

**Travis County Community Supervision and Corrections Department
(CSCD):**

**Travis Community Impact Supervision (TCIS) Model – The Challenges
of Implementing a Personnel Evaluation System Under an Evidence-
Based Practices (EBP) Probation Supervision Model**

by

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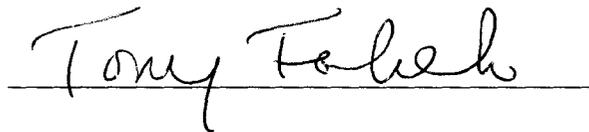
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The University of Texas at Austin, 2008

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This report examines the challenges of adapting a personnel evaluation system in a community corrections department to measure probation officer's performance as the organization adopts Evidence-Based Practices (EBP) for client service delivery. This refers to changing supervision practices from a traditional reporting and surveillance probation supervision model to one emphasizing case work and treatment targeting the risks and needs of the population. The review was conducted at the Travis County Community Supervision and Corrections Department (CSCD) which has implemented evidence based practices through the Travis Community Impact Supervision (TCIS) project.

The report introduces the concept of EBP in the corrections setting and the role that a new personnel evaluation process plays in this model. The old and new personnel evaluations systems in the Travis County probation department are then compared with regard to personnel performance measurement indicators and how these indicators relate to achieving organizational goals under the new model. A review of the process that was used to developed the new system and the implementation challenges are presented. The report concludes with observations and recommendations for probation administrators to consider for improving the new system.

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Chapter 1. Introduction

This Professional Report (PR) will examine the challenges of adapting a personnel evaluation system in a community corrections department to measure probation officer's performance as the organization adopts evidence based practices (EBP) for client service delivery. Probation officers provide a direct interface between the clients they serve and the community they protect. Performance evaluations measure the proficiency of an employee to perform the essential functions of his or her job as well as measuring how well the employee performs those duties to achieve the overall goals of the organization.

This topic is important because it offers an opportunity to look at the relationship between how an employee performs his or her individual job duties and the impact that performance has on probation service delivery and reducing recidivism. This becomes even more relevant when a department is changing practices from a traditional surveillance probation model to an EBP model as will be discussed later. In particular, the report examines the experience at the Travis County Community Supervision and Corrections Department (CSCD). The department has implemented evidence based practices at an organizational level. The report reviews the issue of personnel performance as implemented in the Travis County project.

The first part of the report introduces the reader to the concept of EBP, what it is and how it is used in the corrections setting; and the role that a new personnel evaluation process plays in impacting the success of the reforms. The introduction also provides a background on the Travis County project that was designed to transform the department into one operated under EBP. This project is referred to as the Travis Community Impact Supervision (TCIS) project.

Chapter two reviews evidence based practices in the context of community corrections or probations systems and introduces the TCIS project.

Chapter three provides a national context for the EBP model and identifies the elements of EBP in a corrections setting. A review of EBP implementation in other states examines whether these states have implemented EBP for a specific project or across an

entire organizational structure. It also addresses the implementation strategies of EBP in Travis County and follows the progress of the TCIS project, looking specifically at probation officer performance measurement.

Chapter four reviews the personnel performance evaluation system in place in Travis County for probation officers prior to the implementation of TCIS. This includes a description of what job duties and tasks were measured under the old review system; how the standards for measurement were defined; the method and frequency for conducting employee reviews under the old system; how performance feedback was provided; and, how training needs and opportunities were identified.

Chapter five reviews the new performance evaluation system developed by Travis County to support EBP, specifically for probation officers. This includes a description of the job duties and tasks measured under the new system, a discussion of how these performance measures were developed and what they are intended to measure. This chapter also looks at the method and frequency for conducting employee reviews under the new system, how performance feedback will be provided to employees and how training needs and opportunities will be identified and addressed under the new system.

The report concludes with chapter six, which compares the old and new systems with regard to what the performance measurement systems actually measure and how these performance metrics relate to achieving organizational goals. Chapter six also looks at TCIS implementation progress, and how well TCIS has accomplished organizational goals to date; the implementation challenges of adopting EBP strategies in a correctional setting; the challenges of developing and implementing a new performance measurement system that ensures EBP goals for service delivery are assessed; and makes recommendations to improve implementation.

The research methods for developing this report consist of a review of:

- Available literature of what projects and programs other state are implementing with regard to EBP.
- Existing work of the TCIS Personnel Committee:
- Personnel evaluation format for the old and new systems (including written policies, procedures and forms);
- Committee reports;

- TCIS reports prepared by an outside consultant to document strategies and implementation of the different aspects of the project; and,
- Interviews with probation officers and Travis County CSCD personnel.

Chapter 2. Evidence based practices

The premise of EBP is rooted in the medical field, where testing medical interventions for efficacy has existed since the time of Avicenna's *The Canon of Medicine* in the 11th century. It was only in the 20th century that this effort evolved to cover almost all fields of health care and policy.¹ The explicit methods used to determine "best evidence" were largely established by the McMaster University research group led by David Sackett and Gordon Guyatt. The term "evidence based" was first used in 1990 by David Eddy.²

An article published in the *Annals of Internal Medicine* explains the concept of "best evidence" as a type of systemic review that uses statistical methods to combine and summarize the results of several primary studies. Because the review process itself (like any other type of research) is subject to bias, a useful review requires clear reporting of information obtained using rigorous methods.³

Until recently, community corrections suffered from a lack of research that identified proven methods of reducing offender recidivism. Recent research efforts based on meta-analysis (the syntheses of data from many research studies), cost-benefit analyses, and specific clinical trials have broken through this barrier and are now providing the field with indications of how to better reduce recidivism.⁴

Evidence based practice is a significant trend throughout all human service fields that emphasize outcomes. Interventions within corrections are considered effective when they reduce offender risk and subsequent recidivism and therefore make a positive long-term contribution to public safety.⁵

United States criminal justice system costs have grown exponentially during the last twenty years. The *tough on crime* policies of the 1980s and 1990s led most states to substantially increase their investment in institutional capacity by building new prisons and jails. During that same time, harsher drug laws and mandatory minimum sentences began to fill those newly built institutions beyond even their increased capacity. These overcrowding issues, combined with the financial crises of the early 2000s, have forced policy makers to look for alternatives to building more institutions. Many states are

focusing on community-based corrections as they search for more effective and efficient methods of managing offenders without compromising public safety.

Parole and community supervision (probation) are both components of community corrections. These two terms are often confused as having the same or similar meaning. Although both systems supervise convicted offenders and offer similar sanctions and rehabilitation programs, their functions are quite different. Offenders on community supervision serve their sentences in the community. They are sentenced by local county-courts-at-law and district judges. Offenders are eligible for parole after they are released from prison.⁶

Texas Code of Criminal Procedure defines parole and community supervision as:

- Community Supervision: The supervised release of a convicted defendant by a court under the continuum of programs and sanctions with conditions imposed by the court for a specific period during which the imposition of a sentence is suspended:
 1. criminal proceedings are deferred without judgment of guilt; or
 2. A sentence of imprisonment or confinement, imprisonment and a fine, or confinement and a fine, is probated and the imposition of sentence is suspended in whole or in part.
- Parole: Parole means the conditional release of an eligible prisoner from the physical custody of the Correctional Institutions Division of the Texas Department of Criminal Justice to serve the remainder of the sentence under the supervision and control of the [Parole] board.⁷

As state policy makers shift their focus to community-based corrections as a means to alleviate institutional capacity and budget pressures, probation agencies are taking a leadership role. Probation directors are being challenged to help relieve these systemic pressures by managing the growing number of offenders in the community as an alternative to prison, while still maintaining public safety and managing their own shrinking resources.

Recent research efforts indicate that criminal justice agencies can significantly reduce offender recidivism by implementing a series of evidence based practices. Evidence based practices generally refer to programs or practices proven to be successful through research and have produced consistently positive patterns of results. Evidence

based practices or model programs that have shown the greatest levels of effectiveness are those that have established universal characteristics through research studies, and can be replicated in different settings and with different populations over time. The implementation of proven, well-researched programs is rapidly becoming standard practice in the corrections field.⁸ Implementation of these evidence based practices requires probation agencies to change the way their operations are run and rethink the way they conduct business.

Travis County Incubator Site

Probation departments in Texas have been moving towards an evidence based practices model that shifts the supervision emphasis to recidivism reduction. This entails changing operations, from paperwork management to casework. The change requires the implementation of more effective offender assessments based on scientific tools, use of supervision strategies that fit the needs and risk of the population and programs that can produce results.

Few departments in the state or nation have been able to institute organizational-wide change to support this operational model. The Travis Community Impact Supervision (TCIS) is a “top to bottom” realignment of organizational practices to support a more effective operational model.⁹

This name was purposely chosen to distinguish this agency-wide effort from departments in Texas and around the country that have implemented limited components of an evidence-based approach but have not been able to implement or sustain evidence-based principles throughout the organization. The Travis County CSCD and the Community Justice Assistance Division of the Texas Department of Criminal Justice (TDCJ-CJAD) teamed up to create an “incubator” site in Travis County, to develop, test and document these changes so they can be replicated in other sites in Texas.

The Travis County probation department and other county probation departments, in Texas and nationally, are facing challenges that were documented by a forum of experts convened by the U.S. Department of Justice in 2004. Among these challenges are how to:

- Effectively use assessment tools to recommend appropriate conditions of supervision and treatment to the courts;
- Develop strategies to integrate providers and community members into conventional and clinical interventions to bring positive change in behavior of offenders (so called best-practices or evidence based practices);
- Measure outcomes other than recidivism (such as improved family relations) and generate data on the economic impact of community corrections;
- Develop effective partnerships and collaboration strategies, with offenders and the communities they service; and,
- Develop organizational strategies to implement evidence based practices, maintain the integrity of programs and integrate performance measures in the management of programs.¹⁰

It is with these challenges in mind that Travis County officials made a long-term commitment to strengthen local probation supervision through TCIS. An additional objective is to use the lessons learned through TCIS to demonstrate to other localities how to best accomplish improved supervision strategies employing EBP.

The goal of TCIS is to develop, test, implement and document organizational-wide changes directed at improving offender assessment, supervision, sanctioning, staff training and quality control policies. Improving offender assessment practices is critical in reforming probation. Diagnosis of offenders along risk and criminogenic factors using evidence-based assessment tools is critical to: (a) distinguish offenders along characteristics that identify their supervision needs; (b) guide judges in setting appropriate conditions of supervision; (c) guide probation administrators in designing differentiated supervision strategies; (d) provide probation officers with reliable information to formulate and implement effective supervision plans; and, (e) devise clear outcome expectations for the different populations.¹¹

An initial internal review of the assessment practices in use by the Travis CSCD showed the department did not have a cohesive process to assess the risk and criminogenic characteristics of offenders. Redundant paper work, a lack of connection among the assessment processes, and setting supervision conditions that did not match supervision strategies made for an ineffective system.¹²

Working first with the James F. Austin Institute (JFA Institute), and later with the Justice Center of the Council of State Governments, non-profit organizations that evaluate criminal justice practices and design research-based policy solutions,¹³ Travis County CSCD changed their offender assessment practices by creating a new Diagnosis Report and a Central Diagnosis Unit. The new offender assessment practices include: (a) streamlining offender assessment procedures and forms; (b) integration of evidence-based offender assessment tools (risk assessment and offender classification protocols) into the diagnosis process; (c) creation of a Diagnosis Report for court officials; (d) organization of supervision strategies to match the assessment of offenders; and, (e) creation of a Central Diagnosis Unit to consolidate all assessment work.¹⁴

Personnel Evaluation Systems and EBP

As part of the planning process to implement EBP under the TCIS project, a series of advisory committees was formed to help guide planning discussions and build employee support and empowerment for EBP. The Performance Evaluation Committee, chaired by a senior manager who was also a probation officer, was tasked with determining whether evidence based practices can be integrated into Travis County CSCD's personnel performance evaluations. The Performance Evaluation Committee was asked to develop an evaluation tool that better defined what the probation officers' jobs were really designed to do, to match offenders with the appropriate programs and services to change offender behavior and reduce recidivism, and capture the spirit of EBP and the TCIS project.¹⁵

Under the existing personnel evaluation system in use by Travis County CSCD, the main indicators of personnel performance focus on paperwork compliance processes. Pay increases are directly tied to performance evaluation scores based on a weighted matrix; there are no formal evaluations conducted that provide feedback for improving skills, separate from pay raise decisions. Case supervision strategy skills are seen as secondary to the probation officer's job and are not evaluated in a meaningful way.¹⁶ This is consistent with the overall focus of the department's prior administration, which placed emphasis on monitoring paperwork, collecting fees and complying on paper with state requirements.

Under EBP, personnel evaluations need to incorporate an evaluation matrix that considers indicators of both compliance with paperwork requirements and indicators of effective skills in executing case supervision strategies. The new evaluation tool includes a peer review process with a mentoring feature, directed at giving feedback to probation officers to improve their skills. Additionally, the performance evaluation process is not tied to decisions about pay raises. The new evaluation system developed consistent, centrally generated, outcome reports that can be used to compare probation services delivery across work units as well as individual probation officer performance based on identified job standards. These performance measure reports directly relate to effective case strategies and allow for comparisons of systemic outcomes that will assist managers in improving their management strategies.¹⁷

The prior administration of the Travis County CSCD did a tremendous job modernizing the procedures of the agency.¹⁸ However, process compliance had become more important than producing outcomes related to recidivism, a result of high caseloads which do not allow resources to concentrate on developing supervision strategies. Under the TCIS model, processes such as risk assessments, case management and supervision planning, are modified to facilitate the outcome of changing probationers' behavior to reduce recidivism. These new processes require a change in the organizational culture as it relates to a new balance between procedures and empowerment of managers and probation officers to accomplish the more challenging mission of impacting offender behavior.

Probation personnel dealing with regular cases, including managers, indicated their main job is to make sure the probationers pay their fees, understand and follow their conditions of supervision, and report on time. Each visit of the probationer to the office takes between fifteen and twenty minutes, although some problematic cases may take longer. The main focus of the probation officer is to "push paper around" and make sure all the paperwork is completed. The main task of managers is to make sure the probation officers do their paperwork. Their personnel evaluations, and that of the officers, are driven by this requirement.¹⁹

The existing personnel evaluation system has well developed, objective measures, and provides a solid framework for standardizing personnel evaluations and reducing the perception of nepotism in promotions that can negatively affect the agency's morale. However, personnel are currently evaluated on meeting process goals rather than outcomes that relate to changing offender behavior, such as becoming an effective broker of services or being an effective case manager.²⁰

If the managers are to train and encourage probation officers to use community resources by becoming more effective brokers of these services, encourage them to develop partnerships by visiting community programs, and encourage them to develop personal contacts and awareness of the structure and quality of programs, then managers will have to be empowered to use their discretion in determining how well the staff is utilizing their time to achieve the new goals of the organization.

Notes

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² Eddy DM (1990). "Practice policies: where do they come from?" *JAMA* 263 (9): 1265, 1269, 1272 passim. PMID 2304243.

³ Deborah J. Cook, et al, "Systemic Reviews: Synthesis of Best Evidence for Clinical Decisions," *Annals of Internal Medicine*, vol. 126, no. 5 (1997), pp. 376-380. Online. Available: <http://www.annals.org/cgi/content/full/126/5/376>. Accessed: September 7, 2008.

⁴ U.S. Department of Justice, National Institute of Corrections, Crime & Justice Institute, *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention* (2004), p. 1.

⁵ *Ibid*, p. 1.

⁶ Texas Department of Criminal Justice, *Community Justice Assistance Division: How We Differ from Parole*. Online. Available: <http://www.tdcj.state.tx.us/cjad/cjad-howdiffer.htm>. Accessed: September 7, 2008.

⁷ Texas Code of Criminal Procedure, Volume 4, Section 509.003, Standards and Procedures.

⁸ Pamela Waters, "What is Evidence-based Practice?" *Southern Coast Beacon. Evidence-Based Practices*, pp. 1-4. Online. Available: http://www.scattc.org/pdf_upload/Beacon001.pdf. Accessed: August 3, 2008.

⁹ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006).

¹⁰ Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, "Community Corrections Recommendations from the National Community Corrections Forum, November 18-19, 2004," prepared by the Institute of Law and Justice, www.ilj.org.

¹¹ Travis County Community Supervision & Corrections Department, *Travis Community Impact Supervision (TCIS): Progress Report*. Online. Available: http://www.co.travis.tx.us/community_supervision/tcis/IcubatorProgReport_08.pdf. Accessed: July 14, 2008.

¹² *Ibid*.

¹³ The JFA Institute, *Home Page*. Online. Available: <http://www.jfa-associates.com>. Accessed: August 2, 2008.

¹⁴ Travis County Community Supervision & Corrections Department, *Travis Community Impact Supervision (TCIS): Progress Report*. Online. Available: http://www.co.travis.tx.us/community_supervision/tcis/IcubatorProgReport_08.pdf. Accessed: July 14, 2008.

¹⁵ *Performance Evaluation Committee*, Travis Community Impact Supervision, Power point presentation by Committee Chair, John Vasquez, Probation Case Work Manager, Travis County CSCD-N/2.

¹⁶ Tony Fabelo and Angie Gunter, “Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD); Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model; Report to Travis CSCD Director, Dr. Geraldine Nagy,” (Washington, D.C.: The JFA Institute, 2005).

¹⁷ Ibid.

¹⁸ Ibid.

¹⁹ Ibid.

²⁰ Ibid.

Chapter 3. EBP Model

Elements of EBP

EBP requires a methodical and strategic shift in organizational culture. This chapter examines the published literature regarding the implementation of the EBP model in probation systems around the country to provide a national context for attempts to change these organizations in other localities outside Travis County. This is followed by an overview of the TCIS implementation strategies which provides context for a later discussion reviewing the personnel performance system.

The National Institute of Corrections, in two reports related to the implementation of EBP, found:

“Aligning these evidence-based principles with the core components of an agency is a consummate challenge and will largely determine the impact the agency has on sustained reductions in recidivism. In order to accomplish this shift to an outcome orientation, practitioners must be prepared to dedicate themselves to a mission that focuses on achieving sustained reductions in recidivism. The scientific principles presented in this document are unlikely to produce a mandate for redirecting and rebuilding an agency’s mission by themselves. Leadership in organizational change and collaboration for systemic change are also necessary.”¹

“Shifting to an evidence-based agency management approach may require significant changes in the way business is conducted. Some changes may include how staff: are recruited and hired; conduct their job duties; receive performance feedback; and, interact with each other, offenders and system stakeholders. While the strategies that follow will help guide leaders toward the goal of implementing evidence-based practices both in offender supervision and organizational management, leaders must be prepared for the inherent challenge of conducting such a transition process.”²

Under EBP, probation officers are encouraged to motivate offenders to seek change; they must achieve a function and purpose that is more than just surveillance and information gathering. The organization has to support this shift in order to be successful.

