LA Probation Governance Study

Final Report

Prepared by:

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About Resource Development Associates

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other in states. Our mission is to strengthen public and non-profit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to research, evaluation, planning, grant-writing, and organizational development.

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Executive Summary

We begin this report by presenting seven primary recommendations that we believe will have the greatest impact on transforming the Los Angeles County Probation Department (Department) into a high functioning, 21st Century agency that will become a model jurisdiction. Following a description of our primary recommendations, the final report articulates the primary areas of research and evaluation that we have completed, including a description of our methods and reasoning for undertaking the steps and activities that we undertook, and the key findings and recommendations from each report submitted to date.

Organizational Structure

Recommendation 1. Organize the LA Probation Department into an agency model with centralized administrative functions to support separate juvenile and adult client service operations.

There is neither research nor experiential evidence to indicate that establishing separate probation departments to work with juvenile versus adult clients is necessary to achieve specialization. Implementing the agency model and reorganizing all client service operations under separate juvenile and adult divisions would allow for specialized training and approaches within each division. Both juvenile and adult divisions should have specialized TAY units to serve and supervise individuals age 18-25, who would be supervised under juvenile or adult divisions depending on whether they were processed via the delinquency or criminal court. The LA Probation Department must also **strengthen centralized administrative operations** by establishing a data and research unit as well as a recruitment unit within Human Resources, while also integrating and centralizing fiscal functions.

Mission, Vision, Values

Recommendation 2. Create and publish a client-focused, forward-thinking, mission, vision, and values statement for the LA Probation Department.

The LA Probation Department should redevelop a departmental mission, vision, and values statement—and, more importantly, make the mission a living document in the day-to-day operations of the department. As a **first step**, RDA recommends that the LA Probation Department take the interim step of **adapting the mission, vision, and values of a model jurisdiction** to create a shorter time frame to secondary action steps. **Step two** is to **initiate a collaborative process** including the Board, staff, community, and key stakeholders to develop a new mission, vision, and values statement. **Step three** is to **align operations and service delivery with mission and values.** And, finally, **RDA recommends that** LA Probation Department **implement an accountability plan**, tied to a data-driven performance management structure throughout the LA Probation Department to reflect the refined mission and vision. Throughout the implementation of these recommended actions, it is urgent that the LA Probation Department **communicates with frequency and transparency, both internally and externally** regarding each step.

Community Partnership

Recommendation 3. Partner with communities where large numbers of probation clients live to build on indigenous supports and ensure effective service delivery.

The LA Probation Department should **expand and improve community services** and **develop community-oriented probation field offices akin to the Neighborhood Opportunity Networks (NeON)** established across New York City by the NYC DOP. An essential element of expanding and improving community services is **developing community-oriented probation field offices.** To do so, the LA Probation Department must *identify the best geographic locations within each region based on probation population density, transportation opportunities, and consultation with community stakeholders.* Within each of these areas, the LA Probation Department should *facilitate a community-planning process for (a) site design and (b) service planning with clients and families, community-based organizations, faith-based organizations, local businesses and merchants, residents, schools.* This process should involve communities in the selection of site leadership and identify opportunities for localized community services to promote use of facilities by more than just clients (e.g., education, mental health services, community rooms for public events, food pantries). In partnership with community planning committees, the LA Probation Department should *renovate existing field offices* to create community-oriented probation offices that reflect input of the communities and the Department's commitment to rehabilitation. In addition, the LA Probation Department should identify opportunities to *co-locate neighborhood-based probation sites at other community based organizations (CBOs), non-profits, or community centers* and train staff to work side by side with community partners.

Structured Decision Making (SDM)

Recommendation 4: Implement structured decision-making throughout the LA Probation Department beginning with the implementation of the juvenile dispositional matrix. In addition, the LA Probation Department should adopt risk-based supervision based on validated risk assessment tools, and graduated responses to compliance and violations.

The LA Probation Department should **identify and adopt a validated post-adjudication risk and needs assessment for youth, dispositional matrix for youth (already developed by RDA), and graduated response matrices for youth and adults. These tools should all be integrated into the Department's electronic client management systems, and their use should be built into DPO training and job descriptions**. The LA Probation Department should also assess the use of and fidelity to existing tools, since RDA's analysis indicated some fidelity concerns in the use of the LADS, Modified Wisconsin, and LS/CMI. As part of all of these processes, the Department should take steps to **limit DPOs' ability to override the recommendations of these tools** by requiring supervisors to review and approve most overrides and all recommendations for returns to custody for supervision violations. The LA Probation Department should take actions to **reduce contact with low risk clients and clients who are demonstrating success in complying with their supervision terms**. These include ending probation services to at risk youth currently serviced via Welfare and Institutions Code (WIC) §236 and not actively supervising any juvenile or adult clients assessed as low risk. In addition, the Department and judiciary

should reduce supervision terms for successful youth and adult clients by 1) stepping down supervision active to banked caseloads after a year of compliance and achievement of case plan goals; and 2) working with the Court to establish criteria for early termination.

Juvenile Facilities

Recommendation 5: Redesign all juvenile facilities to align with best practices.

The LA Probation Department must continue the progress it has made in recent years by **transitioning all camps to small home-like locations within communities where most of the population live and base these facilities on a rehabilitative model**. By continuing to reduce the numbers of youth that are placed in facilities and using alternatives set in communities, this effort will be less burdensome. The LA Probation Department should also work with the CEO's Master Planning Unit to **completely overhaul Central Juvenile Hall (CJH)**. Due to its location, even though this facility, of all three halls, is the most convenient for the majority of families, the physical conditions make it unfit for housing young people and a terrible environment for staff. The LA Probation Department must also work to **improve programming, services, and education inside its juvenile halls.** LA Probation should strengthen its incentive-based behavior management systems for youth and reward facility managers and unit supervisors who can reduce critical incidents and increase school attendance. Such systems, i.e., Token Economy or Positive Behavioral Management System, have been successful in other juvenile detention facilities around the country.

Staffing, Hiring, Training

Recommendation 6: Align staffing, hiring, and training with revised mission, organizational structure, and approach.

