment plan does not adequately link to the goals, expectations, and skills to be developed.</p>	<p>There was no communication with the service provider, or the communication did not effectively link the case plan goals, expectations, and skills to be developed with the programming.</p>	<p>The youth was not referred to a service provider, or the service provider was not available or amenable to learning about or addressing the youth’s case plan goals, expectations, and skills to be developed in the treatment plan despite the officer’s efforts.</p>
<p>8c. The case plan demonstrates continuous collaboration with service providers that includes ongoing and collaborative communication, starting at the time of referral and throughout the case.</p>			
<p>Documentation demonstrates ongoing and collaborative communication between the probation officer and the service provider, from the time of referral and throughout the case.</p>	<p>Documentation demonstrates some communication, but the communication is insufficient to ensure that the programming is meeting the intended need or that it is being modified as required.</p>	<p>Documentation does not indicate any or a meaningful amount of communication, or the communication is inadequate to ensure that the programming is meeting the intended needs.</p>	<p>The youth was not referred to a service provider, or the service provider was not available or amenable to working collaboratively with the probation officer despite the officer’s efforts.</p>

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
8d. The case plan demonstrates continuous collaboration with service providers that includes the development of a discharge/aftercare plan, where appropriate.			
There is a discharge or aftercare plan to help the youth continue to develop and apply the skills learned while in the program.	The youth's discharge/aftercare plan is incomplete, or it is unclear how the youth will continue to develop and apply the skills learned while in the program.	No aftercare plan exists, or the plan does not address in any way how the youth will continue to develop and apply the skills learned while in the program.	The youth was not referred to a service provider, or the program the youth was enrolled in does not require a discharge/aftercare plan.

9. Updates and modifications

Satisfactory	Needs Improvement	Missed Opportunity	Not Applicable
9a. As the youth's behavior or situation changes, the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed.			
Case plan goals and activities are updated when the YLS assessment is updated and/or when other new assessment results become available.	One or two case plan goals or activities were not updated to reflect the results from the most recent YLS assessment and/or other assessments.	No updates were made to case plan goals or activities to reflect the results from the most recent YLS assessment or other assessments.	Initial assessments used to develop the case plan are still relevant or other assessments are not necessary.
9b. As the youth's behavior or situation changes services and interventions are updated or modified.			
Applicable services or interventions identified in the case plan are updated when the YLS assessment is updated and/or when other new assessment results become available.	One or more case plan services or interventions were not updated to reflect the results from the most recent YLS assessment or other assessments.	No updates were made to case plan services or interventions to reflect the results of the most recent YLS assessment or other assessments, or no assessments were completed even though the youth's behavior or situation changed.	Initial assessments used to develop the case plan are still relevant or other assessments are not necessary.
9c. As the youth's behavior or situation changes the case plan is updated to reflect the youth's progress and achievements.			
The case plan is updated as the youth makes progress, struggles, or completes goals or activities.	While some components of the case plan were updated to reflect the youth's activity, others were not.	The case plan was not updated to reflect the youth's progress, struggles, or completion of goals or activities.	There are no items to update.

Form E: Individual/Office/Department Proficiency Rating Report

Case Plan Review – Individual/Office/Department Proficiency Rating Report

Directions: To calculate the proficiency score, add up the total points for each item and divide by the total possible points (excluding NA from the total). For example, if an item received 7 S, 2 I, and 1 NA, the total is 8.0 points (according to the Rating and Numeric Value chart below). Divide 8.0 by 9 (the total possible points if all applicable items were scored satisfactory). That equals an 88.9% proficiency for that item.

Rating Report	
Date:	
Number of Case Plans Reviewed:	
<input type="checkbox"/> Probation officer:	
<input type="checkbox"/> Office/unit:	<input type="checkbox"/> Department

Rating and Numeric Value		
S	Satisfactory	1.0 point
I	Needs Improvement	0.5 point
M	Missed Opportunity	0.0 point
NA	Not Applicable	–

1. Development

S I M NA SCORE

The case plan was:

1a. completed within the required time frame, as per policy

1b. signed and dated by the youth

1c. signed and dated by a family member

(total score divided by 3)

OVERALL SCORE

2. Collaboration with youth, family, and social supports

S I M NA SCORE

The case plan indicates that:

2a. the youth has a clearly described role in the case plan and actively participated in its development

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2b. the probation officer's role in the case plan is clearly defined

2c. the language used in the plan is youth and family friendly, developmentally appropriate, and personalized to the youth's and family's responsivity factors

2d. the youth's family has a meaningful role in the case plan

2e. other social supports are identified, and they have a meaningful role in the case plan, where appropriate

(total score divided by 5)

OVERALL SCORE

3. Criminogenic needs and driver

S I M NA SCORE

The case plan goals and/or activities:

3a. address the youth's most influential criminogenic needs according to the YLS assessment, prioritizing the driver, if applicable

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3b. address stabilization needs, if applicable

3c. address triggers or other barriers, if applicable

(total score divided by 3)

OVERALL SCORE

4. Strengths and responsivity**S I M NA****SCORE**

The case plan:

4a. identifies the youth's strengths

4b. makes use of the youth's strengths

4c. identifies the youth's responsivity factors

4d. takes into account the youth's responsivity factors

(total score divided by 4)

OVERALL SCORE

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5. Skills and interventions**S I M NA****SCORE**

The case plan:

5a. identifies skills for the youth to develop and links them to the correct case plan goal

5b. includes specific activities, service referrals, and other interventions that will help the youth develop the identified skills

(total score divided by 2)

OVERALL SCORE

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6. SMART case plan**S I M NA****SCORE**

The case plan contains:

6a. goals that are clear

6b. activities that are specific

6d. activities that are measurable

6d. activities that are achievable

6e. activities that are realistic

6f. activities that are time-bound

(total score divided by 6)

OVERALL SCORE

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7. Collaboration with youth, family, and social supports**S I M NA****SCORE**

The case plan demonstrates continuous collaboration with the:

7a. youth

7b. youth's family

7c. youth's other social supports

(total score divided by 3)

OVERALL SCORE

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8. Collaboration with service providers**S I M NA****SCORE**

The case plan demonstrates continuous collaboration with service providers that includes:

8a. sharing results from the youth's YLS/CMI, when appropriate, and monitoring their integration in the treatment plan

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8b. sharing the youth's case plan goals and/or expectations for the service provider based on these goals and monitoring their integration in the treatment plan

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8c. ongoing and collaborative communication, starting at the time of referral and throughout the case

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8d. the development of a discharge/aftercare plan, where appropriate

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(total score divided by 4)

OVERALL SCORE

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9. Updates and modifications**S I M NA****SCORE**

As the youth's behavior or situation changes:

9a. the results from an updated YLS assessment or other assessments are incorporated into the case plan, and goals and activities are adjusted as needed

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9b. services and interventions are updated or modified

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9c. the case plan is updated to reflect the youth's progress and achievements

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(total score divided by 3)

OVERALL SCORE

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