In the last decade or longer, probation agencies have operated as surveillance, paper management and fee collector agencies. Although “pockets” of programs in these agencies may have operated following some elements of EBP, the organizations, in general, have not been able to support a full-blown EBP approach. As a report by the National Institute of Corrections states:

“Unfortunately, very few organizations have successfully implemented or been able to sustain implementation of evidence-based principles throughout their operations. While some organizations may have developed a certain breadth of implementation, many have not managed to achieve the depth necessary to change the organizational culture and attain desired outcomes. As a result, change efforts often lose focus, stagnate and are not institutionalized. An integrated approach to implementation provides the depth and breadth necessary to ensure lasting change.”³

There are four (4) key components of EBP that probation departments adopt to implement the full EBP model. These are: 1) evidence based diagnostic tools; 2) differentiated supervision plans and strategies; 3) progressive sanctions for violators; and, 4) population appropriate programming. Evidence based diagnostic tools identify an offender’s level of risk that will influence the intensity of supervision. A validated risk assessment tool is critical in the diagnostic process to identify appropriate conditions of supervision to ensure criminogenic factors unique to each offender are addressed in the supervision plan and subsequent program strategies.⁴ Differentiating supervision plans and strategies ensures conditions of supervision are targeted to specific population groups based on offender risk and needs profiles established during the diagnostic process.⁵ Adopting progressive sanctions for violations creates different “tolerance” levels for the different populations under supervision (based on assigned risk level). Low or medium risk offenders may be afforded greater tolerance for violations related to treatment, while high risk offenders would be afforded less tolerance for violations of control conditions.⁶ Designing population appropriate programming encourages probation departments to provide supervision programming based on cognitive-behavioral strategies.⁷

The EBP model is supported by two organizational elements: performance evaluation systems and outcome measurement. Personnel evaluation systems are re-designed to measure the performance of probation officers based on the new expectations

for better engagement with probationers and supervision case planning. Additionally, under EBP, the organization places a greater emphasis on outcomes to ensure fidelity to the model and that results are measured appropriately.

EBP Initiatives in Other States

Several states have published position papers outlining various approaches for implementing evidence-based practices in their criminal justice and community supervision programs. A review of available literature found EBP programs implemented in Virginia, Nebraska and Maryland. These programs apply evidence-based practices to specific community supervision and pretrial services although it is not clear from the literature how many of these programs have included a methodical re-alignment of all organizational practices necessary to support the model as has been documented in the Travis County project. What is clear, is that all attempts to implement EBP have been concentrated on adopting new evidence-based risk and criminogenic assessment instruments, better supervision planning and progressive sanctions. It is not clear from the literature whether these attempts have included the adoption of new personnel performance review and routine outcome measure practices.

In 2005, Virginia began piloting EBP with state and local probation organizations. In 2006, the Virginia Community Criminal Justice Association (VCCJA) formed an EBP Committee to focus on EBP issues unique to local probation and more specifically to include pretrial services. Ten pilot sites were identified that represented all geographical areas, were comparable in size and had both pretrial and post trial operations. Legal and evidence-based principles for pretrial services were consolidated into five goals and used for action planning purposes.

Goal 1 – Apply actuarial risk tools to predict the likelihood of risk of flight and danger to the community.

Goal 2 – Provide the least restrictive supervision necessary to effectively monitor compliance with bail conditions.

Goal 3 – Align local practice with EBP principles. Encourage differential response based on type of case and severity of violation.

Goal 4 – Use evidence-based techniques to gain compliance and increase defendant engagement and motivation through strength-based and motivational interviewing techniques.

Goal 5 – Use performance measures, data, and evaluation to ensure quality and effectiveness of services and guide decision-making.

The State of Virginia, committed to the implementation of EBP in both local and state community corrections, implemented programs in four local pilot sites and four state pilot sites putting EBP principles into practice. Several state and national agencies, including the Virginia Department of Criminal Justice Services, Department of Corrections and the National Institute of Corrections, participated in the implementation process to assist in coordinating the selection of an offender risk assessment tool to be implemented statewide and identify education and training opportunities. Local criminal justice agencies collaborated in the EBP process, including the Community Service Boards, Interfaith Outreach Association, Domestic Violence Programs and a variety of other non-profit and private treatment service agencies. A more detailed description of the Virginia EBP pilots can be found in Appendix A.

In November 2005, the Nebraska Supreme Court issued a Court Rule institutionalizing a standardized model to bring consistency and accountability to the delivery of substance abuse services to offenders throughout the state.⁸ In 2006, the Office of Probation Services created the Specialized Substance Abuse Supervision (SSAS) program as a pilot to employ evidence-based practices.⁹ The Nebraska Office of Probation Administration published a report in October 2007 which provided an overview of the standardized model for delivery of substance abuse services and summarized the developments related to implementing the model and its contributions to building a system of substance abuse care within Nebraska's probation system and as part of a sentencing continuum.¹⁰

The principal goals of the standardized model for delivery of substance abuse services are to evaluate offenders for substance abuse or dependency; to ensure substance abusing offenders are assessed for risk of re-offending; to ensure collaboration between the judiciary, probation and other justice agencies as well as entities providing diagnostic

services; and, aligning treatment programs based on the offenders criminogenic risk and need factors. Additionally, key components of the standardized model include the mandatory use of registered substance abuse providers for evaluations and treatment, the use of standardized level of care terminology for substance abuse treatment, and mandatory certification on the standardized model for criminal justice personnel.¹¹

Implementation of the standardized model for delivery of substance abuse services is intended to increase the amount of clear communication across agencies and to improve the development of comprehensive case plans for offenders with substance abuse problems. Thus, it represents a critical step in developing Nebraska's community corrections system of care. A more detailed discussion of Nebraska's implementation of the standardized model for delivery of substance abuse services can be found in Appendix B.

In response to the 2000 joint chairmen's report, the Maryland Division of Parole and Probation (MDPP) developed a strategy to re-engineer supervision by integrating research-based findings pertinent to protecting community safety and returning offenders to a more pro-social lifestyle. The strategy, called Proactive Community Supervision (PCS), has three goals: protect public safety; hold offenders accountable to victims and the community; and, help offenders become responsible and productive. These goals are accomplished through the five major components of PCS: 1) identify criminogenic traits using a valid risk and need tool; 2) develop a supervision plan that addresses criminogenic traits employing effective external controls and treatment interventions; 3) hold the offender accountable for progress on the supervision plan; 4) use a place-based strategy wherein individual probation and parole office environments are engaged in implementing the strategy; and, 5) develop partnerships with community organizations who will provide ancillary services to supervisees.¹²

PCS is a comprehensive community-oriented approach to parole and probation. Agents are assigned to supervise offenders in a specific neighborhood or area. Unlike traditional office based systems, PCS brings agents into the community to do the bulk of their work. They have more face-to-face contact with the people under their supervision.¹³

The MDPP's goal was to implement a seamless system of risk and needs assessments that encompassed the Division of Pretrial Detention and Services, the courts, the Division of Correction, and the MDPP. Classification and assessment information should follow offenders throughout the various stages of the criminal justice system, thereby creating a continuum of information. Information and systems of gathering information related to offender classification/assessment should follow a sequential compilation process, thereby allowing the stakeholders to develop a more comprehensive picture of the individual offenders.¹⁴ A more detailed discussion and evaluation of the PCS initiative can be found in Appendix C.

EBP Implementation Strategy in Travis County

The Travis Community Impact Supervision (TCIS) model is the name adopted by Travis County for the EBP changes that were to be implemented in the county's probation system. The first critical step in the organization-wide realignment was to set the tone for organizational change and, after identifying the strengths and weaknesses of the organization, set a baseline for identifying what organizational changes were necessary. Dr. Geraldine Nagy, Director of the Travis County CSCD, led the TCIS implementation. By clearly communicating a vision for change, Dr. Nagy carefully addressed organizational issues, creating a balance between procedures and the empowerment of managers and probation officers, to accomplish the more challenging mission of impacting offender behavior. Dr. Nagy arranged for a series of training sessions to familiarize the department with the concepts and culture behind evidence-based practices. She commissioned Mark Carey, a former probation official in Minnesota and a national consultant on evidence-based practices, to conduct these sessions. Mr. Carey reviewed in extensive detail the concepts supporting evidence-based practices and assisted the staff in understanding the challenges and barriers to the successful implementation of these practices.¹⁵

The main activities of any probation department in Texas are to: (a) monitor paperwork related to the conditions of probation; (b) collect fees and other funds from the offenders; (c) comply with state standards, usually by setting a good paper trail to show compliance; and, (d) provide casework and programs to affect the behavior of offenders.

An organizational assessment, conducted by The JFA Institute, showed that the Travis County CSCD conducted the first three activities well, but providing casework and programs to affect the behavior of offenders was lost to the emphasis placed on monitoring paperwork, collecting fees and complying on paper with state requirements.¹⁶ Therefore, the goal of the TCIS was to re-design assessment, supervision and violations sanctioning practices along the expectations delineated above for an EBP model.

The “paperwork compliance” mentality became entrenched in the culture of the department as a result of prior leadership styles in the organization, prior ineffective technology infrastructures, operational realities related to high caseloads, poor use of information for organizational assessments and planning, and the traditional emphasis on surveillance and compliance that has dominated probation policies across the country. To a great extent, this operational mode has resulted from the state’s increased issuance of rules and standards, which encourage departments to create more “paper trails” to show compliance.¹⁷

Inconsistencies in the assessment process and considerable duplication of work during the intake process were found to be critical weaknesses. Risk and needs assessments are not well coordinated with the setting of the conditions of supervision and the development of case supervision strategies. By policy, risk assessments were routinely overridden, moving offenders from a low to medium risk category during their first six months of supervision. Approximately 25% of offenders were found to be supervised at higher levels than what the risk assessment required. Furthermore, there was no internal mechanism to monitor the use of the risk assessment and test its validity on a regular basis.¹⁸

Other issues related to training, personnel evaluations and quality control were also reviewed during the JFA assessment. In general, training was found to be oriented at compliance issues and not at the development of effective supervision strategies. Personnel evaluations exclusively assessed compliance with paperwork requirements. A re-design of the personnel evaluation system under TCIS will support the casework oriented EBP model.

The assessment also found the department had strengths that could serve as the foundation to support the implementation of the TCIS. Procedures or administrative structures found to be strengths include: (a) the use of a standardized personnel evaluation system that is objective, has addressed inconsistencies in the evaluation and promotion process, and has eliminated the perceptions of nepotism among the staff; (b) the availability of a Field Supervision and Personnel Manual that needs revising, but could provide a framework for any new policies; (c) the availability of risk, needs and case classification tools that may need to be streamlined and used more effectively, but could provide the structure for facilitating change; (d) the routine use of programmatic audit tools to audit the programs funded by the department; (e) a financial accountability system to track revenues and hold offenders accountable for their debts to the department; (f) the availability of a Court Services Unit that assists judges in their interaction with the probation department and helps them with the general policies and procedures of the agency; and, (g) the presence of procedures establishing a continuum of hearings that provide progressive intervention for offenders committing minor administrative violations (a Supervisory Hearing and an Administrative Hearing before a revocation hearing is conducted).¹⁹ Additionally, the JFA assessment also found collaboration and community planning to be strong.

The assessment found the department benefited from certain situational factors that may facilitate the organizational changes needed to successfully implement TCIS. These included the support of the judiciary and district attorney, along with the established collaboration between the department and other community and county agencies. Additionally, Travis County had a relatively well-educated and employed probation population.

Implementing EBP in Travis County

Dr. Nagy arranged for a series of training sessions to familiarize the department with the concepts and culture behind evidence-based practices. Additionally, Dr. Nagy commissioned The JFA Institute, and later the Justice Center of the Council of State Governments (JCCSG), to provide technical assistance to guide the organizational changes and conduct the necessary research for the project.

The technical assistance team presented the results of the earlier organizational assessment to all department staff gathered in one location. The timing of the agency-wide staff meeting was planned to guarantee all personnel in the department were briefed on the findings of the assessment before any strategic planning sessions were conducted. The idea was to set the tone for an open communication process to reduce misinformation and mitigate the fear of change.

Twenty-five members of the department were carefully selected to represent a cross-section of different areas of expertise, responsibilities and sensitivities important to the successful development of implementation strategies and to gather support for the organizational changes. During the planning sessions, all department staff were provided opportunities and encouraged to participate in every conversation, regardless of their area of expertise. The staff was divided into groups along areas of specific expertise, consisting of: (a) assessment and diagnostics; (b) case supervision strategies; (c) sanctions; (d) personnel development and training; (e) personnel evaluation measures; and, (f) quality assurance.²⁰

After the strategic planning session, a process to manage organizational change was formally adopted. Committees were created by Dr. Nagy, with input from key staff members, to parcel out the design and implementation work. A chairperson was designated for each committee, and given the responsibility of setting an agenda and maintaining a record of the work assignments and accomplishments.

TCIS Personnel Evaluation Committee Goals

The Personnel Evaluation Committee, chaired by a senior manager who was also a probation officer, was tasked with determining whether evidence-based practices could be integrated into Travis County CSCD's performance evaluations. The committee was asked to review the existing personnel evaluation system, forms and policies and to develop new evaluation indicators related to the new supervision strategies.²¹

The new performance evaluation system would reflect the changes in field supervision procedures for probation officers and supervisors. The implementation of EBP shifts the focus of probation officers from a paperwork based emphasis – focused on monitoring paperwork, collecting fees and complying on paper with state requirements –

to field supervision procedures using motivational interviewing techniques, allowing sufficient time for case-planning and the achievement of supervision goals.

Implementing the evidence-based model of probation supervision hinges on the support and reinforcement of administrators, supervisors and probation officers. Clearly identifying roles, responsibilities and expectations will facilitate organizational change. Under an evidence-based practices supervision model, the committee was tasked to review how personnel performance expectations were to be changed to support the EBP model. Consideration was also given to the responsibilities associated with each management layer that support overall program success.

Specifically, TCIS administrators would provide leadership that facilitates the successful implementation of EBP. Administrators would create and articulate the vision, mission and goals of the organization. They would identify stakeholders and develop collaborative strategies and initiatives for achieving organizational goals, determine intermediate processes and outcome measures to evaluate goal attainment.

To support the implementation of EBP, administrators would create an office culture that fosters and values honesty; ensures fair, equitable and respectful treatment of staff, probationers and community members. By facilitating the management of change through staff involvement, open and honest communication, positive role modeling, providing performance feedback and positive reinforcement, staff support for EBP will be enhanced. Providing staff with the tools, knowledge and skills needed to implement and support EBP will ensure a culture of continuous learning and improvement that supports the growth and development of staff. Administrators would establish a system of quality assurance and assistance for agency staff and program providers that maintains the fidelity and integrity of probationer supervision and evidence-based treatment services, a system that rewards achievement and celebrates accomplishments.²²

TCIS supervisors would be expected to learn the principles of recidivism reduction and EBP, to ensure staff is well-trained in and understand agency policies and procedures as well as the skills and principles of EBP. Supervisors would be expected to model the skills and behaviors staff are expected to promote, namely the skills and principles of EBP. Supervisors, like administrators, would be expected to create and

maintain an office culture that values honesty and ensures fair, equitable and respectful treatment of staff, probationers and community members.

Supervisors would periodically observe staff when interacting with a probationer during an office visit, and provide staff with feedback, reinforcement and instruction. By meeting with staff regularly and responding to staff questions, providing performance feedback and assistance, staff will be empowered to develop strategies for handling difficult cases. Supervisors would also conduct periodic random reviews of each probation officer's completed risk and needs assessments and case plans and provide objective feedback to the officer.²³

Finally, probation officers would be expected to identify criminogenic needs and risk factors using assessment tools, apply evidence-based supervision and treatment interventions, and learn to understand the process of criminal thinking to manage the stages of individual change. Probation officers would develop probationer case plans and behavioral contracts using motivational enhancement techniques and motivational interviewing. Probation officers would also be expected to apply social learning theory and management principles and to become familiar with cognitive-behavioral therapy.²⁴

Moving from understanding to implementation requires a major commitment to staff training and development. The successful implementation of any organizational change initiative requires effective policy and procedures, staff training, and staff supervision. Training in the areas cited represents a significant commitment and investment under TCIS. The re-design of the personnel performance evaluation system is a critical step in supporting the long-term success of the model.²⁵

Notes

¹ U.S. Department of Justice, National Institute of Corrections, *Implementing Evidence-Based Principles in Community Corrections: The Principles of Effective Interventions* (Washington, D.C., April 30, 2004).

² Ibid.

³ U.S. Department of Justice, National Institute of Corrections, *Implementing Evidence-based Practices in Corrections*, by Elise Clawson, Brad Bogue, and Lore Joplin (Washington, D.C., January 7, 2005), pp. 3-4.

⁴ Tony Fabelo, “Going Beyond Evidence-Based Practices: Ten Steps to Sustaining More Efficient Practices in a Probation Department,” August 10, 2008 (draft), p. 7.

⁵ Ibid, p. 8.

⁶ Ibid, p. 8.

⁷ Ibid, p. 9.

⁸ Nebraska Office of Probation Administration, “Transformations in Community Corrections Series, Volume 1: Building a Seamless System of Care for Substance Abuse Services in Nebraska; The Implementation of the Standardized Model for Delivery of Substance Abuse Services,” report prepared by Denise C. Herz, Ph.D., Los Angeles, CA, October 2007, p. 1.

⁹ Nebraska Supreme Court, “Evidence-Based Practices and Principles Implemented in Nebraska by Office of Probation Administration,” *Nebraska Judicial News* (April 2007), p. 1.

¹⁰ Nebraska Office of Probation Administration, “Transformations in Community Corrections Series, Volume 1: Building a Seamless System of Care for Substance Abuse Services in Nebraska; The Implementation of the Standardized Model for Delivery of Substance Abuse Services,” report prepared by Denise C. Herz, Ph.D., Los Angeles, CA, October 2007, p. 1.

¹¹ Ibid, p. 4.

¹² Faye S. Taxman, Ph.D. et al, “Proactive Community Supervision in Maryland: Changing Offender Outcomes,” Maryland Division of Parole and Probation, February 2006, p. 1.

¹³ Maryland Department of Public Safety and Correctional Services, *Proactive Community Supervision: A Plan for Making Maryland Communities Safer. A Report to the Budget Committees of the Maryland General Assembly*, (October 2000), p 6.

¹⁴ Ibid, p 6.

¹⁵ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006).

¹⁶ Tony Fabelo and Angie Gunter, *Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD): Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model*, (Washington, D.C.: The JFA Institute, August 2005).

¹⁷ Ibid.

¹⁸ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006).

¹⁹ Ibid.

²⁰ Ibid, p. 9.

²¹ *Performance Evaluation Committee*, TCIS, Powerpoint presentation by Committee Chair, John Vasquez, Probation Case Work Manager, Travis County CSCD-N/2.

²² Connecticut Judicial Branch, Court Support Services Division, *Re-engineering Probation Towards Greater Public Safety: A Framework for Recidivism Reduction through Evidence-Based Practice*, by Thomas F. White (Hartford, CT, 2005), pp. 22-23.

²³ Ibid, p. 21.

²⁴ Ibid, p. 24.

²⁵ Ibid, pp. 24-25.