The LA Probation Department should **establish a recruitment unit** to lead recruitment efforts and coordinate with HR and background investigations to ensure consistent communication within the Department and between the Department and a job candidate throughout the hiring process. In addition, the Department should revise job descriptions to focus more explicitly on client services and evidence-based practices, as well as to highlight the importance of skills such as communication and use of data. Having done so, the recruitment unit should establish memorandums of understanding (MOUs) with local colleges and universities that allow social work, human services and/or criminal justice programs to create probation field placements for students that will create a pipeline of candidates. Reevaluating the background check process, including eliminating the credit check, will also widen the pool of potentially qualified candidates who can be recruited and hired.

The LA Probation Department should also **renegotiate its agreement with AFSCME 685** to address the range of issues discussed above, including 1) restoring the Department's ability to transfer staff to lateral positions to meet the needs of the Department and its clients, 2) eliminating the 56-hour work schedule at juvenile camps, 3) making changes to the Detention Service Office (DSO)/ Deputy Parole Officer (DPO) hierarchy and process so that staff who excel in working in juvenile facilities can be promoted in that role while staff who are better suited to community-based work do not have to start in juvenile halls, and 4) allowing the Department to promote the most qualified candidate within a Civil Service band instead of

mandating the promotion of the most senior person. Once the LA Probation Department has established a more appropriate and client-centered MOU, leadership should move to **establish a more robust performance management system** that evaluates and promotes staff based on clearly defined metrics tied to its mission.

Data/IT

Recommendation 7: Prioritize investments in information technology (IT) systems and the use of data.

The LA Probation Department should **establish an internal Research and Evaluation Unit (REU)** that is comprised of a minimum of 10-15 staff who have expertise in IT systems and structure as well as research methods, data analysis, and an understanding of the operations, purpose, and mission of the LA Probation Department.[1] This unit should prioritize two key strategies: 1) **aligning the Department's data collection and reporting processes to research and evaluation needs**, and 2) **establishing a local inter-university consortium to support ongoing research efforts**. The **Department must also invest in updated data/IT systems** that can simplify the process of data extraction and provide real-time data via dashboards to assess key performance indicators on an ongoing basis. This will require both investing in upgrading ISB-developed data systems, purchasing new data systems, and engaging in public-private partnerships to develop new data systems.

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[1] The REU would require at least three managers – one for the unit overall and one assigned each to juvenile and adult services. Analysts and administrative staff would be required for each core Department function, including adult field services, juvenile field services, and facilities. Specialized units or divisions, such as AB 109 or pretrial services, likely require dedicated analysts as well.

Overview of LA Probation Governance Study and Project Methodology

In September 2016, RDA was retained by LA County to conduct a comprehensive study and analysis of the LA Probation Department that would articulate its strengths and weaknesses and provide recommendations for building the Department into a high-functioning 21st Century agency that models best practices in the field. To ensure our team was equipped with the content expertise, local knowledge, and capacity to successfully complete the LA Probation Governance Study, RDA identified a Project Team comprised of experts in the field from both inside and outside of our organization (see the *Project Team* section below for a description each key team members and their roles on the project) to oversee and conduct the study. In order to be inclusive of numerous cross-system stakeholders with valuable and unique perspectives, RDA also convened a project advisory committee that was able to vet project activities and findings from each report.

To date, RDA has issued five reports as part of the Governance Study, which are included as attachments in this report. An overview of RDA's data collection activities completed in order to develop each report is highlighted in Table 1 below.

Table 1. Overview of LA Probation Governance Study Data Collection Activities

Report	Data Collection Activities
120 Day Status Report (February 2017)	• Reviewed over 100 existing reports and documentation related to the structure and operations of the LA Probation Department • Conducted preliminary meetings with project stakeholders to gain insight into how the Department currently operates; what other research, reports, audits, and assessments have identified as the Department's strengths and challenges; and the Department's stated goals and objectives, and plans for achieving those
Review of Best Practices in Probation (April 2017)	• Synthesized research across a number of subject areas, including criminal and juvenile justice as well as organizational development and leadership, developed by government and professional Probation agencies; non-profit and private organizations; and independent researchers published in peer reviewed journals
Model Jurisdiction Report (August 2017)	• Organized and led a week-long site visit to New York City and Washington D.C. for over a group of over 30 LA County Stakeholders • Conducted interviews with staff and leadership from New York; Washington, D.C.; Maricopa County, AZ; Multnomah County, OR; San Francisco County, CA; San Joaquin County, CA; Santa Clara County, CA; Solano County, CA; and, Wayne County, MI

LA Probation Department Assessment (August 2017)	• Conducted face-to-face interviews and focus groups with 384 Department stakeholders (approximately 70% were with LA Probation staff and 30% were with agencies that work with Probation, CBOs and advocates, and clients) • Visited more than a dozen Probation field sites and institutions for observation • Reviewed documentation related to training, hiring, contracted programs, and fiscal operations • Assessed adult and juvenile probation data to provide an overview of the probation population from 2012 through 2016.
Crosswalk Report: Comparing LA Probation Department Practices to Best Practices in the Field (November 2017)	• Reviewed findings from each report above and produced a memo comparing LA Probation Department practices to best practices in the field in order to develop preliminary recommendations for the Department to consider.

Findings

The following sections summarize key findings from our assessment of the LA Probation Department and highlight the extent to which the Department's organizational structure and practices align with best practices in the field.

Organizational Assessment

RDA's review of best practices implemented in model jurisdictions demonstrated the importance of: 1) fostering a positive organizational culture in order to successfully manage change and drive organizational success; 2) developing trusted relationships with advocacy organizations, local government, and media outlets in order to manage pressures that would arise from disparate, often competing, perspectives; 3) implementing an agency model and reorganizing all client service operations under separate juvenile and adult divisions to allow for specialized training and approaches within each division; and 4) using data to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices in order to help promote positive organizational- and client-level outcomes.

RDA's *LA Probation Department Assessment* found that across the areas highlighted above, the LA Probation Department has much room for improvement. For instance, a lack of leadership stability and succession planning within the LA Probation Department has had a negative impact on organizational culture, and inhibited the development of a shared vision and goals to guide operational practices. In addition, many Department staff and CBOs report a strained relationship and doubt a shared commitment to high quality, client-focused services. Finally, the current district model in the LA Probation Department has resulted in an organizational structure that has many components operating in silos, and the Department's data systems and processes are inadequate to meet the standards and practices of a 21st century model department.