Chapter 4. Personnel Evaluation System – Prior to TCIS Implementation

This chapter reviews the Travis County probation department personnel evaluation system prior to the TCIS implementation. The personnel evaluation system in place prior to the implementation of TCIS had well-developed objective measures, and provided a solid framework for standardizing personnel evaluations and reducing the perception of nepotism in promotions that can negatively affect morale. However, personnel were evaluated on meeting process goals rather than on outcomes that would affect offender behavior, such as becoming an effective Casework Manager.¹

Evaluation Process

Probation Officers receive an annual performance evaluation conducted by the Casework Manager (CWM) with input from their Senior Probation Officer (Senior PO). The annual review consists of a series of case file audits conducted periodically throughout the review period, and a summary or narrative that identifies employee strengths and weaknesses. If a PO had a personnel action pending, the supervisor was required to request an extension of the evaluation due date. The evaluation could not be completed until the personnel issue was resolved and action taken, if appropriate.

Probation officers manage a complex caseload consisting on average of 118 direct cases and a fluctuating number of indirect cases. Direct cases refer to probationers that report in person to the probation office at least one time each 90 day period, and include both felony and misdemeanor probationers. Indirect cases refer to probationers who have not reported for at least 90 days, including absconders and those with court cases whose terms have expired but still have pending motions to revoke.

Senior POs and those managing specialized caseloads, like sex offenders, offenders with mental impairments and offenders with substance abuse problems, had a minimum of 20% of their case files audited, or at least 6 cases whichever is greater, during the review period. The case files selected for review must include Maximum, Medium, Minimum, Courtesy, Newly Probated, and Indirect cases. Case file review and feedback was provided by both the Senior PO and Casework Manager. The CWM was

expected to conduct some of the case file audits for the yearly evaluation for probation officers at this level.

The CWM recorded the case file audit scores on a performance evaluation worksheet grid. The CWM then tallied the scores from the performance evaluation worksheet grid and, based on the percentages calculated for each evaluation category, recorded the task score on a scale from 0-3, (0 = Not Applicable; 1 = Below Standards; 2 = Meets Standards; and, 3 = Exceeds Standards), onto the Performance Evaluation Form. Weights were then applied to the individual task scores, ranging from 1-3, (1 = important; 2 = very important; and, 3 = most important), to calculate the total task score. Copies of the forms used under the performance evaluation system prior to the implementation of EBP, Performance Evaluation Form, PO & Senior PO Task Legend, Field and Senior PO Audit Form, and the PO/Senior PO Performance Evaluation Worksheet Grid are included in Appendix D.

Performance Measurement

Under the pre-TCIS personnel performance evaluation system, personnel were evaluated on meeting process goals rather than outcomes that related to changing offender behavior. The old personnel evaluation system measured PO performance for 32 tasks in 8 categories. These evaluation categories provide a good framework for evaluating the probation officers but most items within each category evaluate compliance with paperwork procedures.²

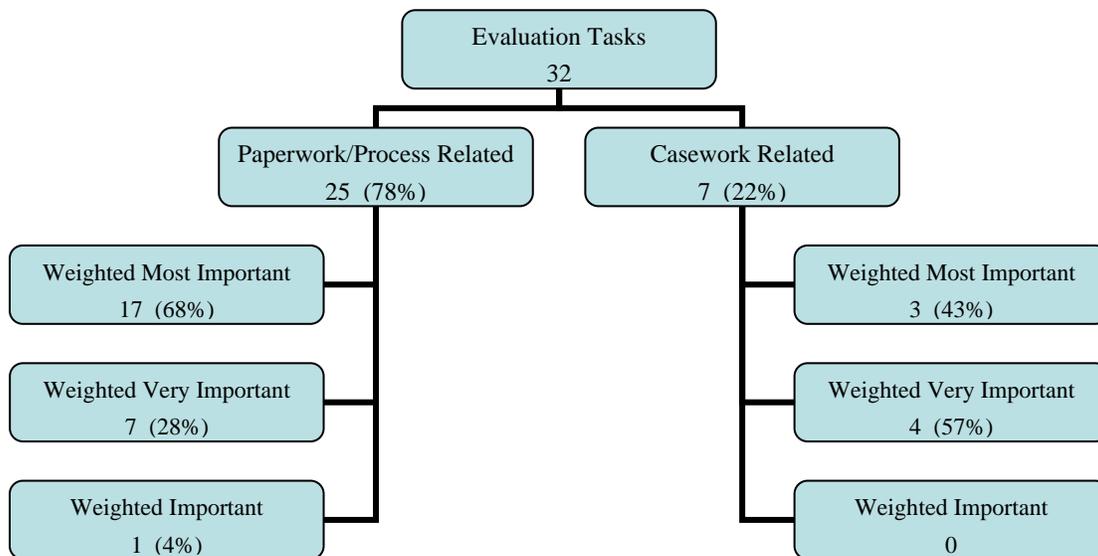
Table 4.1 below lists the evaluation categories, the number of tasks evaluated for each category and identifies whether the task is paperwork or process related or casework related. Figure 4.1 below shows the relationship between the tasks evaluated and the weight, or importance, assigned to each task. Of the total number of tasks on which a probation officer's performance is evaluated, over three-fourths measure paperwork or process compliance. Casework related tasks include those directly related to changing an offender's behavior. Changes in offender behavior are measured in terms of recidivism. Paperwork or process related tasks are directly related to case file management, completion of forms or following standard operating procedures.

Table 4.1
Evaluation Categories

Evaluation Category	Total Tasks	Paperwork or Process Related Tasks	Casework Related Tasks
Case Management	8	7	1
Contacts	3	1	2
Referrals	3	2	1
Financial	1	1	0
Computer/Documentation	4	4	0
Non-Compliance	5	3	2
Interpersonal Relations/Policy Adherence	6	5	1
Initiative	2	2	0
Total	32	25	7

Source: Travis County, Community Supervision and Corrections Department, "FY 07 PO & Senior PO Performance Evaluation Form," Austin, Texas.

**Figure 4.1
Evaluation Task Weighting**



Source: Travis County, Community Supervision and Corrections Department, “FY 07 PO & Senior PO Performance Evaluation Form,” Austin, Texas.

Category 1, case management, evaluates PO performance with regard to case management tasks. The eight tasks associated with case management focus on: case preparation; completion of forms required by departmental policy; completion of the needs and risk assessment instrument; completion of the required court reports; ensuring the case file is organized according to department policy; and, other administrative procedural issues. The majority of these tasks were weighted as most important, with an emphasis on paperwork compliance.

Category 2, contacts, evaluates PO performance on tasks associated with process compliance related to probationer contacts. The evaluation criteria for this category places an emphasis on documenting processes such as recording missed appointments, probationers current address, employment and marital status and updating computer files.

Category 3, referrals, measures PO performance related to reviewing paperwork for special conditions and prioritizing the probationer’s referrals, completing paperwork

appropriately and timely for all referrals, ensuring the probationer attends orientation and checking the waiting list status of the probationer. In this category, two of the evaluation criteria specifically target PO performance in completing paperwork.

Category 4 measures PO performance with regard to the financial component of supervision. The evaluation criteria measures how well the PO collects fees, monitors the probationers financial status, or his ability to pay those fees, and follows standard operating procedures when probationers are delinquent in paying their fees.

Category 5, computer documentation, is measured by how well the PO enters case management information into the computer, whether he or she follows standard operating procedures in doing so and whether or not the data entry was completed timely. Additionally, the evaluation criteria for this category measures whether the appropriate reports are in the probationers files and whether the PO takes the necessary steps to obtain them, per department policy when they are missing. Tasks associated with reconciling computer reports and addressing problems and discrepancies in the reports are weighted as most important.

Category 6, measures PO performance with regard to probationers' non-compliance with supervision contains 5 specific tasks. The first task grades the PO on addressing non-compliance issues with the probationer during office visits and is weighted as very important (2) on the evaluation form. However, tasks associated with completing court reports, filing violations reports and motions to revoke, and ensuring these reports are free of errors, typos and grammatical errors are weighted as most important.

Category 7 measures the PO's interpersonal relations and adherence to policy. The evaluation criteria for this category measures whether the PO has received substantiated complaints during the review period, whether the PO demonstrates patience, diplomacy and tact with employees and whether the PO notifies his CWM of issues that would reflect on the department. These tasks are all weighted as a "3" most important. The task associated with responding to probationers in a manner that builds an effective working relationship is weighted as very important (2) on the evaluation

form, while the task measuring whether the PO consistently arrives to work on time is weighted as most important (3).

Finally, category 8, initiative, measures the PO's initiative with regard to supporting his coworkers. The evaluation criteria measures how well the PO assists other employees in completing additional work assigned when there is a vacant caseload or a heavy workload and whether the PO shows initiative in performing other duties. Both of these tasks are weighted as most important on the performance evaluation.³

Complying with processing procedures is an important part of the probation officer's job. The majority of tasks evaluated under the old system emphasize process issues. If probation officers follow procedures, complete paperwork accurately and timely and report to work on time, they receive an overall evaluation score qualifying them for performance pay.

The organizational assessment of Travis County by The JFA Institute found that the old evaluation system emphasized process and paperwork compliance over being an effective case manager. An examination of specific task weights shows that those tasks remotely related to active case supervision strategies rather than paperwork are actually weighted as a "2" (very important) compared to paperwork tasks which tended to be weighted as a "3" (most important).⁴

Supporting Organizational Change

The old personnel evaluation system did not provide probation officers with an incentive to support the organizational changes necessary to implement TCIS. Performance pay increases were directly correlated to performance evaluation scores, encouraging probation officers to maintain the status quo. The "paperwork compliance" mentality had become the culture of the department as a result of prior leadership styles in the organization, prior ineffective computerization, operational realities related to high caseloads, poor use of information for organizational assessments and planning, and the traditional emphasis on surveillance and compliance that has dominated probation policies across the country. To a great extent, this operational mode has been the result of the state's increased issuance of rules and standards, which lead probation departments to create more "paper trails" to show compliance.⁵

The successful implementation of TCIS required buy-in from the probation officers as well as a willingness to change the way probation services were delivered. It was critical for probation officers to adopt the basic elements necessary to support the TCIS model, which emphasizes the ability of probation officers to communicate with probationers and engage them in meaningful attempts to change their behaviors. Under the TCIS model, the probation officer would have to develop skills in effective communication, problem solving and casework application. Probation officers would need to commit to implementing the TCIS model, thereby supporting the department's mission and vision for change.

To facilitate a change of this magnitude, it would be necessary to change the personnel evaluation system to better reflect the skills required under the model. During meetings conducted as part of the design and implementation of TCIS, probation officers made it clear that if the personnel performance evaluation system was not changed to reflect the performance expected under the new model, the TCIS implementation would fail. The consensus among probation officers was that they would act on what they would be measured on during their performance evaluations regardless of the changes being implemented.

The next chapter examines how the performance evaluation system was changed to incorporate the elements of the TCIS model, the process for effecting this change and the new performance measures. The idea was to develop evaluation criteria which balances compliance with processes and paperwork requirements with case work skills related to effective supervision strategies.

Notes

¹ Tony Fabelo and Angie Gunter, “Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD); Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model; Report to Travis CSCD Director, Dr. Geraldine Nagy,” (Washington, D.C.: The JFA Institute, 2005), p. 41.

² Ibid, p. 41.

³ Travis County, Community Supervision and Corrections Department, “FY 07 PO & Senior PO Task Legend,” Austin, Texas.

⁴ Tony Fabelo and Angie Gunter, “Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD); Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model; Report to Travis CSCD Director, Dr. Geraldine Nagy,” (Washington, D.C.: The JFA Institute, 2005), p. 42.

⁵ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006), p. 7.

Chapter 5. Personnel Evaluation System – After TCIS Implementation

Under the TCIS model, processes have to become a means of achieving the outcome of changing probationer's behavior to reduce recidivism. This required a change in organizational culture to create balance between procedures and empowerment of managers and probation officers to accomplish the more challenging mission of impacting offender behavior.¹ The director of the department, in a memorandum dated May 5, 2005, sent to all department staff, announced her intention of involving "all staff in looking at ways to enhance our processes and our methods of supervising offenders" to create a more effective department. The first step was for all personnel to become more familiar with the "evidence-based practices" model. The director explained that this was an approach towards supervision that emphasized outcomes and referred to "strategies that are both practical and shown by research to have a measurable impact on recidivism, and contribute to public safety." The director stressed that this model provided a "number of supervisory principles, a way of doing our jobs that empowers the probation officer to do more meaningful work and contribute to significant positive change in the offender."²

Moving the organization requires not only the adoption of evidence-based practices but also organizational development and collaboration.³ The successful development and implementation of a new performance evaluation system, aligned with the elements of EBP, was a key component of this organizational development. The development required the collaboration of staff whose performance will be measured under this new system, but also from the supervisors and managers that will conduct these performance evaluations. This chapter discusses the collaboration process set by the director to develop the new personnel performance evaluation system and review the structure of the new system adopted. The next chapter will then analyze the new system in relation to the prior system discussed in the previous chapter and offer some observations and recommendations to improve implementation.

A Mechanism for Change

To develop the new personnel performance evaluation system the director of the department created a Performance Evaluation Committee chaired by a Probation Case Work Manager with years of experience as a probation officer in the department. The committee was tasked with developing a new evaluation system that incorporated the goals of the EBP model. The committee was given latitude to review the work of other departments in this area, develop new evaluation measures and suggest ways of implementing the new system. The committee consisted of case work managers, supervisors, field probation officers, support staff, and administrators, representing both adult probation and pretrial services.⁴ The composition of the committee was chosen specifically to promote credibility and reassure personnel that changes to the personnel evaluation system would be fair.

The committee began their analysis by reviewing the existing performance evaluation tools to identify areas where improvements could be made. One of the first assignments for the committee was to begin amassing information from other jurisdictions already using EBP strategies.⁵ The committee collected performance evaluation forms and criteria from other jurisdictions, compared them for common themes and worked towards developing the performance evaluation tools for TCIS.

The committee agreed the new evaluation system would involve more observation of officers on the job, rather than just counting tasks the officers did on the job (such as counting the number of collateral contacts). Evidence-based practices dictate that officers move toward a role concerned with effective case work, rather than just generating, monitoring, updating, and filing paperwork. Therefore, in the new evaluation form, supervisors would be able to record their assessment of officer performance based on the quality of officer's interactions with probationers.

The committee was also instructed by the director to develop a graduated personnel evaluation system. Under a graduated system, new or less experienced officers would be scored more heavily on their ability to master paper work and process requirements. As officers gained more experience, the personnel evaluation system would score these officers more heavily on the case work evaluation domains expected

under the EBP model. For example, evaluations of new officers would not be weighted as heavily on the quality of contacts until the officer had more training. Performance evaluations for new officers would be weighted more heavily around the administrative issues, such as required paperwork, and learning the basic but necessary daily tasks that officers perform on the job. The more tenured officers, however, would be held more accountable for the quality of their performance in areas such as motivational interviewing.

The committee examined the forms collected from other agencies and considered which categories they wanted to measure with the new evaluation system. The new form was to be meaningful and well-rounded. To facilitate the transition from the old system, the new evaluation form contains a case file audit of each officer's work, which examines a set number of randomly selected case files and other examples of relevant and important paperwork. The new form also include a qualitative component that measures the quality of the officers' interactions with probationers.

The committee discussed different skills they might measure in probation officers. For example, they debated how important it was for probation officers to have good writing skills and motivational interviewing skills. They also discussed the potential importance of observing probation officer work, including listening to tapes of motivational interviewing conducted by officers.

The committee also discussed how to score the personnel evaluation. Under the current performance evaluation system, personnel evaluations are linked to officer pay raises. The committee discussed the challenges expressed by supervisors in evaluating officers. While supervisors wanted to provide meaningful feedback, they didn't want to penalize officers financially in the process. The group recognized the need to separate or at least put some distance between the final score of the evaluation and the pay raise decision, an approach endorsed by the director of the department.⁶

Challenges Discussed

The committee decided it would be more efficient to construct a new personnel evaluation for probation officers instead of trying to revise the old evaluation form. The committee discussed various challenges of creating a new evaluation form, such as

measuring communication as a skill, subjectivity in managers, and the issue of pay raises. Measuring communication skills would be one of the most important and difficult challenges. Communication skills could be interpreted as an officer's skill in responding to emails, attending or participating in meetings, and responding to phone calls. Additionally, under EBP, communication skills could refer to the officer's ability to interact with probationers.

The issue of subjectivity could take one of two forms. The first is subjectivity in how managers use the same criteria, but evaluate it differently – a concern when the evaluation criteria are written in such a way that they are open to a variety of interpretations. For example, in prior performance evaluations, officer performance was evaluated on the task “returns emails.” Different managers evaluated this task differently; some managers evaluated it literally (probation officer sent an actual email response regardless of any other factors), while other managers evaluated it more liberally (a probation officer could respond in person, or call their manager, and would still receive a high score for this task even if they didn't send an actual email). The second form of subjectivity is the fact that managers have different styles of evaluation, with some putting more emphasis on one task compared to another. Although EBP attempts to articulate clear principles to use in evaluating officers and agency performance, there will always inevitably be some sort of subjectivity in the process. There was some subjectivity in the evaluation process before the move to EBP.⁷

One of the biggest challenges in creating a new evaluation form is dealing with the issue of pay raises. There are several dimensions to this dilemma, and the discussions ranged from the nature of this problem, the possibility of decoupling the pay raise from the evaluation, and possible ways of combining pay raises and evaluations. The committee considered the dynamics between managers and officers during the evaluation process. Probation officers were often tense about receiving evaluations and discussing their evaluations. Managers often felt nervous about scoring the officer in such a way that he or she might not receive his or her full raise. This could potentially mean that the manager would be more likely to write a good evaluation, even if the person had not performed as well as he or she could during the past year.

The committee talked about how this might sometimes be the case in adult probation. In reviewing the paperwork of people who resigned, managers are asked whether he or she thinks the department should re-hire the officer in the future. In some of the paperwork for probation officers that had resigned, managers indicated the department should not rehire him or her. Yet, in examining the probation officer's personnel evaluations, those same managers who advised against rehiring him or her wrote positive performance evaluations. This suggests that some managers were concerned about providing authentic evaluations that provided accurate assessments of officer performance.⁸

The committee considered using the personnel evaluation as part of a growth plan, similar to a teaching evaluation, to assist the officer in his or her advancement into a more skilled officer. The group discussed the possibility of a pay raise being contingent on how the officer met his or her goals. During the first evaluation, the officer would set goals to achieve with his or her manager. The number or percent of those goals he or she achieved during the evaluation period would be used as the criteria to determine the amount of any potential raise awarded.

New Performance Measurement System

The committee agreed to use the following domains in the new personnel evaluation and created the new evaluation system around these domains: 1) communication (including motivational interviewing and collaboration with others inside and outside the agency); 2) problem solving; 3) initiative; 4) case work application; and, 5) commitment.

Table 5.1 below lists the evaluation categories, the number of tasks evaluated for each category and identifies whether the tasks are paperwork or process related or casework related. Casework related tasks include those directly related to changing an offender's behavior. Paperwork or process related tasks are directly related to case file management, completion of forms or following standard operating procedures. Table 5.2 lists the 30 casework related tasks included in the new evaluation system. The next chapter will compare and contrast this with the old evaluation system.

**Table 5.1
Evaluation Categories**

Evaluation Category	Total Tasks	Paperwork or Process Related Tasks	Casework Related Tasks
Communication	6	3	3
Problem Solving	8	1	7
Initiative	5	2	3
Commitment	7	3	4
Casework Application	26	13	13
Total	52	22	30

Source: Travis County, Community Supervision and Corrections Department, "FY 08 Performance Evaluation Form, PO & PO Sr – Field & Specialized," Austin, Texas.

**Table 5.2
Casework Related Tasks**

Casework Related Task	Evaluation Category
Communicates with others directly and honestly; works in a respectful, professional manner	Communication
Actively listens to co-workers, supervisors and external sources	Communication
Prevents or resolves conflict	Communication
Gathers relevant data	Problem-Solving
Demonstrates ability to identify and define problem	Problem-Solving
Ability to distinguish the problems s/he can solve, the problems s/he should solve with staffing and critical problems that should be brought to the attention of the appropriate supervisor	Problem-Solving
Considers relevant alternatives before making decisions and identifies potential negative consequences	Problem-Solving
Uses sound professional judgment and justifies decisions where policy allows discretion	Problem-Solving
Elicits solutions from all involved parties including probationer, other officers, supervisors and external sources in problem analyses/solutions, as appropriate	Problem-Solving
Considers and monitors results, accepts full responsibility for decisions and makes appropriate adjustments	Problem-Solving
Demonstrates initiative in completing work responsibilities and seeks information from professional sources displaying ability to think progressively (outside the box)	Initiative
Acquires new skills and attends training to develop proficiency regarding available technology	Initiative
Accepts and incorporates constructive feedback	Initiative
Work and conduct are compatible with the Mission Statement and TCIS	Commitment
Demonstrates personal integrity and abides by the Code of Ethics	Commitment

Identifies problems and offers plausible solutions	Commitment
Demonstrates willingness to try new and different approaches to reach department goals	Commitment
Reviews and identifies criminogenic needs with probationer	Casework Application
Uses Elicit Provide Elicit (EPE) approach with probationers to provide good advice/information, establish rapport, and to create a collaborative tone in the interaction	Casework Application
Collaborates with probationer in developing, writing the plan	Casework Application
Develops initial Supervision Agreement that appropriately addresses the criminogenic need(s)	Casework Application
Supervision Agreement adjusted to accommodate probationer's needs and stages of change as appropriate	Casework Application
Supervision Agreement is foundation of discussion during contacts	Casework Application
Supervises according to risk level and strategy group	Casework Application
Utilizes Motivational Interviewing (MI): uses good interactive skills with probationers through reflective listening, affirmations, and summarizations, and asks relevant open-ended questions	Casework Application
Risk/Need Reassessments are completed whenever significant events (positive or negative) occur; annually; or every six months (for specialized caseloads)	Casework Application
Maintains positive, professional rapport with probationers	Casework Application
Makes referrals to appropriate programs, resources	Casework Application
Participates in treatment team process by being knowledgeable of treatment principles and goals and reinforcing them	Casework Application
Reinforces probationer's pro-social behavior and statements and consistently affirms positive efforts taken by probationer	Casework Application

Source: Travis County, Community Supervision and Corrections Department, "FY 08 Performance Evaluation Form, PO & PO Sr – Field & Specialized," Austin, Texas.

Category 1, communication, evaluates PO performance with regard to communication skills and team work and collaboration. The tasks associated with communication skills balance the PO's ability to demonstrate case management skills (communicate honestly, work respectfully and in a professional manner), with necessary paperwork and process skills (producing legible, concise and accurate written documentation). The tasks associated with team work and collaboration measure the PO's ability to assist others, participate effectively as part of a team, use active listening skills and manage conflict. The team work and collaboration tasks balance the need for organization and process in the work place while developing case management skills such as active listening and conflict management.

Category 2, problem solving, measures the PO performance related to problem identification, evaluating alternative solutions, resource identification and following up on decisions made. The tasks associated with this evaluation category are active skills associated with case management strategies, such as identifying problems, eliciting solutions from all involved parties including the probationer, other officers, supervisors and external partners, and following through on supervision agreed strategies. Of the eight tasks associated with this evaluation category, 7 are related to case work.

Category 3, initiative, measures the PO's performance related to his or her individual performance, ability or willingness to keep their knowledge of the field current, and his or her efforts to improve procedures, techniques and processes within the department. Of the five tasks associated with this evaluation category, three are related to case work skills while two are directly related to paperwork or process skills. The very first task in this evaluation category addresses the PO's ability to think progressively.

Category 4, commitment, measures how well a PO conducts his or her work and how this conduct is compatible with the mission statement and TCIS. This evaluation category measures case work skills such as demonstrating personal integrity, and willingness to try new and different approaches to reach department goals. This evaluation category also measures performance for paperwork or process related tasks such as following departmental policies, field manual policies and policies outlined in the safety manual. Of the seven tasks measured in this category, over half are case work related.

Finally, Category 5, casework application, measures PO performance in twenty-six different tasks. The tasks associated with casework application skills balance the PO's ability to demonstrate case management skills such as using the Elicit Provide Elicit (EPE) interviewing technique with probationers to establish a rapport, collaborating with the probationer to develop a supervision plan, ensuring the supervision agreement accommodates the probationer's needs and stages of change, and reinforcing the probationer's pro-social behavior; with necessary paper work and process skills such as conducting office and field visits, as appropriate, monitoring compliance with programs, reporting violations and ensuring monthly reports are received and addressed as

appropriate. Half of the tasks in evaluation category 5 are case work related and half are paperwork or process related.

For POs assigned specialized caseloads, an additional evaluation category is included in their performance evaluations. This supplemental evaluation category, added to their performance evaluations, includes measuring the probation officer's proficiency in developing and maintaining an expertise with a specific specialized caseload population. It also assesses both process and paperwork requirements and case work skills, as appropriate, for their specialized job duties.

Specialized caseloads are assigned to individual POs that have expertise dealing with a specific population. For example, probationers with mental illness or those charged with sex offenses, are supervised by POs dedicated to this population. The assigned caseloads are smaller than those assigned to POs with regular supervision caseloads.

Table 5.3 on the next page lists the specialized caseloads, the number of tasks associated with each type of caseload and identifies whether the tasks are paperwork, process or casework related. Sex offender case management refers to the caseloads of PO assigned to supervise sex offenders; MH/MRDD case management refers to those assigned to supervise mentally ill or mentally impaired offenders, pre-treatment and SAFPF case management refers those assigned to supervise offenders with severe substance abuse problems that are participating in intense outpatient treatment or released from a substance abuse felony punishment facility program administered by the state; and SMART case management refers to those assigned to supervise offenders completing treatment in the probation department's intense residential substance abuse treatment program.

Table 5.3
Specialized Caseload Management

Evaluation Category	Total Tasks	Paperwork or Process Related Tasks	Casework Related Tasks
Expertise Related to Specific Caseload	2	1	1
Sex Offender Case Management	4	3	1
MH/MRDD Case Management	1	1	0
Pre-Treatment and SAFPF Case Management	5	2	3
SMART Case Management	4	2	2

Source: Travis County, Community Supervision and Corrections Department, “FY 08 Performance Evaluation Form, PO & PO Sr – Field & Specialized,” Austin, Texas.

All probation officers assigned specialized caseloads are evaluated on their expertise for their particular area in addition to their regular probation tasks. This evaluation sub-category balances their case work skills (developing and maintaining the expertise to address the special needs of specialized caseload offenders) with their paperwork or process skills (properly identifying program codes for offenders under specialized supervision) needed to manage their particular population.

In addition to measuring the PO’s expertise to deal with a specific population, tasks associated with sex offender case management are predominately paperwork or process related, and measure compliance with paperwork requirements such as ensuring proper and timely registration. The MH/MRDD case management task measures a paperwork or process skill, (ensuring assigned cases meet caseload criteria and the appropriate forms are in the case file). Probation officers assigned pre-treatment and SAFPF caseloads are evaluated on five tasks, two of which measure paperwork or process related skills (managing waiting lists and completing quarterly reports per CJAD requirements). The remaining three tasks measure PO performance related to casework skills (effective communication, troubleshooting skills and orienting probationers to treatment environments). Tasks associated with SMART case management measure both casework skills (facilitates team meetings for program participants progressing to a higher level of treatment and addressing non-compliance issues in weekly meetings) and

paperwork or process skills (transferring cases according to policy and appropriately addressing offender behavior and documenting results).

Finally, the committee adopted an approach to a graduated evaluation system distinguishing between the expectations for POs with less experience from those with more experience. As mentioned above, the idea is for junior POs personnel evaluations to be weighted more heavily towards the need to master paperwork versus the more senior POs which are weighted more heavily towards mastering casework skills.

Figure 5.1 shows the quadrants of expectation. During the first year, the officer's evaluation might be weighted 75 percent on paperwork and 25 percent on EBP. In the second year, each category might be weighted equally. In the third year, paperwork might be weighed 25 percent and EBP might be weighted 75 percent. The goal was to identify those officers that were "masters" and could serve as mentors to others. These officers will be those who are identified as being in the upper right quadrant. Specifically, they are officers who have demonstrated skill levels that excel in both paperwork and process requirements and in the casework requirements of the EBP model.

Figure 5.1
Dimensions of Probation Officer Success

Has good EBP skills but poor paperwork skills	Has good EBP skills and good paperwork skills
Has poor EBP skills and poor paperwork skills	Has poor EBP skills but good paperwork skills

Source: Performance Evaluation Sub-Committee Meeting Minutes, Travis County Community Supervision and Corrections Department, October 17, 2006.

Supporting Organizational Change

The committee recognized the need for the new evaluation to compliment the efforts of TCIS, which moves the organization toward providing more case specific supervision to probationers. Probation officers are now, and in the future, utilizing risk scores for case planning and supervision strategies. Officers are also beginning to use reinforcement to help probationers make more positive changes in their life. At the same time, the new form compliments the changes that are being made around managers supervising probation officers. Travis County CSCD has recognized officer autonomy and the value of officer discretion in on-the-job decision making. The committee created the new evaluation form with an eye toward reinforcing and empowering officers to use their professional expertise to make decisions.⁹

As TCIS implementation progresses, officers are participating in training sessions that focus on developing casework skills. The new personnel evaluation form, because it records the extent of their knowledge regarding these new skills, and whether they are incorporating them into their daily work, could also be used to evaluate whether the new training is effective. Rather than just continuing to provide training, Travis CSCD would be able to measure the impact of the training received. In other words, the evaluation forms would capture whether the training is reaching the officers and transforming how they think about and perform their job. Finally, the personnel evaluation could serve as a

way of measuring the effectiveness of the whole department. The department is moving toward EBP, and using proven diagnostic approaches to make measurable changes in the outcome of probationers. The new personnel form could capture and measure the degree to which the department is carrying out its new mission.¹⁰

Notes

¹ Tony Fabelo and Angie Gunter, “Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD); Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model; Report to Travis CSCD Director, Dr. Geraldine Nagy,” (Washington, D.C.: The JFA Institute, 2005), p. 37.

² Ibid, p. 26-27.

³ Ibid, p. 27-28.

⁴ *Performance Evaluation Committee*, TCIS, Power point presentation by Committee Chair, John Vasquez, Probation Case Work Manager, Travis County CSCD-N/2.

⁵ Performance Evaluation Sub-Committee Meeting Minutes, Travis County Community Supervision and Corrections Department, November 22, 2005.

⁶ Performance Evaluation Sub-Committee Meeting Minutes, Travis County Community Supervision and Corrections Department, September 26, 2006.

⁷ Performance Evaluation Sub-Committee Meeting Minutes, Travis County Community Supervision and Corrections Department, October 17, 2006.

⁸ Ibid.

⁹ Ibid.

¹⁰ Performance Evaluation Sub-Committee Meeting Minutes, Travis County Community Supervision and Corrections Department, September 26, 2006.

Chapter 6. Observations, Recommendations and Conclusions

Changing the personnel evaluation system in the Travis County probation department to support EBP model was a difficult task. The initial organizational assessment of the department conducted by independent consultants showed that tasks related to active case supervision strategies were weighted lower in the personnel evaluation system than items dealing with the effective processing of paper. The performance evaluation task legend, basically a “guide to your job and how you will be evaluated,” emphasized compliance with policies and paperwork tasks. The main personnel skill was adherence to procedures, paperwork and meeting deadlines. Therefore, it was imperative to change the personnel evaluation system to better reflect the skills required under the TCIS model.¹

During the planning and implementation of the TCIS, probation officers clearly stated that unless the personnel evaluation system was changed to reflect the elements of the new model, the model implementation would fail. To put it bluntly, the probation officers stated that they would practice what they were evaluated and rewarded for. This was not effective casework practice. The committee, in developing the new performance evaluation form, was careful to ensure that the new performance measures balanced compliance with processes and paperwork requirements with case work skills related to effective supervision strategies.² The personnel evaluation committee reviewed personnel evaluation systems from around the country before selecting the five categories that appear in the new evaluation form: communication; problem-solving; initiative; casework application; and, commitment.

Observations

Developing the evaluation categories and tasks to be measured under the new system took nearly two years. The committee worked carefully, seeking consensus and input from all key personnel. This was done to increase the comfort level in the organization that the changes in the personnel evaluation would not be sudden and arbitrary.

The new system was piloted during fiscal year 2008 to test the observation and audit procedures necessary to support the system. Unlike the old personnel evaluation system which focused on measuring paperwork compliance tasks, the new evaluation categories contain casework related tasks that are more subjective. Special attention needs to be placed on developing solid observation and auditing systems so that the legitimacy of the evaluation process is not compromised.³

During the pilot period, employees, supervisors and managers were encouraged to provide feedback regarding the new evaluation and audit tools. Revisions were made to the evaluation as necessary or appropriate. Employee representatives were provided an opportunity to participate in the development of section 5, casework application, of the performance evaluation. This category identifies specific tasks that measure probation officer performance in both paperwork and process related skills as well as casework skills.

The pilot period provided an opportunity for both the evaluator and the person being evaluated to learn the new processes. Training on the use of the new evaluation tools as well as the skills being measured by this new evaluation was provided to department staff. The pilot approach was chosen to give evaluators and employees time to become familiar with the new performance evaluation tool and address any issues that arose. Evaluations conducted during the pilot were focused on providing feedback and identifying any training weaknesses prior to full implementation at the start of the new fiscal year, September 1, 2008.

It is important to note that during the pilot period, evaluation tasks were not weighted. There was no means of comparing probation officer performance across the department. The decision to separate performance-based pay from personnel performance under the new system, at least during the pilot, lent credibility to the new system.

During the pilot, performance-based pay increases were suspended. Staff was informed that during the pilot period, performance pay considerations for fiscal year 2008 would not be tied to performance evaluations under the new system.⁴ For long term

implementation, staff will need to be told what the relationship between employee performance and pay increases will be and how it will be measured.

To facilitate staff understanding of the elements of evidence based practices, the director arranged for a series of training sessions to familiarize the department with the concepts and culture behind EBP. She commissioned Mark Carey, a former probation official from Minnesota and a national consultant on evidence based practices, to conduct these sessions. Mr. Carey reviewed in extensive detail the concepts supporting evidence based practices and assisted the staff in understanding the challenges and barriers to the successful implementation of these practices.⁵

Probation officers received training on evidence-based practices that focused on using assessment, supervision and programming to affect change in offender behavior as it relates to the probation supervision process.⁶ Under TCIS probation officers are encouraged to motivate offenders to seek change; they must play a function and purpose that is more than just surveillance and information gathering.⁷ TCIS training began in March, 2007 and focused on using the information in the diagnostic report, the differential supervision components of Strategies for Case Supervision (SCS), and motivational interviewing skills to engage offenders in developing a supervision plan and identifying criminogenic needs, as opposed to simply ensuring offenders completed a court ordered class.⁸

Table 6.1 below contrasts the main themes of the old and new evaluation systems. Table 6.2 compares the actual tasks being measured under each system and indicates whether they are process or paperwork related or casework related. The old system focused on processes and paperwork compliance. The committee took great care in creating a new system by aligning the performance skills to be measured with the overall goals of the TCIS implementation. A clear shift in focus from process and paperwork compliance to casework management skills is evident in the new system. This is demonstrated by the number and classification of tasks identified to measure PO performance under the new system.

Table 6.1
Main Themes of Personnel Evaluation Systems

Old System	New System
Main indicators of personnel performance are indicators of compliance with paperwork processes.	Main indicators of personnel performance are a balance of indicators of compliance with paperwork processes and indicators of effective skills in executing case supervision strategies.
Personnel evaluations are tied to pay increases and there are no formal evaluations oriented at giving feedback for improvement of skills independent of pay raise decisions.	Personnel evaluations are no longer tied to pay increases, but are now tied to meeting performance goals. The new system provides a mechanism for constructive feedback and mentoring based on the observation of client contacts.
Case supervision strategy skills are secondary to the probation officer's job and not evaluated in a meaningful way.	Evaluation domains were selected to focus on effective case management strategies. Supervisors are able to record their assessment of officers' performance.

Source: Tony Fabelo and Angie Gunter, "Organizational Assessment of Travis County Community Supervision and Corrections Department (CSCD); Facing the Challenges to Successfully Implement the Travis Community Impact Supervision (TCIS) Model; Report to Travis CSCD Director, Dr. Geraldine Nagy," (Washington, D.C.: The JFA Institute, 2005), p. 45.

Table 6.2
Evaluation Criteria Comparison

Evaluation Category	Total Tasks	Paperwork or Process Related Tasks	Casework Related Tasks
Old System			
Case Management	8	7	1
Contacts	3	1	2
Referrals	3	2	1
Financial	1	1	0
Computer/Documentation	4	4	0
Non-Compliance	5	3	2
Interpersonal Relations/Policy Adherence	6	5	1
Initiative	2	2	0
Total, Old System	32	25	7
Percentage of Old System	100%	78%	22%
New System			
Communication	6	3	3
Problem Solving	8	1	7
Initiative	5	2	3
Commitment	7	3	4
Casework Application	26	13	13
Total, New System	52	22	30
Percentage of New System	100%	42%	58%

Source: Travis County, Community Supervision and Corrections Department, “FY 07 PO & Senior PO Performance Evaluation Form,” Austin, Texas. Travis County, Community Supervision and Corrections Department, “FY 08 Performance Evaluation Form, PO & PO Sr – Field & Specialized,” Austin, Texas.

The old personnel evaluation system measured employee performance in categories that were predominately paperwork or process related (25 of the 32 tasks). The evaluation categories under the old system, casework management, contacts, referrals, financial, computer/documentation and non-compliance measured paperwork compliance. The two categories that on the surface would appear to be related to casework, interpersonal relations/policy adherence and initiative, actually measured the probation officer’s patience, diplomacy and tact with his or her co-workers and his or her initiative with regard to supporting co-workers.

In contrast, the new personnel evaluation system consists of only five evaluation categories: communication, problem solving, initiative, commitment and casework

application. The tasks measured under each of these categories are predominately casework related (30 of the 52 tasks), demonstrating a shift in emphasis from processes and paperwork compliance to an emphasis on casework management.