Staffing, Hiring, and Training

A well-functioning and productive organization has staff with the skills and experience necessary to further the organization's objectives. Therefore, job descriptions, hiring practices, accountability and performance management structures, and high-quality training programs for staff development must all align with the organization's mission, vision, and values.

Currently, job descriptions within the Los Angeles County Probation Department do not reflect the values, mission, or vision of a Department whose main purpose is to further client well-being and reduce recidivism. Recruitment practices, including the extensive background check and long hiring process, as well as insufficient communication with job candidates, results in many qualified candidates being lost. Finally, while staff received required training, a lack of continuous coaching and gaps in trainings such as mental health, trauma-informed care, positive youth development, and official transfer training programs make it difficult for staff to carry out all of their job tasks.

Client Service Delivery

Probation departments across the country are under transformation and implementing new strategies and processes, including evidence-based practices and community partnerships, to place increased emphasis on client well-being, rehabilitation, and youth development as a means for promoting public safety. One of the most important shifts has been the implementation of structured decision making (SDM), an evidence based, data-driven, research-based approach to inform decision making within the justice system. SDM is intended to create a more effective, consistent, and fair justice system, as well as facilitate greater efficiency and smarter resource allocation by directing more resources towards the highest risk clients who pose the greatest risk to public safety while reducing—or eliminating—contact with low risk individuals who do not need it. Cost savings that result from not actively supervising low risk cases can be redistributed to support rehabilitative services and community partnership, including the development of community-based probation offices where probation clients can check-in on computerized kiosks, meet in-person with their POs, and access services and programs through extensive partnerships with community-based organizations and public agencies.

Our assessment of the LA Probation Department found that while the Department is shifting its approach to focus more on client well-being and move toward the greater use of structured decision-making based on validated assessments and evidence-based practices, a lot of work is needed to fully implement these processes. Challenges with data systems and insufficient training in structured decision-making, assessments, and case management must be addressed to support a more systematic approach to client services in LA County. Additionally, too many low risk clients are currently supervised in LA County, including youth who are not court involved but work with probation officers pursuant to WIC § 236. This practice is contrary to a shifting juvenile justice paradigm, which recognizes that youth should be diverted from justice involvement to the greatest extent possible.

Juvenile Facilities

To the greatest extent possible, probation departments should minimize the number of youth placed in juvenile facilities, and work to divert youth from pre-adjudication detention and minimize post-adjudication out-of-home placements. If youth are incarcerated, they should remain in the communities where they live (or near where they live) so that they remain close to their prosocial supports and their lives are interrupted to the least extent possible. Facilities should not look like jails; instead they should be developmentally-appropriate environments characterized by a homelike and non-correctional physical environment with programming and trauma informed staffing inside the facility, as well as parent-family engagement bridging the facility and the community. Additionally, youth should receive continuous case management and a continuum of services to address identified needs, including but not limited to education, medical care, mental health treatment, translation services, and access to religious services, as needed and required by law.

RDA's visits to the LA Probation Department's institutions revealed that there is wide variation in the physical infrastructure of different juvenile facilities as well as in the programs and services available. Juvenile halls, in particular, are run down, and in some cases, beyond repair and a danger to youth, while many halls and camps are organized in barracks styles that are not consistent with best practice. Youth speak of a punitive environments characterized by "prison-like" conditions in many county facilities, and staff in many facilities report very low morale, which impedes their ability to work effectively with young people. The recent opening of Campus Kilpatrick is an indicator of the LA Probation Department's interest in improving the layout, approach, and services in its juvenile facilities, and the camp closure plan also indicates a commitment to shifting resources to community-based services. Nonetheless, the County of Los Angeles has a long way to go if they are to become aligned with best practice across the County.

Fiscal Operations

While RDA's research found that there are not identified best practices for fiscal operations in probation, there is an emerging body of research identifying participatory management approaches as best practice. Reinventing government under a participatory management framework means envisioning new roles for public sector leaders to include developing a clear vision; creating a team environment; empowering and communicating with employees; putting clients first; cutting red tape; and creating clear accountability. Implementing these practices can transform the culture of probation to be more inclusive of staff in decision-making processes, helping to reduce employee stress, increasing job satisfaction, and reducing turnover. We also uncovered promising practices that inform how probation departments can circumvent bureaucratic hurdles to establish community partnerships, such as developing direct agency-to-agency partnerships or public-private partnerships. One way to formally partner with the private sector is through master contracting with a CBO that can more easily distribute funds to the community or subcontract to other CBOs.

RDA's *LA Probation Department Assessment* found that the LA Probation Department does not take a participatory management approach, and that while its budget has grown by $75 million between 2012/13 and 2015/16, several grant-specific fund balances have increased dramatically within that

timeframe because money is not making it into the community. The inability to draw down certain funds appears to be at least in part due to limited collaboration between the functions within the Fiscal Service Division, as well as siloes between Fiscal Services functions, program or operational divisions, and the Contracts and Grants Management Division. There is a wide communication gap between program operations and Contracts, and no effective processes by which fiscal functions collaborate on the back end to deliver client-oriented administrative services. As a result, significant administrative delays and bottlenecks prevent Probation from getting allocated community funds into service contracts. Firewalls between each fiscal area create an environment of dysfunction and bureaucratic loops for employees from every corner of probation, and the LA Probation Department has significant work ahead to develop authentic community partnerships with CBOs across the County.

Introduction

We begin this report by presenting seven primary recommendations that we believe will have the greatest impact on transforming the Los Angeles County Probation Department (Department) into a high functioning, 21st Century agency that will become a model jurisdiction. Each of these seven primary recommendations consists of 2 to 4 pages of narrative describing why it matters, the problem as it relates to the LA Probation Department, and steps for addressing the problem. The recommendations are drawn from the previous reports that we have published throughout this past year. You will find links to these previous reports that go into greater depth on each recommendation.

You will note that these recommendations emphasize the interconnectedness each has to all aspects of the probation system. This interconnectedness is the primary reason that we have chosen these seven recommendations as the primary focus. However, these recommendations are not the only recommendations we are making. A comprehensive list of all of the recommendations is on page 54, following the final report.