Under the old personnel evaluation system, paperwork and processes related tasks comprised 78 percent of the probation officer's performance measurement (25 out of 32 tasks), while casework related tasks consisted of only 22 percent (7 out of 32 tasks). Under the new system, paperwork and process related tasks comprise only 42 percent (22 tasks out of 52), while casework related tasks consist of 58 percent (30 tasks out of 52). In creating the new performance evaluation system, emphasis has been placed on developing and measuring probation officer casework skills to effect changes in officer behavior.

Recommendations

Challenge 1

- The successful implementation of the EBP model for probation supervision is contingent on the support and reinforcement of administrators.

Recommendation 1

- Clearly identifying goals, responsibilities and expectations in a written manual, with respect to the personnel evaluation system, will facilitate organizational change.

Challenge 2

- Ensuring the new personnel performance evaluation system is applied consistently and fairly.

Recommendation 2

- Providing written guidelines and documentation for evaluators and employees that clearly identify goals, objectives and performance expectations is critical to the success of the new system.

Challenge 3

- It is unclear whether individual performance plans for probation officers will provide sufficient detail regarding performance expectations.

Recommendation 3

- The committee should follow up on any feedback received during the pilot from evaluators using the new system or employees receiving evaluations under the new system and help delineate the performance expectations under the new model in a mission statement.

Challenge 4

- Addressing the issue of pay raises and personnel performance is a difficult task.

Recommendation 4

- The personnel evaluation committee should consider establishing a set of core goals applicable to all POs that support organizational changes toward EBP. Additionally, the department should consider having individual probation officers set specific goals with the supervisors and managers regarding their performance, skills and knowledge attainment during the evaluation year and then tie performance pay to whether employees meet or exceed these goals.

Conclusion

Probation departments across the country are being challenged by increasing demands for services and expectations that probation should more effectively reduce recidivism by using evidence-based practices. The TCIS model orients supervision to recidivism reduction and entails an operational shift in the department from a narrow focus on monitoring compliance with court imposed conditions to a broader focus on addressing the factors that produce criminal behavior. This change requires the implementation of more effective assessments of risk and needs of the offenders based on scientific tools, the use of supervision strategies that fit the needs and risk of the population, progressive sanctions for violations and programs that can produce results.⁹ Additionally, this change requires that personnel be motivated to engage in case work oriented at changing the behavior of probationers.

Moving from understanding to implementation requires a major commitment to staff training and development. The successful implementation of any organizational change initiative requires effective policy and procedures, staff training and staff supervision. The re-design of the personnel performance evaluation system is a critical step in supporting the long-term success of the model.

This report reviewed the steps that were taken by the Travis County probation department to re-design its personnel evaluation system so that it could support the expected personnel performance under the EBP model adopted as the operational model for the department. The report examined attempts to do this in other localities, reviewed the old personnel evaluation system and how the new personnel evaluation system was designed and compared the new system with the old one.

The department engaged in an effective, methodical approach to change its personnel evaluation system--shifting from a culture that supported meeting process goals to one that is focused on achieving outcomes related to changing offender behavior. Changes in the evaluation categories as well as the individual tasks being measured under each category clearly demonstrate an increased focus on casework skills. Encouraging department personnel to participate in the process of change increased the legitimacy of the new system, as did separating performance pay from evaluation scores during the pilot period. This allowed both evaluators and employees being evaluated to become more familiar and comfortable with the new performance evaluation system.

Training and documentation and defining expectations for staff performance continue to be challenges that need to be addressed in the future. The new evaluation system measures probation officer skills for tasks related to casework management. It is critical that sufficient training be provided to probation officers to allow them to develop the skills and knowledge related to casework supervision strategies that are now measured under the new system. Under the new system, training needs will be assessed by supervisors and casework managers as part of the performance evaluation. Training should be oriented at providing practical skill training, with supplemental booster sessions to continue to improve casework skills.

By facilitating the management of change through staff involvement, open and honest communication, positive role modeling, providing performance feedback and positive reinforcement, staff support for TCIS will be enhanced. Providing staff with the tools, knowledge and skills needed to implement and support TCIS will ensure a culture of continuous learning and improvement that supports the growth and development of staff.¹⁰

Notes

¹ Tony Fabelo, “Going Beyond Evidence-Based Practices: Ten Steps to Sustaining More Effective Practices in a Probation Department,” August 10, 2008 (draft), p. 70-71.

² Ibid, p. 71.

³ Ibid, p. 72.

⁴ Email from Donna Harp, Human Resources Coordinator, Travis County Community Supervision and Corrections Department, “Evaluations,” to John Vasquez, Probation Case Work Manager, Travis County CSCD-N/2, June 6, 2007.

⁵ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006). p. 6

⁶ *The Train has Left the Station*, Travis County CSCD Training and Staff Development, Power point presentation by Gary Carlile, Staff Development Manager.

⁷ Tony Fabelo, *Travis Community Impact Supervision: An Incubator Site to Improve Probation*, (Washington, D.C.: The JFA Institute, 2006). p. 5.

⁸ Memorandum from Gary Calile, Staff Development Manager, to Dawn Heikkila, MPAff Candidate, Lyndon B. Johnson School of Public Affairs, The University of Texas at Austin, September 29, 2008.

⁹ Tony Fabelo, “Going Beyond Evidence-Based Practices: Ten Steps to Sustaining More Effective Practices in a Probation Department,” August 10, 2008 (draft), p. 87.

¹⁰ Connecticut Judicial Branch, Court Support Services Division, *Re-engineering Probation Towards Greater Public Safety: A Framework for Recidivism Reduction through Evidence-Based Practice*, by Thomas F. White (Hartford, CT, 2005), pp. 24-24.

Appendix A

Virginia

In 2005, Virginia began piloting EBP with state and local probation organizations. In 2006, the Virginia Community Criminal Justice Association (VCCJA) formed an EBP Committee to focus on EBP issues unique to local probation and more specifically to include Pretrial Services. Ten pilot sites were identified that represented all geographical areas, were comparable in size and had both pretrial and post trial operations. Legal and evidence-based principles for pretrial services were consolidated into five goals and used for action planning purposes. These goals and corresponding objectives consisted of:

Goal 1 – Apply actuarial risk tools to predict the likelihood of risk of flight and danger to the community.

Objective 1 – The Department of Criminal Justice Services (DCJS) and VCCJA entered into a contract with Luminosity to re-validate the Virginia Pretrial Risk Assessment Instrument (VPRAI). All ten pilot sites provided sample selection, developed data collection instruments and are in the process of collecting data. Additionally, pretrial bail/release recommendation guidelines were developed and implemented based on the VPRAI.

Goal 2 – Provide the least restrictive supervision necessary to effectively monitor compliance with bail conditions.

Objective 2 – Review current mission statements statewide. Develop consensus on concepts that should be introduced in mission statements related to EBP. Use VPRAI for case classification/differential supervision strategies.

Goal 3 – Align local practice with EBP principles. Encourage differential response based on type of case and severity of violation.

Objective 3 – Report violations of bail conditions which indicate an increased risk of pretrial failure to the court with a recommendation for modified bail conditions to mitigate risk.

Goal 4 – Use evidence-based techniques to gain compliance and increase defendant engagement and motivation through strength-based and motivational interviewing techniques.

Objective 4 – Review and modify motivational skill training for use in pretrial sentencing, consistent with legal principles. Align organizational culture with engagement, use of affirmation, and social learning techniques.

Goal 5 – Use performance measures, data, and evaluation to ensure quality and effectiveness of services and guide decision-making.

Objective 5 – Develop statewide outcome and process measures. Ensure statewide adherence to EBP core practices according to validated models.¹

The State of Virginia is committed to the implementation of EBP in both local and state community corrections. To that end, four local pilot sites and four state pilot sites will put the EBP principles into practice. Those sites are Charlottesville, Lynchburg, Williamsburg and Winchester. A description of the approach to implement EBP principles in each of these localities follows.

Charlottesville Pilot Site²

The Charlottesville Region is in the process of developing a comprehensive community-based approach to pretrial, probation and parole supervision with three objectives:

3. Protecting public safety;
4. Holding offenders accountable to victims and the community; and,
5. Helping offenders become responsible and productive members of society.

Some of the steps Charlottesville will take toward change include:

- Select standardized or objective assessment tools.
- Train staff in Motivational Interviewing.
- Develop supervision levels based on risk.
- Modify treatment programs to involve cognitive behavioral approaches.

- Share resources (i.e., develop resource manual).
- Develop timeline (from offender's view).
- Review process for first visit and intake procedures for clients including lobby arrangement, atmosphere and how clients are greeted.
- Develop the four positive comment and incentive processes.
- Develop sanctions/incentives (swift/certain).
- Review and re-write job descriptions to meet EBP standards.

Lynchburg Pilot Site³

At Lynchburg Community Corrections, the goal is to increase offender compliance with probation requirements leading to an increase in successful case closures and a reduction in the incidence of recidivism. Implementation of EBP will focus on the following strategies:

- Evaluate the availability and practicality of utilizing assessment instruments to help determine offender risk and needs.
- Identify and evaluate the range of local treatment options and develop a screening and assessment method to refer offenders to the most appropriate treatment services.
- Identify and develop networks with appropriate pro-social community organizations (recreation, faith-based, medical, education and employment, etc.) to assist probationers in making connections that continue beyond the period of supervised probation.
- Identify staff training needs and provide training opportunities in areas that support EBP such as motivational interviewing; provide cross-training with local substance abuse and mental health professionals; set measurable goals; and, monitor the stages of change, dealing with non-compliance, cognitive behavioral training and group facilitation skills.

Several state and national agencies, including the Virginia Department of Criminal Justice Services, Department of Corrections and the National Institute of Corrections, participated in the implementation process to assist in coordinating the selection of an offender risk assessment tool to be implemented statewide and identifying education and training opportunities. Local criminal justice agencies will collaborate in the EBP process, including the Community Service Boards, Interfaith Outreach

Association, Domestic Violence Programs and a variety of other non-profit and private treatment service agencies.

As part of the evaluation effort, Lynchburg reviewed unsuccessful case closures to determine types of violations and identified factors in unsuccessful cases, such as offender type; length of probation ordered/served; areas of non-compliance; criminal history; treatment requirements; participation in treatment services; substance abuse; education and/or employment status and other significant measurable variables. In utilizing pre and post assessments, Lynchburg should be able to assess the extent to which criminogenic factors are being addressed during supervised probation, and what relation they may have to the outcome of the case.

Williamsburg Pilot Site⁴

Colonial Community Corrections and Probation & Parole District 34 worked collectively to develop sound principles of EBP to implement in their community. Initially, they focused on Organizational Development, and worked with staff from both organizations to introduce related concepts and components. Williamsburg introduced staff to the evidence-based principles and focused on the guiding principles of: Department, Rewards/Sanctions, and Responsivity. In the near future, the site will introduce and focus on the principles of organizational change, to include assessment, intervention, monitoring and measurement. They will work with the local Community Criminal Justice Board to facilitate change in the community.

Winchester Pilot Site⁵

Collaboration was the initial emphasis in Winchester, where a number of agencies worked together to implement EBP, including Probation & Parole District 11; Clarke/Frederick/Fauquier/Winchester (CFFW) Regional Jail; Division of Court Services; Department of Vocational Rehabilitation; and Department of Social Services. The goal was to reduce recidivism by coordinating efforts addressing offender treatment and supervision. Probation and Parole and the CFFW jail entered into an agreement to employ a Transitional Specialist responsible for ensuring a treatment continuum that emphasizes comparable cognitive behavioral concepts. In addition, Winchester formed a

new task force spearheaded by the Department of Vocational Rehabilitation to find jobs for offenders and support their successful reintegration into the community.

Notes

¹ Virginia Community Criminal Justice Association, *Applying Evidence-Based Practices to Pretrial Services: The Virginia Experience*, by Katie W. Green. Online. Available: <http://www.ojp.usdoj.gov/nij/topics/courts/pretrial/research-meeting/green.pdf>. Accessed: July 14, 2008.

² Virginia Department of Criminal Justice Services, *Putting Research into Practice: Implementing Evidence-Based Practices in Community Corrections*. Online. Available: <http://www.dcjs.virginia.gov/corrections/documents/researchToPractice.pdf>. Accessed: August 13, 2008.

³ Ibid.

⁴ Ibid.

⁵ Ibid.

Appendix B

Nebraska

Probation services in Nebraska are coordinated through the Nebraska Supreme Court, Office of Probation Administration. Nebraska State Probation sought to provide a positive change in offenders and communities using risk-reduction strategies and a system of specialized rehabilitation programs for adult and juvenile offenders. Nebraska's probation mission states, "We, the leaders in community corrections, juvenile and restorative justice are unified in our dedication to delivering a system of seamless services which are founded on evidence-based practices and valued by Nebraska's communities, victims, offenders and courts. We create constructive change through rehabilitation, collaboration and partnerships in order to enhance safe communities."¹

Until recently, community corrections had been using a wide array of approaches and practices to try to reduce crime. The use of evidence-based practices represents extensive research of programs that actually help offenders to reduce their involvement in behaviors that lead to crime. Interventions within corrections are considered effective when they reduce offender risk and make a positive long-term contribution to public safety. EBP is a model of the best, most effective practices within corrections systems for reducing criminal behaviors.²

In November 2005, the Nebraska Supreme Court issued a Court Rule institutionalizing a Standardized Model to bring consistency and accountability to the delivery of substance abuse services to offenders throughout the state.³ In 2006, the Office of Probation Services created the Specialized Substance Abuse Supervision (SSAS) program as a pilot to employ evidence-based practices.⁴ The Nebraska Office of Probation Administration published a report in October 2007 which provided an overview of the Standardized Model for Delivery of Substance Abuse Services and summarized the developments related to implementing the Model and its contributions to building a system of substance abuse care within Nebraska's Probation System and as part of a sentencing continuum.⁵

The principal goals of the Standardized Model for Delivery of Substance Abuse Services are to:

- Ensure that all offenders are consistently and accurately screened and evaluated (when necessary) for substance abuse/dependency;
- Ensure that all substance abusing offenders are consistently and accurately assessed for risk of re-offending;
- Coordinate and formalize information sharing between the Judiciary, Probation, other justice agencies, and providers of screening and risk and/or substance abuse assessments; and,
- Integrate levels of treatment care with offender accountability through the use of and attention to criminogenic risk and need factors.

The Standardized Model is comprised of three interrelated strategies. Stage 1 requires all offenders be screened for substance abuse as early in the criminal/juvenile justice process as possible. The purpose of screening is to determine the presence of a current substance abuse problem and identify the need for further evaluation. Stage 2 occurs when an offender's problem areas are identified as a result of initial screening conducted during stage 1. When problem areas are identified, the offender is referred for a more comprehensive evaluation by a substance abuse professional. The criminal justice agency referring the offender is required to complete a risk assessment prior to the substance abuse evaluation and communicate that information to the substance abuse evaluator. Stage 3 involves the substance abuse evaluation. The Model stipulates that substance abuse professionals complete a substance abuse evaluation to increase the likelihood of consistent and accurate diagnoses and treatment recommendations.⁶

All substance abuse evaluations for offenders must include: (1) the Addiction Severity Index (ASI) for adults or the Comprehensive Adolescent Severity Inventory (CASI) for juveniles; (2) one additional tool of the provider's choice; and, (3) the completion of the Standardized Substance Abuse Evaluation Reporting Format. The standardized reporting format ensures the evaluation is reflective of professional standards and best practices, comprehensive, and consistent in terminology. If the risk assessment is not completed prior to the evaluation, the Model also requires that the

evaluator review the completed risk form and modify his/her evaluations before submitting the final report to the court.

Additionally, key components of the Standardized Model include the mandatory use of Registered Substance Abuse Providers for evaluations and treatment, the use of standardized level of care terminology for substance abuse treatment, and mandatory certification on the Standardized Model for criminal justice personnel.⁷

Implementation of the Standardized Model for Delivery of Substance Abuse Services is intended to increase the amount of clear communication across agencies and to improve the development of comprehensive case plans for offenders with substance abuse problems. Thus, it represents a critical step in developing Nebraska's Community Corrections System of Care.

Consistent with these principles, the Office of Probation Administration has adopted and is in the process of implementing an integrated model, which requires systems to integrate organizational development, collaboration, and evidence-based practices.⁸

To better understand Nebraska's progress in implementing EBP in their Standardized Model, a 2007 overview report highlighted Nebraska's accomplishments in the areas of organizational development, collaboration, and evidence-based practices. The first step in developing a seamless system of care was to create an organizational structure that would support the demands of such a system. At least four aspects of an agency's organizational structure are significant in this process: priorities in staffing, utility of its information system, access to funding for treatment, and training to support initiatives. Accomplishments in the area of organizational development include:⁹

- Since January 2005, the Nebraska Office of Probation Administration created positions to facilitate interagency communication and collaboration.
- The Administrative Office of the Courts/Judicial Branch Education hired a Probation Education Manager to design and conduct evidence-based management training for Probation staff throughout the state.
- Using the Uniform Data Analysis Fund, created by the Community Corrections Act, the Nebraska Probation Management Information System (NPMIS) recently added an entry portal for Registered Substance Abuse Service Providers. This update allows

providers to log on to the system and electronically connect to their clients. Additionally, this link allows providers to enter evaluation recommendations, monthly progress reports, and discharge summaries that are immediately accessible to probation officers.

- The Offender Fee for Service Voucher Program was developed in 2004 and implemented in 2006 to provide financial assistance for substance abuse evaluations and treatment for offenders. The program uses a combination of appropriations from Nebraska's general fund and fees collected from offenders to generate a pool of funds from which Probation and Parole can use to pay for offender evaluations and treatment services. The Fee for Service concept was modeled after an existing Division of Behavioral Health Services Contract Program entitled "Rural Mental Health Voucher Program." The program is administered under the Nebraska Office of Probation Administration, as recommended by the Voucher Subcommittee of the Community Corrections Council.
- The Nebraska Office of Probation Administration has provided training on the Level of Service/Case Management Inventory (LS/CMI) risk assessment tools for adults and the Youth Level of Service/Case Management Inventory (YLS/CMI) for juveniles to probation officers across the state. Additionally, it provided training on Motivational Interviewing (MI) and Stages of Change to probation and parole officers throughout the state.

The second component to Probation's integrated approach is collaboration. Improved communication and collaboration with both criminal justice agencies (i.e., courts, Department of Correctional Services, Parole, etc.) and behavioral health agencies (i.e., Nebraska's Health and Human Services (HHSS) Division of Behavioral Health and providers, etc.) is instrumental to making a seamless system of treatment care possible. Accomplishments in this area include:¹⁰

- Signed memorandums of agreement between the Office of Probation Administration, the Department of Correctional Services, and Department of Health and Human Services Division of Behavioral Services supported the initial development of the Standardized Model for Delivery of Substance Abuse Services.
- The Division of Behavioral Health has provided training on the Model's required substance abuse evaluation tools to 983 providers.
- To date, trainings have resulted in 470 providers completing the Standardized Model requirements and becoming Registered Providers with the Nebraska Office of Probation Administration. Additionally, Probation staff has worked with Division of Behavioral Health staff to standardize definitions of level of care. Use of these definitions is now required by the Standardized Model for Delivery of Substance

Abuse Services in order to ensure that the same language is used throughout the state regarding treatment.