The final report follows right after the primary recommendations and articulates the primary areas of research and assessment that we have completed. This report describes our methods, our reasoning for undertaking the steps and activities that we undertook, and the key findings and recommendations from each report submitted to date.

Organizational Structure

Recommendation 1. Organize the LA Probation Department into an agency model with centralized administrative functions to support separate juvenile and adult client service operations.

Why does this matter?

Over the past two decades, a sizeable body of research has emerged to demonstrate the differences in youth and adults as these differences relate to justice system involvement and interventions. Research in developmental psychology and neurobiology, for example, reveals that the human brain does not reach full maturity until the mid-to-late twenties, and that during adolescence and young adulthood, emotional regulation and impulse-control function are still inchoate (see *Review of Best Practices in Probation,* Section 3: Juvenile Service Delivery for more information). Juveniles and young adults are more volatile in emotionally-charged settings, less future-oriented, more susceptible to peer influence, and greater risk takers. This renders them, according to legal scholars up to and including the Supreme Court, less culpable for their actions and more malleable and therefore, amenable to rehabilitative programming. This research has had an important impact on the manner in which probation officers and the probation system work with youth.

In applied research, strengths-based youth development is being employed in juvenile justice settings with positive results. Research demonstrating the close correlation between trauma and criminal justice involvement has resulted in a surge in trauma-informed programming in correctional settings, where evidence-based programs are helping incarcerated individuals identify safe coping strategies. The evidence of the effectiveness for these approaches is promising. Moreover, the implications of this research for justice reform are manifest, and, in addition to underscoring the need to take an asset-based approach to working with all justice-involved populations, also highlight the importance of **treating youth, transition aged youth (TAY), and adults differently** (see *Review of Best Practices in Probation,* Section 4: Transition Aged Youth for more information). In this context, it is essential that probation staff who work with youth and young adults have specialized training in the specific developmental needs of these populations along with age-specific interventions that are most effective.

However, there is neither research nor experiential evidence to indicate that establishing separate probation departments to work with juvenile versus adult clients is necessary to achieve this specialization. Separate, specialized cultures can and do develop in separate juvenile and adult **divisions** under one probation department. Moreover, because justice-involved transition aged youth (TAY) may be under the supervision of either juvenile or adult probation, depending on whether they are processed in delinquency or criminal courts, there may be advantages to having a single department so long as both juvenile and adult divisions have specialized units whose officers have appropriate training for working with TAY.

There is also a sizeable body of research in organizational development – in community corrections and elsewhere – that underscores the importance of clearly delineated, streamlined organizational structures

and hierarchies that are transparent and sensible to people, both inside and outside of the department so that lines of responsibility and authority are clear.

The California Judicial Council's Probation Services Task Force came up with five fundamental principles for the governance and operational structure of probation in California. These principles consolidate and streamline, rather than disperse and separate, probation department oversight.

1. Authority over operations and administration must be connected.
2. Courts and counties should collaboratively administer probation departments, ensuring appropriate levels of service, support, and oversight.
3. Probation services should be administered primarily at the local level.
4. Measurable outcome standards are necessary.
5. Adult and juvenile services should be administered within a single department.

These principles align most closely with the "agency" model that shares administrative, technological, and financial infrastructures to maximize departmental efficiency, but separates and consolidates juvenile and adult supervision and service functions.

Problem Statement: LA Probation Organizational Structure

Since the beginning of 2017, the LA Probation Department has begun to untangle its executive structure to streamline client services, moving toward an agency model. Currently, responsibilities are divided between Assistant Chief Sheila Mitchell, who oversees juvenile operations, and Assistant Chief Reaver Bingham, who oversees adult operations. Both are overseen by Chief Probation Officer Terri McDonald and are supported by a common administrative infrastructure.

Despite these important changes, at the level below the assistant chiefs, the LA Probation Department's current structure remains convoluted, with significant overlap in oversight of juvenile and adult functions, as well as an inefficient overlay of both geographically specific and countywide functions via the "district model." Under the current structure, Bureau Chiefs manage all field offices within a district, and almost every district provides juvenile supervision, adult supervision, day reporting centers, as well as specialized programs.

The district model is inefficient, most notably because staff roles and the division of responsibilities are not clear; information flows are irregular and stagnant; and lines of authority overlap in many directions (see *LA Probation Department Assessment,* Chapter 1: Organizational Assessment for more information). Executive managers and bureau chiefs oversee a range of disparate functions, including areas of both juvenile and adult services, which clouds accountability and creates artificial silos that do not map to actual areas of discrete function. Without creating internal structures to deliver streamlined, specialized and developmentally appropriate youth services, as well as separately streamlined and similarly age-appropriate adult services, the LA Probation Department sacrifices quality for each group.

Finally, the current structure reduces overall efficiency because the administrative infrastructures do not easily map to a district model, serving, instead, the whole system. A prime example is that the district model increases workloads for budgeting and fiscal teams, which contributes to the LA Probation Department's problems with transparency around the budgeting and fiscal processes (see *LA Probation*

Department Assessment, Chapter 5: Fiscal Operations and Financial Management for more information). Fiscal and budget need to view their purpose as closely connected to the purpose of procurement and contracting, which all need to be in service to the larger organizational mission. All components of a department must be integrated, must collaborate, and must communicate continually with each other in order to fulfill that mission. All employees should see themselves as part of a whole that is governed and held accountable by the Department's mission, vision, and values, which is currently not the case.

Recommendations

First, the LA Probation Department should **re-organize into an agency model with centralized administrative functions that support separate juvenile and adult client service operations**. This would dissolve the district model and reorganize all client service operations under separate juvenile and adult divisions, allowing for specialized training and approaches within each division. Both juvenile and adult divisions should have specialized TAY units to serve and supervise individuals age 18-25, who would be supervised under juvenile or adult divisions depending on whether they were processed via the delinquency or criminal court. We recommend that the LA Probation Department regionalize community supervision and services under the juvenile and adult client service divisions:

- Organize all juvenile field services, and separately all adult services, within regions.
- Re-assign human and fiscal resources to regions based on client populations.