- The Nebraska Office of Probation Administration has actively engaged with the Nebraska Department of Correctional Services, Adult Parole Administration, to hold joint training sessions and to participate in supervision programs such as the Specialized Substance Abuse Supervision Program (SSAS) and the Secure Continuous Remote Alcohol Monitoring (SCRAM) study.
- The Community Corrections Council (CCC) formed the Justice Behavioral Health Committee, which is a multidisciplinary committee charged with overseeing interagency collaboration, implementation of the community corrections model, and application of the Standardized Model to substance abuse and mental health.
- The CCC established a Voucher Subcommittee comprised of the Executive Director for CCC, Executive Policy Analyst for CCC, Office of Probation Administration's Deputy Administrator for Community Corrections Programming and the Justice Treatment Systems Specialist, Statewide Coordinator of Problem-Solving Courts, a representative from the Behavioral Health Regions, a representative from the Office of Parole Administration, a representative from the Department of Health and Human Services Division of Behavioral Services, and a representative of the provider community to oversee the implementation of the Fee for Service Voucher Program.
- Contractual agreements between the Nebraska Office of Probation Administration and the Nebraska Department of Correctional Services have extended voucher payments to parolees.
- As a result of collaboration between the Nebraska Office of Probation Administration and the Nebraska Department of Correctional Services, the level of treatment services available at the Work Ethic Camp (WEC) has been elevated to short-term residential services.
- All six Behavioral Health Regions have signed memorandums of agreements with the Nebraska Office of Probation Administration to support the operations of the voucher system.
- The Nebraska State Patrol facilitated small grants which funded juvenile drug courts for the prevention and treatment of methamphetamine abuse.
- Most recently, multiple agencies worked together to organize the *Community Corrections and Substance Abuse Treatment: An Effective Strategy for Crime Control Conference*. A total of 465 professionals attended the conference, representing law enforcement, problem-solving courts, probation, corrections, parole, behavioral health providers, and the judiciary.

The third component to Probation's use of an Evidence-Based Practice: An Integrated Approach is the use of EBP related to improving correctional practice and service delivery. Accomplishments in this area include:¹¹

- The Level of Service/Case Management Inventory (LS/CMI), a standardized risk assessment tool, currently being piloted in every district across the state for adult Class I misdemeanor offenders and all adult felony offenders.
- Since July 2006, the Nebraska Office of Probation Administration instituted a policy that requires all probation districts in Nebraska to utilize the Youth Level of Service/Case Management Inventory (YLS/CMI) for juvenile offenders. Furthermore, the use of the YLS/CMI is currently being coordinated between Probation and the Department of Health and Human Services/Office of Juvenile Services. This development marks the first effort to coordinate policy and procedure between these two agencies.
- Seven Day and Evening Reporting Centers have been established to provide a “one-stop shop” for a range of state and local services. A total of thirty services or programs are offered at the reporting centers, but not all of the services are offered in each reporting center. As of May 1, 2007, all seven reporting centers provided cognitive groups, life skills training and drug testing. Four centers provided educational services, three provided mental health services, and three provided vocational services. Centers in Douglas and Sarpy counties also provide Pre-Treatment Groups.
- The Specialized Substance Abuse Supervision (SSAS) program is an intensive intervention and supervision program that incorporates close case management with drug/alcohol treatment and targeted programming. An individualized approach to each offender is taken, based on the offender's risk level, needs and progress. The use of graduated incentives and sanctions are used to address compliance. Only well-trained and highly skilled probation officers staff the SSAS program.
- A pilot study for the use of the Secure Continuous Remote Alcohol Monitoring (SCRAM) for any offender was implemented in February 2006. This program uses SCRAM Transdermal Alcohol Testing technology to monitor any offender convicted of an alcohol or other drug related crimes. The use of SCRAM is often thought of for offenders convicted of driving under the influence, but relapse among drug offenders is often preceded by alcohol use and therefore is equally beneficial.
- There are currently 20 problem-solving courts throughout Nebraska. The supervision component for 12 of these courts is based within probation. In July 2007, the Nebraska Supreme Court adopted the Rule Governing Establishment and Operation of Drug Courts in an effort to bring consistency to drug courts in Nebraska.
- The Probation Administration, Division of Community Corrections assists specialized programs in acquiring incentives for participating offenders using the Increase

Positive Reinforcement Incentive Project. The funds for this project are provided from offender fees, and are available to all SSAS sites, Intensive Supervision Probation (ISP) Regions, and Probation-supervised problem-solving courts. To access these funds, sites must apply by describing how the incentives will be disbursed using strategies consistent with evidence-based principles to encourage behavior change among offenders.

The 2007 overview report found that despite Nebraska's accomplishments related to implementing the Standardized Model for Delivery of Substance Abuse Services as well as all the initiatives identified in the report (some of which are listed above), Nebraska still has more work related to policy development, implementation, and evaluation if they are to successfully build a seamless system of care for substance abuse services. From a policy perspective, Standardized Model data should be used to impact state and federal substance abuse allocations and to further encourage interagency agreements for collaboration. From an implementation perspective, additional efforts are needed to ensure: all agencies enforce and maintain the fidelity of the Standardized Model; all required instruments and communication documents are available electronically; efforts to use best practices and evidence-based programming by justice agencies and substance abuse providers (i.e., cognitive behavioral therapy programming, treatment lengths and stays, appropriate treatment models for methamphetamine users, etc.) are expanded; and, lessons learned from this effort are used to expand the continuum of care to include parallel initiatives related to evaluation and treatment of offenders with mental health problems and sex offenders. From an evaluation perspective, it is critical to build a research agenda that will document: the impact of using the Standardized Model for Delivery of Substance Abuse Services on reducing recidivism; the effectiveness of specific treatment modalities on reducing recidivism; the impact of formally integrating treatment and supervision on reducing recidivism; and, the cost/benefit ratio related to using the Standardized Model for Delivery of Substance Abuse Services.

The Standardized Model for Delivery of Substance Abuse Services has evolved significantly since its inception. The original idea was to simply rethink the process by which substance abuse was identified and treated within the criminal justice system. Not only did the Task Force accomplish this, it created a model that required treatment and

justice professionals to work together. The process of developing the Standardized Model was built on partnerships between justice professionals and treatment providers. Furthermore, the Model was not developed by agency administrators and handed down; rather, it was created by individuals dealing with these problems on a daily basis and handed up to administrators. It represents a “cutting edge” response to problems that have plagued criminal justice systems for decades, and it reflects solutions that are practical and feasible.¹²

Dr. Herz, author of the 2007 overview report, concluded the key to Nebraska’s success with the Standardized Model for Delivery of Substance Abuse Services rests in the combination of vision, leadership, commitment and openness. This combination helped identify and address obstacles to interagency collaboration, overcome differences and misunderstandings due to terminology differences across systems, and reduce, if not abate, turf boundaries between agencies and systems.

Notes

¹ Nebraska Supreme Court, Office of Probation Administration, Probation: Building Better Lives for Safer Communities, Lincoln, NE (pamphlet).

² Nebraska Supreme Court, Office of Probation Administration, Probation: Building Better Lives for Safer Communities, Lincoln, NE (pamphlet).

³ Nebraska Office of Probation Administration, “Transformations in Community Corrections Series, Volume 1: Building a Seamless System of Care for Substance Abuse Services in Nebraska; The Implementation of the Standardized Model for Delivery of Substance Abuse Services,” report prepared by Denise C. Herz, Ph.D., Los Angeles, CA, October 2007, p. 1.

⁴ Nebraska Supreme Court, “Evidence-Based Practices and Principles Implemented in Nebraska by Office of Probation Administration,” *Nebraska Judicial News* (April 2007), p. 1.

⁵ Nebraska Office of Probation Administration, “Transformations in Community Corrections Series, Volume 1: Building a Seamless System of Care for Substance Abuse Services in Nebraska; The Implementation of the Standardized Model for Delivery of Substance Abuse Services,” report prepared by Denise C. Herz, Ph.D., Los Angeles, CA, October 2007, p. 1.

⁶ *Ibid*, p. 3.

⁷ *Ibid*, p. 4.

⁸ *Ibid*.

⁹ *Ibid*, p. 5.

¹⁰ *Ibid*, pp. 6-7.

¹¹ *Ibid*, pp. 7-8.

¹² *Ibid*, p. 10.

Appendix C

Maryland

In response to the 2000 Joint Chairmen's Report, the Maryland Division of Parole and Probation (MDPP) developed a strategy to re-engineer supervision by integrating research-based findings pertinent to protecting community safety and returning offenders to a more pro-social lifestyle. The strategy, called Proactive Community Supervision (PCS), has three goals: protect public safety; hold offenders accountable to victims and the community; and, help offenders become responsible and productive. These goals are accomplished through the five major components of PCS: 1) identify criminogenic traits using a valid risk and need tool; 2) develop a supervision plan that addresses criminogenic traits employing effective external controls and treatment interventions; 3) hold the offender accountable for progress on the supervision plan; 4) use a place-based strategy wherein individual probation/parole office environments are engaged in implementing the strategy; and, 5) develop partnerships with community organizations who will provide ancillary services to supervisees.¹

To allow MDPP to change the context of supervision, caseload sizes for intensive supervision by probation/parole agents were reduced from 100 to 55 in four areas: Mondawmin in Baltimore City, Hyattsville in Prince George's County, Silver Springs in Montgomery County, and all of Caroline County. With PCS, probation/parole agents are armed with a research-based strategy regarding how to address the criminogenic traits that propel individuals to continue their involvement in criminal behavior. PCS offers a holistic approach for probation/parole agents to facilitate offender change while emphasizing accountability and public safety.²

PCS is a comprehensive community-oriented approach to parole and probation. Agents are assigned to supervise offenders in a specific neighborhood or area. Unlike traditional office based systems, PCS brings agents into the community to do the bulk of their work. They have more face-to-face contact with the people under their supervision.³

The PCS model creates an entirely new way of working and thinking for MDPP agents and supervisors. Under the traditional system, agents spend most of their time in their offices; offenders report to them. Little intervention is called for on the agent's part. In the PCS model, agents actively manage offenders. They talk to and work with them on a one-on-one basis to chart a course that will lead the offender back to a positive, productive life. Under the old system, agents handled a mixed caseload of high- and low-risk offenders, averaging 103 cases per agent, which meant some high-risk offenders were not receiving adequate time and attention from agents. Under PCS, agents work with either 50-55 high-risk/high-need offenders who need intensive management or about 200 low-risk/low-need offenders.⁴

The role of supervisors was also radically changed under PCS. Traditionally, supervisors spent an eight-hour day in their office handling paperwork. They were responsible for overseeing the work of eight to ten agents, and were not actively involved in individual cases. When a problem arose, they would react more as an auditor than as a service delivery partner. Under PCS, supervisors have become active team leaders and mentors who work closely with about five or six agents, sharing insight and expertise to help develop effective case plans. Active involvement from seasoned veterans helps agents troubleshoot potential problems before they become serious. A PCS supervisor now spends less time in the office and more time in the field observing agents at work and strengthening relationships with communities.⁵

The PCS model calls for a very different set of skills for agents and supervisors. They must be given the responsibility to make decisions and act on them. To work effectively with offenders and community members, they need intensive and ongoing training in a variety of areas, including interpersonal and leadership skills, conflict management, team building, and how to teach decision making and other essential skills to offenders with whom they work. They need training in new technologies – computers, Internet, mobile communications, digital media, etc. – that are integral to the success of the PCS model. They also need instruction in the use of offender risk assessment and case planning tools. Career development is also an important key to attract and retain the best people.⁶

A key component to implementing PCS in Maryland was to reduce the number of high-risk offenders supervised by each agent. This meant increasing the number of agents and to support the increased number of MDPP employees, additional staff were needed in executive management, human resources, and budget and fiscal services areas. Additionally, a research and evaluation unit was created to develop, capture, and use performance-based measures to ensure that performance evaluation measures reflect outcomes and not outputs.

Under the PCS model, the MDPP expanded the use of alternative work schedules for the 40-hour workweek. This change enabled staff to be more flexible and work outside traditional work hours and days. Evening, weekend and holiday hours became a regular part of agent and supervision schedules so they can be available in the community at the times when offenders and their families are most likely to be home.⁷

The PCS model relies on the timely exchange of information and access to data. Agents use laptop computers to record field notes and complete reports. Links to the Criminal Justice Information System (CJIS), Offender-Based State Correctional Information System (OBSCIS) and other law enforcement and correctional data systems ensure information is readily available to agents and other criminal justice stakeholders. E-mail is an essential information sharing and communication tool available to every agent and supervisor.⁸

The MDPP's goal was to implement a seamless system of risk/needs assessments that encompassed the Division of Pretrial Detention and Services, the courts, the Division of Correction, and the MDPP. Classification/Assessment information should follow offenders throughout the various stages of the criminal justice system, thereby creating a continuum of information. Information and systems of gathering information related to offender classification/assessment should follow a sequential compilation process, thereby allowing the stakeholders to develop a more comprehensive picture of the individual offenders.

The needs assessment tool will:

- Predict the probability of violence, recidivism/re-arrest, failure to appear, community non-compliance (technical violations), and other outcomes;

- Be relevant to the services and programming utilized by pretrial supervision, prisons, and parole and probation;
- Be valid and unbiased in differentiating the levels of offender risk;
- Provide a dynamic and continual process, usable at initial intake and at other intervals during an offender's period of supervision;
- Be simple in design and content and allow for completion within a reasonable amount of time; and,
- Be entered, stored and updated in a data information system that interfaces with the information systems of other criminal justice stakeholders.⁹

Like most other community corrections agencies nationwide, the MDPP measured its "success" based on meeting standards – counting the contacts between an agent and an offender (outputs). Under the PCS model, the MDPP will emphasize offender outcomes over processes. Rather than measuring the number of times offenders are seen by agents, or how many reports are submitted in a particular month, PCS is concerned with how many offenders complete intervention programs, obtain jobs and remain employed, and which ones successfully complete probation or parole.

In February 2006, a joint research team from the Virginia Commonwealth University and the University of Maryland published *Proactive Community Supervision in Maryland: Changing Offender Outcomes*. This report presented an overview of the impact of the PCS strategy on key offender outcomes – re-arrest rates, warrants for violation of probation, and adherence to offender supervision plans.

The researchers found that participation in PCS had a positive effect on offender outcomes. In particular, regardless of the criminal history of the offender or risk level, the rates of re-arrest and warrants filed for technical violations were significantly lower for offenders that were supervised under the PCS strategy. The PCS model has shown to have statistically significant outcomes for offenders compared to traditional methods of supervision.

While good progress has been found in this study, implementation of the PCS strategy is still on-going. This study revealed some areas of growth and development that

MDPP should consider as it continues implementing PCS. Below are several recommendations from the research team:

- Develop specific staff expertise in typologies and how they relate to different controls and services that can further improve offender outcomes. Case plans currently reflect an attention to key goals, but it is apparent that further work is needed to understand some of the more difficult, entrenched offender behaviors. The typologies that appear to need more refinement are disassociated, violent, and entrepreneur drug offenders.
- Develop management strategies for staff that are not following all of the PCS processes including a set of compliance management strategies.
- Develop a process for using trigger analysis in the case monitoring process to ensure agents are working with offenders on high-risk situations that affect their outcomes.
- Develop supervisor expertise in areas of case planning and monitoring offender progress to further the skill development of line staff. Use the coach model for different components of the process.¹⁰

Notes

¹ Faye S. Taxman, Ph.D. et al, “Proactive Community Supervision in Maryland: Changing Offender Outcomes,” Maryland Division of Parole and Probation, February 2006, p. 1.

² Ibid, p. 1.

³ Maryland Department of Public Safety and Correctional Services, *Proactive Community Supervision: A Plan for Making Maryland Communities Safer. A Report to the Budget Committees of the Maryland General Assembly*, (October 2000), p 6.

⁴ Ibid, p. 7.

⁵ Ibid, p. 7.

⁶ Ibid, p. 8.

⁷ Ibid, p. 10.

⁸ Ibid, p. 11.

⁹ Ibid, pp. 13-14.

¹⁰ Faye S. Taxman, Ph.D. et al, “Proactive Community Supervision in Maryland: Changing Offender Outcomes,” Maryland Division of Parole and Probation, February 2006, p. 18.

Appendix D

FY07 Performance Evaluation Forms

This appendix contains the performance evaluation forms used by Travis County CSCD under the old evaluation system for Field Probation Officers and Senior Probations Officers. Also found within this appendix are copies of the Task Legend, the Case File Worksheet Grid and the Audit Form.