Secondly, the LA Probation Department must **strengthen centralized administrative operations**. It should establish a data and research unit, create a recruitment unit within Human Resources and integrate and centralize fiscal functions. By investing in improved data collection systems and processes, as well as in a research and evaluation unit, the LA Probation Department will build internal bridges between Information Systems Bureau (ISB) staff and programs/operations staff. These infrastructural improvements will improve efficiency and also help with contracting with external researchers and evaluators, as well as an inter-university consortia (IUC). (See Sections Staffing, Hiring, Training and Data/IT for more details on recruitment and research and evaluation units.)

Mission, Vision, Values

Recommendation 2. Create and publish a client-focused, forward-thinking, mission, vision, and values statement for the LA Probation Department.

Why does this matter?

The mission, vision and values statement of a department is a critical component of ensuring accountability and should be the standard against which success is measured. The mission statement impacts every aspect of a probation department's operations. While efforts in the LA Probation Department are underway to professionalize and increase efficiencies, without a forward thinking and modern mission statement that serves as a foundation, the LA Probation Department may succeed in making the trains run on time, but it will not transform into an agency that emphasizes services for clients, individual rehabilitation, reducing recidivism, or partnership with the broader community.

A 21st century probation mission, vision, and values statement will direct operations throughout the department, including individual staff choices, requests for proposals, position descriptions and staff evaluations, and system task prioritization. A refreshed mission, vision, and values will provide leadership with a direction from which to make decisions for resource allocation, staffing, prioritization of problems to solve, and it will connect the department with the larger community.

A compelling and aspirational mission and vision for the future of the organization is critical to establishing a positive and progressive organizational culture. Establishing, implementing, and communicating this reinforces agency-wide operations. The mission, vision, and values should reflect the organization's (a) purpose, (b) ideal state, and (c) the beliefs and practices that will help the organization arrive at that ideal. These statements guide organizational operations and shifts in practice and should follow the practices found in the literature regarding best practices.

To the degree that the mission, vision and values are created with input from the larger community and understood and appreciated by that community, the ongoing processes of accountability will not only enhance the operations of the organization but also provide an ongoing dialogue that leads to continuous improvement. However, in absence of input, and communication there will be confusion, distrust and a lack of alignment between outcomes and accountability. The organization's operations and culture flow from the mission. A mission and culture predicated on rehabilitation and strength-based support of clients is reinforced in job descriptions, program descriptions, services purchased from community stakeholders, internal and external communications, and the way the staff work and engage with clients.

There is no specific time when mission statements should be revised; rather, they should always be under review. Shifts in the environment, organization, or field will often require revisions to these statements.

Problem Statement: LA Probation's Mission, Vision, and Values

In recent years, shifting leadership, reactivity to changing policy demands, and limited internal communication has inhibited the development of a shared and modern departmental vision (see *LA*

Probation Department Assessment, Chapter 1: Organizational Assessment for more information). This prevents the LA Probation Department from operating as a mission-driven organization. RDA's *LA Probation Department Assessment* highlights the interconnectedness this problem has to the LA Probation Department's challenges. For example, lack of clarity in organizational mission impacts staff morale. If people are not clear on why they are doing their work and are not given clear messages from leadership that align them to that mission there will be confusion regarding their responsibilities. If the mission is not clearly stated and understood, recruitment efforts may attract individuals who are not aligned with the principles of client-focused rehabilitation as the primary means of obtaining public safety. If the mission statement is not clear then how budgeting and fiscal priorities are determined will not realize outcomes that are aligned to a mission. If the mission is not clearly communicated to key stakeholders, the community may be suspicious of the Department and nonprofit organizations serving probation clients may be inadequate to the task. The mission, vision and values will also help direct the collection and use of data (e.g., evaluating positive achievements, like educational attainment and workforce development).

The current mission statement does nothing to articulate community focus, individual rehabilitation, commitment to best practices, reducing recidivism, or reducing the disproportionate impact the justice system has on people of color. This is despite the fact that these are the values and goals expressed by key stakeholders from the Board of Supervisors, to the LA Probation Department's leadership, to the various stakeholders on the advisory body for this analysis. Achieving "public safety" is a distal outcome of probation services, which requires complex legislative and policy conditions beyond the realm of probation alone. We recommend a mission that seeks to promote the positive development of clients, focus on rehabilitation, and partner with the community.

If a probation department expects to reduce recidivism, provide meaningful support towards rehabilitation, and work as partners in the community, it must explicitly embrace these concepts in its mission, vision, and values.

EXAMPLE MISSION	EXAMPLE VISION
"The New York City Department of Probation helps build stronger and safer communities by working with and supervising people on probation, fostering positive change in their decision-making and behavior, and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health services, family engagement and civic participation."	*"The San Francisco Adult Probation Department achieves excellence in community corrections, public safety and public service through the integration of Evidence Based Practices and a victim centered approach into our supervision strategies. We collaborate with law enforcements, Courts, Department of Public Health, victim organizations and community based organizations to provide a unique blend of enforcement, justice and treatment. We are leaders in our profession, exemplifying the highest standards. We extend a continuum of integrated services to address our probationers' criminogenic needs and empower them to become productive law-abiding citizens."*

Staff throughout the LA Probation Department do not utilize the current mission to inform, impact, or prioritize their work. The mission statement is not regularly included on advertised position descriptions or requests for proposals issued by the department. Without regularly communicating the mission, vision,

and values to staff and the broader community, there is no means to hold anyone accountable to furthering the mission. Importantly, LA Probation Department's current mission does not look or sound like the missions of model jurisdictions across the country or like what we heard during our interviews with the LA Board of Supervisors, departmental leadership and staff, or community stakeholders.

LA Probation Department job descriptions do not link to any mission, making it impossible to hold staff accountable for furthering one. There are few mechanisms or accountability structures in place to measure how the Department meets its mission for aligning operations with the mission.

RDA's interviews and focus groups with staff across the organization found that there is no clear understanding of the organization's core mission and vision. Moreover, staff clarified that they do not operate or make decisions based on a common set of shared principles. The lack of a clear mission, vision and values prohibits the LA Probation Department's human resources, contracts and fiscal operations from aiming their day to day actions to align with positive outcomes for the Department, its clients, and Los Angeles' communities. Instead, each of these units act as silos and adhere only to following administrative procedures that are absent any underlining mission.