Category 4: FINANCIAL		Category Weight 2		
Task		Task Score	Task Weight	Total Task Score
a.	Monitors the financial status of the client and addresses fee status/delinquency at each office visit.	2	3	6
Comments:		Sum of Total Task Scores		6
		Sum of Task Weights		3
		Category Score		2.00
Category 5: COMPUTER / DOCUMENTATION		Category Weight 3		
Task		Task Score	Task Weight	Total Task Score
a.	Documents all case management information in the PC according to SOP by the required deadline.	2	3	6
b.	Ensures criminal history, probated offense reports, SID, TRN/TRS, etc are on file and takes necessary steps to obtain as per department policy when missing.	2	3	6
c.	Reconciles all computerized reports according to SOP.	2	3	6
d.	Meets all CSTS funding criteria (eg. direct/indirect, level and mandatory fields are completed) by updating case status in computer according to SOP.	2	3	6
Comments:		Sum of Total Task Scores		12
		Sum of Task Weights		6
		Category Score		2.00
Category 6: NON-COMPLIANCE		Category Weight 3		
Task		Task Score	Task Weight	Total Task Score
a.	Routinely addresses non-compliance issues with the client during office visits.	2	2	4
b.	Initiates and utilizes the Supervisory Hearings process to address issues of non-compliance according to SOP.	2	2	4
c.	Initiates and utilizes the Administrative Hearings process to address issues of non-compliance according to SOP.	2	2	4
d.	Takes appropriate action to include submitting ACOCS, Extensions, Financial Study according to SOP.	2	3	6
e.	Files VR/MTR reports as per Departmental Policy.	2	3	6
Comments:		Sum of Total Task Scores		24
		Sum of Task Weights		12
		Category Score		2.00

Category 7: INTERPERSONAL RELATIONS/POLICY ADHERENCE		Category Weight 3		
Task		Task Score	Task Weight	Total Task Score
a.	Relates well to others and does not receive substantiated complaints from offenders, victims, attorneys, judges, co-workers, personnel from other agencies and the public in general.	2	3	6
b.	Demonstrates patience, diplomacy, and tact with employees and is sensitive to their needs.	2	3	6
c.	Immediately notifies Manager of issues that occur that would reflect on the Department.	2	3	6
d.	Responds to clients in a manner that builds an effective working relationship.	2	2	4
e.	Adheres to all personnel policies and procedures.	2	2	4
f.	Adheres to all casework policies in the field manual not addressed otherwise in the evaluation.	2	2	4
g.	Consistently arrives to work on time based on work schedule and leaves work at scheduled time as per the Attendance Policy. (If a coaching report of any progressive discipline has been given, this factor must be rated a "below standard".) (0-3 tardies= exceeds, 4-10 tardies=meets standards, 11+tardies=needs improvement)	2	2	4
Comments:		Sum of Total Task Scores		34
		Sum of Task Weights		17
		Category Score		2.00
Category 8: INITIATIVE		Category Weight 3		
Task		Task Score	Task Weight	Total Task Score
a.	Assists other employees in completing additional work assigned when there is a vacant caseload or a heavy workload.	2	3	6
b.	Takes initiative in performing other duties.	2	3	6
Comments:		Sum of Total Task Scores		12
		Sum of Task Weights		6
		Category Score		2.00

Category 9: PERSONNEL MANAGEMENT SUPPORT		Category Weight: 3		
Task		Task Score	Task Weight	Total Task Score
a.	Monitors employees compliance with Standard Operating Procedures (SOP) on a daily basis.	2	3	6
b.	Informs CSM of employee non-compliance to SOPs and personnel policies.	2	3	6
c.	Provides input to the CSM as requested when the CSM develops an Employee Development Plan.	2	2	4
d.	Approves leave time for employees according to SOP in the CSMs or Leads absence.	2	2	4
e.	Sets management priorities on tasks to ensure daily deadlines are being met within the unit in the absence of the CSM and Lead.	2	3	6
f.	Takes initiative in solving day to day Unit problems utilizing sound, common sense judgement based on Departmental policies and procedures.	2	3	6
g.	Communicates clearly to staff accurate instructions and directives.	2	3	6
Comments:		Sum of Total Task Scores		38
		Sum of Task Weights		19
		Category Score		2.00
Category 10: ADMINISTRATIVE		Category Weight: 3		
Task		Task Score	Task Weight	Total Task Score
a.	Completes administrative duties as assigned by the Community Supervision Manager according to SOP.	2	3	6
b.	Conducts OCR touch count monthly with a CSO as per SOP.	2	2	4
c.	Accurately proofs and approves legal and other paperwork (Amended Conditions of Community Supervision, Violation Reports, Motions to Revoke, etc.) for Unit at the direction of the Community Supervision Manager.	2	3	6
d.	Conducts exit audits according to SOP and within the required deadline for the Community Supervision Manager.	2	3	6
e.	Assists CSOs with appropriate community referrals, including, but not limited to treatment and job referrals.	2	1	2
f.	Conducts audits for performance evaluations accurately and timely at the direction of the Community Supervision Manager.	2	3	6
g.	Conducts Supervisory Hearings for the Community Supervision Manager according to SOP.	2	3	6
h.	Obtains case file information for CSM as requested.	2	2	4
Comments:		Sum of Total Task Scores		40
		Sum of Task Weights		20
		Category Score		2.00
Category 11: TRAINING		Category Weight: 3		
Task		Task Score	Task Weight	Total Task Score
a.	Assists in the training of staff according to SOP at the direction of the Community Supervision Manager.	2	3	6
b.	Provides on-going teaching and coaching for all staff when there is a recognized need without prompting from the CSM.	2	3	6
c.	Reports to the Community Supervision Manager on a weekly basis on matters relating to the progress of new staff.	2	2	4
d.	Proficient in serving as a unit resource for computer trouble shooting and training.	2	3	6
Comments:		Sum of Total Task Scores		22
		Sum of Task Weights		11
		Category Score		2.00

Category		Category score	Category Weight	Total Task Score
1	CASE MANAGEMENT	2.00	2	4.00
2	CONTACTS	2.00	2	4.00
3	REFERRALS	2.00	2	4.00
4	FINANCIAL	2.00	2	4.00
5	COMPUTER / DOCUMENTATION	2.00	3	6.00
6	NON-COMPLIANCE	2.00	3	6.00
7	INTERPERSONAL RELATIONS/POLICY ADHERENCE	2.00	3	6.00
8	INITIATIVE	2.00	3	6.00
9	PERSONNEL MANAGEMENT SUPPORT	2.00	3	6.00
10	ADMINISTRATIVE	2.00	3	6.00
11	TRAINING	2.00	3	6.00
Comments:		Sum of Total Category		58.00
		Sum of Category Weights		29
		Overall Score		2.00

EMPLOYEE STRENGTHS:

AREAS WHERE IMPROVEMENT IS NEEDED:

ADDITIONAL COMMENTS:

EMPLOYEE DEVELOPMENT PLAN:

FY07 PO & Sr. PO TASK LEGEND

CATEGORY 1 Case Management

- a. **Staffs cases with CSM and Sr. CSOs for direction on appropriate action with offenders as needed or to resolve non-routine case management issues.**
 - 1 Identifies non-routine case management issues (eg. Psychological or medical crisis, conduct problems, criminal activity, etc.) and staffs with CSM/Sr. CSO to determine appropriate action.
 - 2 CSO is prepared for the staffing by presenting all the pertinent issues and facts to the CSM/Sr. CSO.
 - 3 CSO uses common sense, field experience and departmental policy to make recommendations in the staffing.
 - 4 Documents the staffing in the chronological record.
- b. **Initial interview completed as per Departmental policy.**
 - 1 Correct instrument used. (Questionnaire or SCS)
 - 2 The Questionnaire or SCS is completely filled out with all answers documented
 - 3 Intake Set Up Form; review and verify all info is entered in computer
 - 4 Civil Liberties Form; signed and dated
 - 5 Explanation of Probation; signed and dated
 - 6 Payment Schedule completed correctly; signed and dated
 - 7 Initial interview chrono completed.
 - 8 Supervision Plan
- c. **Assessment/reassessment completed as per Departmental policy.**
 - 1 Accurate risk/needs assessment completed within 60 days of probation.
 - 2 Reassessments completed within the timeframe stated in policy.
 - 3 Supervision level substantiated by PSI, Rap Sheet, SCS or Initial Interview questionnaire, or other data available.
- d. **Completes requested court reports (eg. Early Discharges, Financial Study, etc.) as per Dept policy.**
 - 1 Reports are filed timely according to SOP
 - 2 Reports are factually accurate
 - 3 Reports contain no errors, typos or grammatical errors.
 - 4 Submission is documented in the computer system.
- e. **Ensures case file is organized according to Departmental policy.**
 - 1 Case file is organized per SOP.
- f. **Administratively closes cases per Departmental policy.**
 - 1 Follows up on missed appointments.
 - 2 Follows the steps to avoid absconders, per SOP.
 - 3 Files legal paperwork.
 - 4 For felony case, makes referral to Apprehension Officers, per SOP.
- g. **Requires tests for drug use as per policy.**
 - 1 On cases that require drug testing, the number and type of drug to be tested is based on Dept policy and the Court Info Sheet.
 - 2 Appropriate action taken as delineated in the Court Info Sheet and Dept policy.
 - 3 Random UA procedures are followed when random UAs are court ordered or required by policy.
 - 4 Follows policy for disputed UAs.
- h. **Discharges cases per SOP.**
 - 1 Ensures all special conditions were completed and documented in file.
 - 2 Criminal History/Warrant check completed.
 - 3 Completes the Discharge Checklist to CWM/Sr. PO for review per SOP.
 - 4 Accurately completes the Computer Discharge Form.
 - 5 Discharges cases within one week of date of discharge.

CATEGORY 2 Contacts

- a. **Completes required number of office contacts per Departmental Policy.**

Missed appointments will count if appropriate follow up is conducted (PC, FV, CC or letter) and documented within 24 hours per SOP

Reviews and updates computer with all the information reported on the Monthly Office Visit Form.

 - 1 Reviews current address, employment and marital status, for any changes.
 - 2 Reviews COCS to determine compliance.
 - 3 Makes updates to the computer system timely, per SOP, noting all info covered during the office visit.
- b. **Completes required number of field contacts per Departmental Policy.**
- c. **Completes collateral contacts as appropriate.**

CATEGORY 3 Referrals

- a. **Prioritizes, completes appropriate paperwork and makes timely referrals according to SOP.**
 - 1 Reviews all special conditions and based on SOP, prioritizes the client's referrals.
 - 2 Makes timely referrals as per COCS
 - 3 Makes additional referrals to address offender's needs, if necessary, outside the scope of COCS.
 - 4 Completes appropriate and timely paperwork on all referrals as per department policy.
- b. **Monitors status and compliance with all referrals made.**
 - 1 Ensures the client attends Orientation.
 - 2 Checks the waiting list status of the client.
 - 3 Follow up on the referral regularly.
- c. **Ensures referrals are made for ignition interlock and monitors compliance according to SOP.**
 - 1 Reviews the COCS for the ignition interlock COCS.
 - 2 All the paperwork is completed accurately.
 - 3 Provides the client with ignition interlock paperwork and vendor information.
 - 4 Monitors the clients compliance with ignition interlock.

CATEGORY 4 Financial

- a. **Monitors the financial status of the client and addresses fee status/delinquency at each office visit.**
 - 1 Reviews and addresses the financial status of the client at each visit.
 - 2 Follows SOP for delinquencies.
 - 3 Intrastate and Interstate Courtesy Case UA fee is addressed per SOP.
 - 4 Interstate courtesy case supervision fee assessed per SOP.

CATEGORY 5 Computer Documentation

- a. **Documents all case management information in the PC according to SOP by the required deadline.**
 - 1 Entries must be clear, concise and accurate and professional.
 - 2 Pertinent information obtained during contacts.
 - 3 Problems/concerns are documented.
 - 4 Significant statements made by offender
 - 5 Date of next appointment and/or field visit
 - 6 Responds to correspondence.
- b. **Ensures criminal history, probated offense reports, SID, TRN/TRS, etc are on file and takes necessary steps to obtain as per department policy when missing.**
 - 1 Requests Criminal History per policy and includes in file.
 - 2 Probated offense report in file
 - 3 SID number in file or efforts to obtain documented.
 - 4 TRN/TRS numbers are in file or efforts to obtain documented.
- c. **Reconciles all computerized reports.**
 - 1 Reviews and verifies all case management computerized reports within the required deadline.
 - 2 Accurately reconciles the computerized reports.
 - 3 Immediately addresses problems or discrepancies in the reports.
- d. **Meets all CSTS funding criteria (eg. direct/indirect, level and mandatory fields are completed) by updating case status in computer according to SOP.**
 - 1 CSTS fields are filled out per SOP.
 - 2 Accurately assigns and assesses each offender on caseload as to direct/indirect designation.
 - 3 Indirect cases assigned to correct level.
- e. **Low Risk Only: Enters MRFs within 5 working days and accurately reflects all changes in CSS.**

CATEGORY 6 Non Compliance

- a. **Routinely addresses non-compliance issues with the client during office visits.**
 - 1 Responds to violations in a timely manner according to the SOP.
 - 2 Counsels client at the first indication of non-compliance.
 - 3 Takes appropriate action on continued non-compliance.
- b. **Initiates and utilizes the Supervisory Hearings process to address issues of non-compliance according to**
 - 1 Schedules and conducts Supervisory Hearing according to SOP
 - 2 Communicates clearly and firmly with the client regarding the expectations of the Sup Hearing
 - 3 Follows up and addresses client's abiding with the Sup Hearing agreement.
 - 4 Takes appropriate action on continued non-compliance.
- c. **Initiates and utilizes the Administrative Hearings process to address issues of non-compliance according to**
 - 1 After following the Sup Hearing process above, initiates the Admin Hearing process to address non-compliance.
 - 2 Schedules Admin Hearing according to SOP.
 - 3 Completes all necessary paperwork for the Admin Hearing and forwards to designated Support Staff.

- 4 Following the Admin Hearing, reviews the agreement and documents.
 - 5 Follows up and addresses client's abiding with the Admin Hearing agreement.
 - 6 Takes appropriate action on continued non-compliance.
- d. **Takes appropriate action to include submitting ACOCS, Extensions, Financial Study according to SOP.**
- 1 Completes court reports accurately.
 - 2 Completes court reports timely.
- e. **Files VR/MTR reports as per Departmental Policy.**
- 1 Violation Reports and Motions to Revoke are filed timely according to SOF
 - 2 Violation Reports and Motions to Revoke are factually accurate
 - 3 Violation Reports and Motions to Revoke contain no errors typos or grammar errors

CATEGORY 7 INTERPERSONAL RELATIONS/POLICY ADHERENCE

This part of the performance evaluation is based on information received by the CSM throughout the year from other sources and from the CSM's objective judgement.

- a. **Relates well to others and does not receive substantiated complaints from offenders, victims, attorneys, judges, co-workers, personnel from other agencies, and the general public.**
- b. **Immediately notifies Manager of issues that occur on the job that would reflect on the Department.**
- c. **Responds to clients in a manner that builds an effective working relationship.**
 - 1 CSO responds to the client in a respectful and professional manner.
 - 2 CSO counsels the client as needed and is firm and fair in holding the client accountable.
 - 3 CSO builds a rapport with the client.
 - 4 CSO communicates with the client in a clear manner.
- d. **Adheres to all personnel policies and procedures.**
- e. **Adheres to all casework policies in the field manual not addressed otherwise in the evaluation.**

CATEGORY 8 INITIATIVE

This part of the performance evaluation is based on information received by the CSM throughout the year from other sources and from the CSM's objective judgement.

- a. **Assists other employees in completing additional work assigned when there is a vacant caseload or a heavy workload.**
- b. **Takes the initiative in performing other duties. Includes but is not limited to serving on various committees within the Department, submitting "I have an Idea" proposals, conducting special trainings, servings on committees outside the Department, etc.**

CATEGORY 9 ATTENDANCE AND PROMPTNESS - Category for Probationary Staff

- a. **Consistently arrives to work on time based on work schedule and leaves work at scheduled time as per the Attendance Policy. (If a coaching report of any progressive discipline has been given, this factor must be rated a "below standard".) (0-3 tardies=consistently exceeds, 4-10 tardies=meets standards, 11+tardies=needs improvement) **TASK only for All Staff****
- b. **Punctual in attending meetings and other functions.**
Attends meetings on time, including staff meetings, committee meetings, outside meetings and others.
- c. **Takes lunch within assigned time (1 hour) and gets prior approval for schedule changes.**
This rating is based on the CSM's observations, documented notes in activity file, complaints received, etc.
- d. **Accurately completes individual timesheets according to SOP, signs and submits to supervisor as directed (0-2 errors = consistently exceeds; 3-7 errors = meets standards; 8+ = needs improvement).**

FY07 FIELD PO & Sr. PO AUDIT FORM

SUP LEVEL

Officer:				Date:							
Offender:				Unit: North 2							
Offense:				Sentence/DOP:							
Category 1 Case Management			YES	NO	N/A	Category 3 Referrals			YES	NO	N/A
a. Staffs cases with CSM/Sr. CSO for direction (3)					****	a. Prioritizes, completes appropriate ppw and makes referrals (3)					****
1. IDs non-routine cases case management cases						1. Reviews all special COCS, prioritizes referrals					
2. CSO is prepared for staffing with all the facts						2. Makes timely referrals as per SOP					
3. CSO uses common sense to make recommendation						3. Makes additional referrals to address needs					
4. Documents all efforts in case file						4. Complete appropriate and timely ppw per SOP					
b. Initial Interview completed as per Dept Policy (6)					****	b. Monitors status and compliance with all referrals made (2)					****
1. Correct instrument used (Questionnaire or SCS)						1. Ensures clients attend Orientation					
2. Instrument used is completely filled out answers documented						2. Checks the waiting list status of the client					
3. Accurately completed Intake Set Up Form						3. Follow up on referral regularly					
4. Civil Liberties signed & dated						c. Ensures referrals are made for IID & monitors compliance (3)					****
5. Explanation of Probation signed & dated						1. Reviews COCS for IID COCS					
6. Payment Schedule completed correctly signed & dated						2. All ppw is completed accurately					
7. Initial Interview chono completed						3. Provides client with IID ppw and vendor info					
8. Supervision Plan						4. Monitors client compliance with IID					
c. Assessments/Reassessment completed as per SOP (3)					****	Category 4 Financial					
1. Accurate risk/needs assessment within 60 DOP						a. Monitors financial status & addresses fee status at OV (3)					****
2. Reassessments completed per policy						1. Review and addresses financial status at each visit					
3. Sup level substantiated by PSI, Rap sheet, SCS, quest, etc						2. Follows SOP for delinquencies					
d. Completes court reports per SOP (3)					****	3. Intra/Interstate Courtesy Case UA fee addressed per SOP					
1. Reports filed timely per SOP						4. Interstate courtesy case sup fees addressed per SOP					
2. Reports are factually accurate						Category 5 Computer Documentation					
3. Reports contain no errors, typos or grammatical errors						a. Documents all case mgmt info in PC (6)					****
4. Submission is documented in computer system						1. Entries are clear, concise, accurate & professional					
e. Case file is organized per SOP					****	2. Pertinent info obtained during contacts					
f. Administratively Closes cases per SOP (3)					****	3. Problems/concerns are documented					
1. Follows up on missed appts						4. Significant statements by client are documented					
2. Follows steps to avoid absconders per SOP						5. Date of next appt or field visit					
3. Files legal paperwork.						6. Responds to correspondence					
4. For felony, makes referral to Apprehension Officer						b. Ensures CCH, offense report, SID, TRN/TRS are on file (3)					****
g. Requires tests for drug use as per SOP. (3)					****	1. Requests criminal history per policy for the file					
1. The # and type of drug tested per SOP & Court Info						2. Probated offense report in file					
2. Appropriate action taken per SOP & Court Info						3. SID # in file or efforts to obtain are documented					
3. Random UA procedures followed when Court ordered						4. TRN/TRS # in file or efforts to obtain are documented					
4. Follows policy for disputed UAs						c. Reconciles all computerizes reports (3)					****
h. Discharges cases per SOP. (4)					****	1. Reviews/verifies all computerized reports within deadline					
1. Ensures all special COCS completed & documented						2. Accurately reconciles the computerized reports.					
2. Criminal History/Warrant check completed						3. Immediately addresses problems or discrepancies.					
3. Completed Discharge Checklist to the CSM/Sr. CSO						d. Meets all CSTS funding criteria (3)					****
4. Accurately completes the Computer Discharge Form						1. CSTS fields are filled out per SOP					
5. Discharges cases within one week of discharge.						2. Accurately assigns and assess direct/indirect supervision					
Category 2 Contacts						3. Indirect cases assigned to correct level					
a. Completes required number of office contacts per SOP (3)					****	LOW Risk Only: e. Enters MRFs in CSS within 5 days					****
1. Reviews & updates address, job, marital status											
2. Reviews COCS to determine compliance											
3. Makes updates to computer per SOP, noting all info											
b. Completed required # of field contacts per SOP.					****						
c. Completes collateral contacts as appropriate.					****						
				Audit as of:							
				Auditor:							

Appendix E

FY08 Performance Evaluation Forms

This appendix contains the performance evaluation forms used by Travis County CSCD under the new evaluation system for Field Probation Officers and Senior Probations Officers. Also found within this appendix are copies of the Quality Contact Standards Audit Form, Case File Audit Form and the Case File and Quality Contact Audit Grids and Scoring Grid for performance evaluation section 5, casework application.