The responsibility for furthering the LA Probation Department's mission should not fall to any one person, role or function; it should be interconnected throughout all areas of the agency's administration and operations. If procurement understands that it is connected to a mission to, for example, "foster positive change" or "treat probation clients with legitimacy and decency," they may then re-prioritize requests for items such as socks and underwear for confined youth so they do not suffer the indignity of wearing recycled underwear. If contracting understands that it is connected to a mission to "help build stronger and safer communities" they may then better understand the urgency of ensuring resources reach community service providers.

Recommendations

Redevelop a departmental mission, vision, and values statement—and, more importantly, make the mission a living document in the day-to-day operations of the department. This requires an internal and external stakeholder engagement process. It is understandable that the LA Probation Department and County may have concerns about the time required to undergo this process, and we are **not suggesting that departmental reforms halt until a mission and vision statement is developed and promulgated.** However, it is crucial that all stakeholders participate in the development of the mission, vision and values to ensure alignment and successful implementation. In the meantime, as a **first step**, RDA recommends that the LA Probation Department take the interim step of **adapting the mission, vision, and values of a model jurisdiction** to create a shorter time frame to secondary action steps.[2]

In the long run, undergoing a comprehensive stakeholder engagement process to redevelop a mission, vision, and values statement is an essential and critical element of long-term organizational

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[2] Recent communication with the Department leadership indicates that a review of the mission and vision are underway.

transformation. **Refining a departmental mission and vision will better reflect existing core values and will act as an anchor for accountability.**

Step two is to **initiate a collaborative process** including the Board, staff, community, and key stakeholders to develop a new mission, vision, and values statement. The following recommendations will help the LA Probation Department embed the resulting mission and vision into operations and processes in all documents and communicated messages.

Step three is to **align operations and service delivery with mission and values.** In alignment with mission and vision, update and/or revise:
- Website
- Job descriptions & recruitment materials
- Performance Evaluations
- Data collection plans
- Requests for Proposals and evaluation efforts
- Staff trainings and their supervised results

Some ways to achieve this are through redefining the job of a probation officer to focus on rehabilitation and referrals, through ensuring that placements align with the least restrictive setting consistent with public safety and youth development, and to *expanding community services and supports* for individuals on probation.

We also recommend that the LA Probation Department **align administrative and back office functions and accountability structures with the refined mission and values** and, as part of this process, *expedite disbursement of funds into the community.* In order to **be responsible stewards of public funds,** the Department should *reinvest funds saved from reduced probation populations into community services.*

And, finally, **RDA recommends that** LA Probation Department **implement an accountability plan**, tied to data-driven performance management structure throughout the LA Probation Department to reflect the refined mission and vision. To achieve this, the LA Probation Department should *implement performance measures for department, divisions, and units* in alignment with the Department's mission, vision, and values. This requires the development of *timelines, processes, and structures,* and the identification of responsible parties for ensuring acceptable attainment of performance measures and accountability.

Throughout the implementation of these recommended actions, it is urgent that the LA Probation Department **communicates with frequency and transparency** regarding each step. This includes:
- Holding regular accountability meetings to review measures and outcomes;
- Submitting key performance measures to the Board of Supervisors at regular intervals;
- Developing quality assurance/monitoring policies for all assessment tools and structured decision-making processes (including checking overrides and assessing for racial disparities); and
- Ensuring staff use validated tools by integrating into performance measurement criteria.

Community Partnership

Recommendation 3. Partner with communities where large numbers of probation clients live to build on indigenous supports and ensure effective service delivery.

Why does it matter?

Engaging positive supports in a probation client's community has long been recognized as one of the key principles of evidence-based practice. Too often, however, this principle is thought of only at the individual-level—as something that a probation officer does with his or her clients—rather than at the organizational level—as something a probation department does with the institutions, businesses, and other systems and stakeholders within the community from which most clients come. This approach misses a huge opportunity to engage the indigenous institutions in clients' neighborhoods and communities of residence in order to connect probation services to such supports and work with communities to establish more responsive and more effective systems of care (see *Model Jurisdiction* Report, Chapter 3: Client Service Delivery for more information).

Probation departments should identify neighborhoods where large numbers of probation clients live and establish offices and other operations in these neighborhoods. In addition, probation officers should develop relationships with community members and other community supports necessary to improve outcomes in highly impacted neighborhoods. Probation leadership and staff should create community stakeholder groups or advisory panels to inform community members of probation's work and learn from neighbors, what challenges and opportunities exist in their home communities. In this way, probation can engage with indigenous supports, business associations, neighborhood organizations, faith leaders, and local service providers, and become familiar with the types of services, supports, and opportunities that are available within the community. Probation departments should also intentionally foster structured—and funded—partnerships with community-based organizations in order to meet the treatment, housing, educational, employment, and health-related needs of clients which will result in better outcomes and reduced costs associated with these services.

Problem Statement: Partnerships between LA County Probation and Local Communities

The LA Probation Department is well situated to expand its partnerships with the local communities in which many probation clients reside, and a number of critical steps have been taken in recent years that indicate a commitment toward doing so. The planning process for Campus Kilpatrick and the development of the "LA Model" was a stakeholder driven process that engaged an array of community representatives, including advocates, researchers, former probation clients, and CBOs, in developing an approach that built upon established best practices and adapted those practices to meet local needs and leverage local resources. The recent creation of a Juvenile Justice Coordinating Council (JJCC) Community Advisory Committee to similarly engage local stakeholders in the development and oversight of a system of care for youth on probation represents a further commitment to this approach. On the adult side, the 2017 Senate Bill (SB) 678 CORE plan and the development of a multi-partner reentry center in the second

district reflect an increased investment in an approach centered in communities and community partnerships.

At the same time, there are a number of missed opportunities and areas for improvement. Assembly Bill 109 (AB 109), with its infusion of money to fund services for adults under probation supervision, represents an opportunity for the LA Probation Department that has not been fully leveraged. While the development of AB 109 HUBS and the establishment of contracts for community-based services are important steps, both need to be improved and expanded. Specifically, while the HUBS do offer co-location of probation and other services, many remain overly correctional in nature, with barbed wire, imposing facades, and unwelcoming waiting areas—much like many of the Department's field offices. In addition, by limiting AB 109-funded services only to individuals under AB 109 supervision, despite their being no statutory or regulatory provisions requiring this,[3] the LA Probation Department is missing an opportunity to more fully engage the community to partner in rehabilitating some of its most challenging clients.