FY 2008 PERFORMANCE EVALUATION

PO & PO Sr - Field & Specialized

Name: _____	Evaluation Period: _____
Unit: _____	Supervisor: _____

N/A Needs Improvement Meets Expectations

SECTION 1: COMMUNICATION

1	<u>Communication Skills</u>			
a	Communicates with others directly and honestly; works in a respectful, professional manner			
b	Produces readable, concise, and accurate written documentation			
2	<u>Team Work and Collaboration</u>			
a	Assists others when needed			
b	Participates effectively in the work team			
c	Actively listens to co-workers, supervisors and external sources.			
d	Prevents or resolves conflict			

SECTION 2: PROBLEM-SOLVING

1	<u>Identifies problem(s)</u>			
a	Gathers relevant data			
b	Demonstrates ability to identify and define problem			
c	Ability to distinguish the problems s/he can solve alone, the problems s/he should solve with a staffing and critical problems that should be brought to the attention of the appropriate supervisor			
2	<u>Identifies and considers alternative solutions</u>			
a.	Considers relevant alternatives before making decisions and identifies potential negative consequences			
b.	Uses sound professional judgment and justifies decisions where policy allows discretion			
3	<u>Engages in collaboration and identifies resources</u>			
a	Shows familiarity with law/departmental policies/sanctions and incentive model/Judge's directives			
b	Elicits solutions from all involved parties including probationer, other officers, supervisor and external sources in problem analysis/solutions, as appropriate			
4	<u>Follow up</u>			
a	Considers and monitors results, accepts responsibility for decisions and makes appropriate adjustments			

SECTION 3: INITIATIVE

1	<u>Self – Enhances his/her own performance and maintains current knowledge in the field</u>			
a	Demonstrates initiative in completing work responsibilities and seeks information from professional sources displaying ability to think progressively (outside the box).			
b.	Acquires new skills and attends training to develop proficiency regarding available technology			
c.	Accepts and incorporates constructive feedback			
2	<u>Unit/Department – Enhances his/her own performance at the unit/department level</u>			
a	Communicates ideas to improve procedures, techniques, and processes in accordance with TCIS initiatives			
b	Volunteers for special assignments			

SECTION 4: COMMITMENT

1	<u>Supports the department's mission and values</u>			
a	Work and conduct are compatible with the Mission Statement and TCIS			

N/A Needs Improvement Meets Expectations

b.	Demonstrates personal integrity and abides by the Code of Ethics			
2 Continually develops our organization				
a.	Identifies problems and barriers by offering suggestions as well as how to implement and measure possible solutions			
b.	Demonstrates willingness to try new and different approaches to reach department goals			
3 Follows Policies				
a.	Follows departmental policies as outlined in the Personnel Policy Manual			
b.	Follows departmental policies as outlined in the Field Manual and/or any procedural policy relevant to position not otherwise addressed in the evaluation.			
c.	Follows departmental policies as outlined in the Safety Manual			

SECTION 5: CASEWORK APPLICATION

1 Initial Contacts				
a.	Completes initial interview questionnaire or SCS, if appropriate.			
b.	Reviews and identifies criminogenic needs with probationer			
c.	Uses Elicit Provide Elicit (EPE) approach with probationers to provide good advice/information, establish rapport, and to create a collaborative tone in the interaction			
2 Supervision Agreement				
a.	Collaborates with probationer in developing, writing the plan			
b.	Develops initial Supervision Agreement that appropriately addresses the criminogenic need(s)			
c.	Supervision Agreement adjusted to accommodate probationer's needs and stages of change as appropriate			
3 Day to Day Supervision				
a.	Monitors compliance with program requirements and laws and notifies others (i.e. Court, treatment team) of problems or non-compliance			
b.	Supervision agreement is foundation of discussion during contacts			
c.	Supervises according to risk level and strategy group			
d.	Utilizes Motivational Interviewing (MI): uses good interactive skills with probationers through reflective listening, affirmations, and summarizations, and asks relevant open-ended questions			
e.	Risk/Need Reassessments are completed			
	1. Whenever significant events (positive or negative) occur			
	2. Annually or every six months (for specialized caseloads)			
f.	Maintains positive, professional rapport with probationer			
g.	Makes referrals to appropriate programs, resources			
h.	Participates in treatment team process by being knowledgeable of treatment principles and goals and reinforcing them			
i.	Appropriate UAs conducted			
j.	Actively solicits and documents collateral contacts from appropriate available sources (referral agencies, probationer's family, law enforcement agencies, employers, etc.)			
k.	Office and field visits conducted as appropriate			
l.	Monthly Report Forms are received and addressed as appropriate			
4 Sanctions/Incentives				
a.	Appropriately utilizes/monitors sanctions/incentives model in a timely manner			
b.	Reinforces probationer's pro-social behavior and statements and consistently affirms positive efforts taken by probationer			
5 Documentation				

N/A Needs Improvement Meets Expectations

a	Case file is organized per departmental policy			
b	Maintenance reports reviewed and problems addressed			
c	Direct/Indirect status correct			
d	Court reports completed per policy			
e	Chronos are written in a clear, concise, yet thorough manner			
f	Prepares cases for discharge in a timely and appropriate manner			

SECTION 6: SPECIALIZED CASELOAD MANAGEMENT

1 Expertise				
a	Develops and maintains the expertise to address the special needs of specialized caseload offenders			
b	Correctly enters program codes for clients under specialized supervision			

2 Sex Offender Case Management				
a	Monitors State Sex Offender Registration requirements			
b	Accurately completes Static 99 when required			
c	Completes and submits a CR-39 when required			
d	Approves appropriate living arrangements for clients having child safety zone requirements			

3 MH/MRDD Case Management				
a	Ensures cases meet caseload criteria and a copy of the diagnosis of a mental health/MRDD status is in the case file			

4 Pre-Treatment and SAFPF Case Management				
a	Manages waiting list, staffs cases for caseload eligibility and appropriateness			
b	Effectively communicates and coordinates with other agencies to expedite probationer placement into treatment			
c	Troubleshoots and staffs problem cases			
d	Orients probationer to treatment environment			
e	Completes SAFPF quarterly reports as per CJAD requirements and updates AMS database as needed			

5 SMART Case Management				
a	Transfers inactive SMART cases according to policy			
b	Conducts treatment team staffings prior to participants transitioning to Level 3 and whenever issues need to be addressed			
c	MRFs are responded to according to policy			
d	Non-compliance issues and problem cases are appropriately addressed in weekly clinical or Continuing Care staffings			
e	Participates in disciplinary hearings and appropriately addresses offender behavior and documents results			

SECTION 7: SENIOR PO DUTIES

1 Personnel Management Support				
a	Monitors employees compliance with departmental policies and reports to Manager			
b	Approves leave time for employees in absence of Manager			

N/A Needs Improvement Meets Expectations

c	Takes initiative in solving unit problems utilizing sound, common sense judgment			
2 Administrative				
a	Conducts OCR touchcount and ensures CSS reports are reconciled			
b	Accurately proofs and approves legal and other paperwork			
c	Conducts exit audits within required deadlines			
d	Assists POs with appropriate community referrals			
e	Conducts audits for performance evaluations accurately and timely			
f	Conducts supervisory hearings as appropriate			
g	Conducts appropriate staffing			
	1. Staffs cases regarding caseload eligibility and case management issues			
h	Completes administrative duties as assigned by the Manager			
i	Obtains case file information for Manager as requested			
j	Coordinates and/or assists in maintaining required MH data for Mental Health Initiative Caseloads			
k	Coordinates and/or assists in submission of completed statistical reports sent to CJAD, Criminal Justice Council, and other outside agencies by the required deadline			

3 Training				
a	Provides on-going teaching and coaching for all staff when there is a recognized need			
Totals				
%			0	0
Sum of Totals				
Number of Factors			0	
Overall Score			0	

EMPLOYEE STRENGTHS:

AREAS WHERE IMPROVEMENT IS NEEDED (Any rating of "Does Not Meet Expectations" must be addressed in this section):

ADDITIONAL COMMENTS:

EMPLOYEE DEVELOPMENT PLAN:

Employee Comments

N/A	Needs Improvement	Meets Expectations
-----	-------------------	--------------------

Date

Signature

_____ **Employee** _____

_____ **Supervisor** _____

_____ **Probation Division Manager** _____

_____ **Probation Division Director** _____

_____ **Assistant Director** _____

_____ **Director** _____

Quality Contact Standards Audit Form				
Officer:		Cause #:		
Probationer:		Performance Evaluation Section 5: Casework Application		
Measure	N/A <input type="checkbox"/>	(1) Needs Improvement <input type="checkbox"/>	(2) Meets Expectations <input type="checkbox"/>	NOTES
*Initial Contact 1b Reviews and identifies criminogenic needs with probationer	Does not apply to this case <input type="checkbox"/>	- PO did not review/identify the criminogenic needs with the probationer; - PO had little or no discussion with probationer concerning his/her motivation (ambivalence) or perspective on changing behaviors and life situation	- PO reviewed and identified criminogenic needs with probationer and conducted some genuine investigation of probationer's motivation for change, perception of criminogenic needs, or high risk situations	
*Initial Contact 1c Uses Elicit Provide Elicit (EPE) approach with probationers to provide good advice/information, establish rapport, and to create a collaborative tone in the interaction	Does not apply to this case <input type="checkbox"/>	- PO utilized primarily closed questions; - PO conveyed information to probationer, failing to elicit from probationer his/her concerns; - PO failed to demonstrate reflective listening; - PO confronted probationer when probationer was resistant - PO did not utilize tools (pros/cons list, stages of change, confidence ruler/scale) for probationer who were ambivalent	- PO effectively utilized OARS in eliciting the concerns of the probationer about probation; PO rolled with resistance, demonstrated a team approach, expressed empathy, belief in the probationer, and acknowledged - PO elicited probationer's concerns, conveyed information to probationer related to probation expectations and responded to probationer's concerns; - PO utilized tools in exploring change with probationer	

Measure Supervision Agreement	N/A <input type="checkbox"/>	(1) Needs Improvement <input type="checkbox"/>	(2) Meets Expectations <input type="checkbox"/>	NOTES
2a Collaborates with probationer in developing, writing the (plan) supervision agreement	Does not apply to this case	- PO took a unilateral position and pre-determined the criminogenic need areas, rankings and action steps; - PO made no effort to explore the probationer's perspective nor his readiness for change	- PO explored with the probationer his perceptions related to which criminogenic need areas should be addressed and prioritized; - PO negotiated action steps and also explored with the probationer his motivation for change	
Measure Day to Day Supervision 3d Utilizes MI	N/A <input type="checkbox"/> Does not apply to this case	(1) Needs Improvement <input type="checkbox"/> - PO used primarily closed questions, did not use OARS and relied on directive, advice-giving and/or teaching communication styles; - PO confronted inconsistencies and contact deteriorated to officer raising voice or interrupting offender on more than one occasion	(2) Meets Expectations <input type="checkbox"/> - PO balanced use of OARS with few closed questions; - PO demonstrated reflective listening; - PO allowed probationer to do the problem solving - PO rolled with resistance for the majority of the contact	
Measure **Day to Day Supervision 3f Maintains positive, professional rapport with probationer	N/A <input type="checkbox"/> Does not apply to this case	(1) Needs Improvement <input type="checkbox"/> - PO neither greeted the probationer nor closed the contact by thanking them for their time; - PO posture, gesture or eye contact did not convey respect; - PO conveyed no empathy; - PO allowed interruptions, i.e. phone calls, others coming into office	(2) Meets Expectations <input type="checkbox"/> - PO either greeted the probationer or closed the contact by thanking them for their time; - PO's non-verbal expressions were respectful and conveyed interest in the probationer; - PO expressed some empathy; - PO took steps to minimize interruptions, i.e. excusing self to take brief phone call	

<p>Measure Sanctions/ Incentives</p>	<p>N/A <input type="checkbox"/></p>	<p>(1) Needs Improvement <input type="checkbox"/></p>	<p>(2) Meets Expectations <input type="checkbox"/></p>	<p>NOTES</p>
<p>4b Reinforces probationer's pro-social behavior and statements AND consistently affirms positive efforts and steps taken by probationer</p>	<p>Does not apply to this case <input type="checkbox"/></p>	<p>- PO did not give the probationer any affirmations or acknowledge probationer's positive behaviors/statements; - PO focused on any minor administrative violations; - incentives (if applicable) were not offered to probationer for positive behaviors or efforts.</p>	<p>- PO gave probationer many affirmations, whenever applicable; - PO addressed non-compliance as needed - incentives model was used to offer probationer "reward"</p>	
<p>Measure Documentation</p>	<p>N/A <input type="checkbox"/></p>	<p>(1) Needs Improvement <input type="checkbox"/></p>	<p>(2) Meets Expectations <input type="checkbox"/></p>	<p>NOTES</p>
<p>5e Appropriately documents cases, writes chronos, notes in clear, concise manner, reflects appropriate emphasis on criminogenic needs.</p>	<p>Does not apply to this case <input type="checkbox"/></p>	<p>- chronological entries lacked clarity and accuracy; - probationer's significant statements or issues specifically related to criminogenic need areas were not documented by PO</p>	<p>- entries were clear, concise and accurate; - documentation reflects conversation around applicable criminogenic need areas, referrals and action steps of probationer;</p>	

CASE FILE AUDIT FORM		SUP LEVEL:			
Officer:		Date:			
Probationer/Cause Number :		Unit:			
Offense:		Sentence/DOP:			
Category 1: Initial Contact			N/A	Yes	No
a. Completes initial interview questionnaire, if appropriate					
1. Modifies number of contacts, referrals, accountability appropriate to SCS strategy group					
Category 2: Supervision Agreement					
b. Develops initial Supervision Agreement that appropriately addresses the criminogenic need(s).					
1. Supervision Agreement includes Goals, Probationer and PO Action Plans					
c. Supervision Agreement adjusted to accommodate probationer's needs and stages of change as appropriate					
1. Supervision agreement changes when probationer's risk/need reassessment score changes					
Category 3: Day to Day Supervision					
a. Monitors compliance with program requirements and laws and notifies others (i.e. Court, treatment team) of problems or non-compliance					
1. PO actively monitors attendance and progress via phone calls and progress reports with agencies					
2. PO verifies completion of programs by documenting certificates and discharge reports received					
b. Supervision agreement is foundation of discussion during contacts					
c. Supervises according to risk level and strategy group					
1. If supervision does not match risk level, there is clear reason for difference					
e. Risk/Need Reassessments are completed:					
1. Whenever significant events (positive or negative) occur					
2. Annually or every six months (for specialized caseloads)					
g. Makes referrals to appropriate programs, resources					
1. Makes referrals for court ordered conditions					
2. Makes appropriate referrals for offense, risk level, and supervision agreement					
3. Makes referral when probationer has a need for a class, program, resource					
4. Completes appropriate and timely paperwork per SOP					
h. Participates in treatment team process by being knowledgeable of treatment principles and goals and reinforcing them					
1. Chronos reflect discussions with probationer around treatment principles/goals					
i. Appropriate UAs conducted					
1. UAs are conducted per court order or as needed as determined by case circumstances					
2. Appropriate action taken for positive UAs per Progressive Sanctions Model					
3. Follows policy for disputed UAs					
j. Actively solicits and documents collateral contacts from appropriate available sources (referral agencies, probationer's family, law enforcement)					
1. Case file reflects collateral contacts made as warranted by circumstances of the case					
k. Office and field visits conducted as appropriate					
1. Office and Field visits conducted as appropriate to risk-supervision level					
Category 4: Sanctions/Incentives					
a. Appropriately utilizes/monitors sanctions/incentives model in a timely manner					
1. PO uses appropriate risk-level sanctions					
2. PO uses appropriate level incentives					
3. Uses sanctions in a graduated manner					
Category 5: Documentation					
a. Case file is organized per departmental policy					
b. Maintenance reports reviewed and problems addressed					
c. Direct/Indirect status correct					
d. Court reports completed per policy					
1. PO notifies court when violations occur per SOP time span					
2. Factually and grammatically accurate reports filed in a timely manner per SOP					
3. Submission is documented in computer system					
e. Chronos are written in a clear, concise, thorough manner					
f. Prepares cases for discharge in a timely and appropriate manner.					

Audit as of:
Auditor:
NOTE: Light grey highlighted sections mirror scored criteria on evaluation with numbered descriptions following Tabulations for evaluation scoring will be based on yes/no percentages on grid sheet for all cases audited.

CASE FILE AND QUALITY CONTACT AUDIT GRIDS AND SCORING GRID FOR PERFORMANCE EVALUATION SECTION 5: CASEWORK APPLICATION

Employee Name: _____

CASE FILE AUDIT GRID

File	Category 1: Initial Contacts			Category 2: Supervision Agreement			Category 3: Day to Day Supervision						Cat 4: Sanctions/Incentives			Category 5: Documentation			
	a	b	c	a	b	c	e	g	h	i	j	k	l	a	b	c	d	e	f
Case File # 1																			
Case File # 2																			
Case File # 3																			
Rating																			

Data Audit Rating Scores: n=No, y=Yes, na=Not Applicable

QUALITY CONTACT STANDARDS AUDIT GRID

File	Category 1: Initial Contacts			Category 2: Supervision Agreement			Category 3: Day to Day Supervision						Cat 4: Sanctions/Incentives			Category 5: Documentation						
	a	b	c	a	b	c	d	e	f	g	h	i	j	k	l	a	b	c	d	e	f	
Case File # 1																						
Case File # 2																						
Case File # 3																						
Rating																						

Quality Contacts Standards Rating Scores: 1=Does Not Meet Expectations, 2=Meets Expectations, 3=Exceeds Expectations, na=Not Applicable

SCORING GRID FOR TOTAL EVALUATION (SECTION 5: CASEWORK APPLICATION)

Enter the scores below into the corresponding categories of Section 5 of the Employee Evaluation

File	Category 1: Initial Contacts			Category 2: Supervision Agreement			Category 3: Day to Day Supervision						Cat 4: Sanctions/Incentives			Category 5: Documentation						
	a	b	c	a	b	c	d	e	f	g	h	i	j	k	l	a	b	c	d	e	f	
Total Evaluation Score																						

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Vita

Ms. Heikkila is the Division Administrative Manager for the Motor Vehicle Division of the Texas Department of Transportation (TxDOT). The Motor Vehicle Division regulates the motor vehicle sales and distribution industry in Texas. The division also administers the Texas Lemon Law, which helps consumers who buy or lease defective motor vehicles. Ms. Heikkila directs the administrative and fiscal operations of the division, coordinates staff management and provides executive-level support to the Division Director. She also serves as the Division's legislative liaison.

Prior to joining the Motor Vehicle Division of TxDOT in August of 2005, Ms. Heikkila served as a Program Administrator assigned to the Crime Records Service at the Texas Department of Public Safety. Prior to joining the Texas Department of Public Safety in the fall of 2003, Ms. Heikkila served as Director of Administration for the Criminal Justice Policy Council. The Criminal Justice Policy Council was the state agency in Texas responsible for identifying critical problems in the criminal justice system and advising and assisting the Governor and legislature in developing criminal justice policies.

Ms. Heikkila has nearly twenty-seven years of state service. Ms. Heikkila has a Paralegal Certificate from the University of Texas at Austin, a B.A. degree in Political Science from St. Edward's University. She completed the Governor's Executive Development Program in December 2000 and has completed a variety of other training seminars related to the management and administration of state agencies.

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This report was typed by the author.