These missed opportunities echo longer standing processes that have limited the LA Probation Department's partnerships with communities from which clients come. Field offices, in general, were designed years ago and not with input from local community institutions, which is reflected in their uninviting physical design. The relatively small amount of funding reserved for community supports and the slow process of disbursing those funds have created frustration among community-based organizations that could otherwise be leveraged as partners.[4] It is promising that the LA Probation Department has recently taken steps to improve these processes by creating master service agreement for juvenile services and looking to establish partnerships with foundations that can more easily disburse funds. In addition, Probation has set aside funds to renovate area offices.

Recommendations

The LA Probation Department should build upon the promising developments described above through two main processes: **1) expanding and improving community services** and **2) developing community-oriented probation field offices akin to the Neighborhood Opportunity Networks (NeON)** established across New York City by the NYC Department of Probation. **Both of these processes should be implemented via a planning process that works with residents and institutions in areas with large numbers of probation clients.** Both are discussed in greater detail in RDA's *Review of Best Practices in Probation* and *Model Jurisdictions Report*.

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[3] Counties have significant flexibility in how they choose to use AB 109 funds and all California counties examined as part of this project's identification of model jurisdictions use these funds to provide services for a wider range of individuals than those who are part of statutorily defined AB 109 populations (PRCS and 1170(h)). For example, both Santa Clara and San Francisco Counties have used AB 109 funding to open reentry centers, where any individual on probation or recently released from custody can go to access community services. Alameda County has allocated a portion of its AB 109 funding to Community Capacity Fund to build the capacity of local CBO to contract with the Probation Department to provide services to reentry clients.

[4] It is important to acknowledge that slow contracting processes and fund disbursement are not unique to the LA Probation Department and are often tied to countywide processes and requirements.

There are both short and long-term steps the LA Probation Department should take to **expand and improve community services**. As **initial steps**, the LA Probation Department should 1) *expand AB 109 service access* so that these services are available to all adults on probation, 2) continue and expand efforts to *disburse funds via master service agreements and partnerships* with foundations, and 3) *redefine the job of both juvenile and adult probation officers so that their main responsibility is to directly connect clients* (and, where appropriate, their families) to needed services, supports, and opportunities supporting positive change.

Number three represents a fundamental shift in the operations of probation. To change the duties of field probation officers from primarily supervision, drug testing and report writing to be held accountable for connecting their clients with needed services, supports, and opportunities is a significant undertaking. This transformation also ensures that the additional community supports developed and procured by the LA Probation Department are known about and being taken advantage of by clients. While responsibility will also be on clients and community services providers, it is vital that probation officers themselves are responsible not only to give referrals, but also to actually connect their clients to community service providers.

As part of a **longer-term process,** the LA Probation Department should facilitate a *planning process that engages residents and institutions*—churches, businesses, CBOs, current and former clients, etc.—in communities with large numbers of probation clients in order to align the local service delivery system with the needs and resources in these communities. As part of this process, the LA Probation Department should increase its ability to contract with local organizations by *providing training and technical assistance to CBOs who serve the client population and establishing a community capacity-building fund* to support this effort.

An essential element of expanding and improving community services is **developing community-oriented probation field offices.** To do so, the LA Probation Department must *identify the best geographic locations within each region based on probation population density, transportation opportunities, and consultation with community stakeholders.* Within each of these areas, the LA Probation Department should *facilitate a community-planning process for (a) site design and (b) service planning with clients and families, community-based organizations, faith-based organizations, local businesses and merchants, residents, schools*. This process should involve communities in the selection of site leadership and identify opportunities for localized community services to promote use of facilities by more than just clients (e.g., education, mental health services, community rooms for public events, food pantries). In partnership with community planning committees, the LA Probation Department should *renovate existing field offices* to create community-oriented probation offices that reflect input of the communities and the Department's commitment to rehabilitation. In addition, the LA Probation Department should identify opportunities to *co-locate neighborhood-based probation sites at other CBOs, non-profits, or community centers* and train staff to work side by side with community partners.

Structured Decision Making

Recommendation 4: Implement structured decision-making throughout the LA Probation Department beginning with the implementation of the juvenile dispositional matrix.

In addition, the LA Probation Department should adopt risk-based supervision, based on validated risk assessment tools, and graduated responses to compliance and violations.

Why does this matter?

Structured decision making (SDM) in the justice system is an evidence-based, data-driven, research-based approach to inform how individuals are supervised, including supervision intensity, juvenile dispositional recommendations, and response to compliance and violations of probation conditions. SDM is intended to create a more effective, consistent, and fair justice system and to ensure that justice system agencies make decisions based on data, effective practice and without bias. When used across a department, SDM also facilitates greater efficiency and smarter resource allocation by directing more resources towards the highest risk clients who pose the greatest risk to public safety while reducing—or eliminating—contact with low risk individuals who do not need it and whose behavior is worsened by excessive system contact. It also avoids unnecessarily depriving probation clients of their liberty for less serious offenses or who have less serious prior records.

The implementation of *SDM processes* is supported by the use of *SDM tools*, which are written or electronic guidelines for how probation officers work with, supervise, and respond to clients based on established criteria. The main SDM tools used by probation departments are the following:
- Youth only:
  - Detention Risk Assessment Instrument (DRAI): A DRAI is used to provide guidance on whether a youth should be put in a secure setting pre-adjudication by calculating the risk of a youth committing a future offense and showing up for court. The assessment takes into account prior delinquency history, prior court attendance records, available alternatives in the neighborhood and other factors. If the youth scores low or medium on the tool, he/she will normally get released to a guardian or community-based organization and if they score high, they will normally be put in secure confinement.
  - Dispositional Matrix: A dispositional matrix is used to determine the level of supervision and confinement for adjudicated youth. The matrix organizes supervision levels, programs, and facilities by risk level and offense severity. This data helps determine the level of intervention so that similarly situated youth have similar dispositions. It also reserves scarce and expensive resources for youth with greatest risk and needs and can aid the department in forecasting its bed and programmatic needs.

- Youth and adults:
  - <u>Risk and Needs Assessment</u>: A risk and needs assessment is a post-adjudication (youth) or post-conviction (adults) tool that has two distinct uses: 1) to determine the appropriate level of supervision intensity for a client based on the client's assessed risk for recidivating, and 2) to develop a case plan to address the client's psychosocial needs. Although most assessment tools combine these two elements, they should be used separately, with case plans only being developed for clients who are determined to be high enough risk to be actively supervised.
  - <u>Graduated Response Matrix</u>: A graduated response matrix determines the type of sanctions or rewards to offer an individual on probation based on the type of violation or progress they exhibit. The response grid is couched in the research that shows that incentives and recognition promote behavioral change better than punishment and criticism. At the same time, sanctions must be immediate and proportionate to the violation and history of prior compliance/violations. Appropriate incentives and sanctions support the likelihood that the client will successfully complete probation.

Problem statement: SDM in LA County Probation

The LA Probation Department uses a number of tools to assess clients' background, experiences, and needs to inform decision-making (see *LA Probation Department Assessment,* Chapter 3: Client Service Delivery for more information). These include a DRAI, the Los Angeles Detention Screener (LADS), which informs whether a youth is detained or released from juvenile hall. In recent years, the LA Probation Department has moved into much greater fidelity with LADS recommendations to make decisions about which youth to detain in juvenile halls, and in 2016, Intake and Detention Control (IDC) officers followed the LADS recommendation to detain or release a youth 75% of the time, a marked improvement from Department of Justice (DOJ) findings that in 2014 IDC detained 80% of youth whose LADS score indicated eligibility for release.

Youth who are placed on probation are assessed using the Los Angeles Risk and Resiliency Checkup (LARRC), which is used to inform case planning. This tool is not validated in its current form and, because it is administered post-disposition, does not inform dispositional recommendations.

The LA Probation Department administers two types of risk assessments to adult clients: a modified version of the Wisconsin Risk/Needs Scales (WRN or DOC-502), which is used for all adults under supervision, except AB 109 clients, to determine supervision intensity. All individuals that score medium or high on the Modified Wisconsin, in addition to all AB 109 clients, receive the Level of Service/Case Management Inventory (LS/CMI), which guides case planning. This use of an initial screening tool to determine risk, followed by a more thorough assessment to guide case planning for moderate to high risk clients is in alignment with best practices. In addition, the use of kiosk-based reporting for low risk clients is also in alignment with research that shows that less contact with the criminal justice system leads to better outcomes for individuals with low risk for recidivism.

These tools and processes give the LA Probation Department a good base upon which to build. At the same time, there are clear areas for improvement, including greater fidelity to the LADS; the procurement of a validated *post-adjudication* assessment for youth, which can then support the use of a dispositional matrix (already developed by RDA, with input from LA County delinquency system stakeholders, see matrix in Appendix A); and the development and implementation of graduated response matrices for youth and adult clients. In addition, despite using kiosk reporting for some adult clients, the LA Probation Department has more interaction than necessary with other low risk clients, especially youth with no delinquency system contact who work with probation officers pursuant to Welfare and Institutions Code (WIC) §236.

Recommendations

There are a number of steps for the LA Probation Department to take to improve the use of SDM and, in so doing, better target resources toward those clients who pose the greatest risk to public safety.

As a starting point, the LA Probation Department should **identify and adopt all standard, evidence-based structured decision-making tools described above**. This includes a validated post-adjudication risk and needs assessment for youth, dispositional matrix for youth (already developed by RDA, see Appendix A), and graduated response matrices for youth and adults. As part of the adoption of a validated assessment and dispositional matrix for youth, the Department should eliminate the current pre-adjudication pre-plea report.

SDM tools should all be integrated into the Department's electronic client management systems, and their use should be built into Deputy Probation Officer (DPO) training and job descriptions. The LA Probation Department should also assess the use of and fidelity to existing tools, since RDA's analysis indicated some fidelity concerns in the use of the LADS, Modified Wisconsin, and LS/CMI. As part of all of these processes, the Department should take steps to **limit DPOs' ability to override the recommendations of these tools** by requiring supervisors to review and approve most overrides and all recommendations for returns to custody for supervision violations.

The risk tools and SDMs should be incorporated into the Department's improved data systems to create a dashboard that managers can easily view to assure that their staff are adhering to the tools and not over-supervising or over-incarcerating. RDA understands that the LA Probation Department is currently in the process of selecting and implementing a new post-adjudication risk assessment for youth.

The LA Probation Department should take actions to **reduce contact with low risk clients and clients who are demonstrating success in complying with their supervision terms**. These include ending probation services to at risk youth currently serviced via WIC §236 and not actively supervising any juvenile or adult clients assessed as low risk. In addition, the Department and judiciary should reduce supervision terms for successful youth and adult clients by 1) stepping down supervision active to banked caseloads after a year of compliance and achievement of case plan goals; and 2) working with the Court to establish criteria for early termination. In addition to furthering the LA Probation Department's alignment with established best practices, all of these changes will have the added benefit of helping to reduce caseloads for higher risk clients, better align resources with risk and reduce unnecessary resource expenditure.

Juvenile Facilities

Recommendation 5: Redesign all juvenile facilities to align with best practices.

Why does this matter?

The deprivation of liberty is one of the most serious consequences an individual can experience in society and the decision to deprive an individual of his/her liberty should never be taken lightly. This is particularly true for young people, whose brains and personalities are still developing and who are therefore, more malleable and less culpable than fully mature adults. As a consequence, young people by their nature are more likely to make poor decisions that can lead to negative contact with the justice system and who are more often harmed by the implications of that contact because of their developmental stage of life. There has been a long, widespread history in America, including in Los Angeles County, of youth suffering from abuse, neglect, trauma, and torment in juvenile facilities. To the greatest extent possible, probation departments should minimize the numbers of youth that they bring into the probation system, work to divert youth from pre-adjudication detention and minimize post-adjudication out-of-home placements.

When youth must be held in secure confinement, all efforts should be made to minimize the disruption of this confinement on their lives by ensuring that facilities are close to youth's homes and communities and the physical environments of juvenile facilities are developmentally appropriate, conducive to the stated rehabilitative goals of the probation department and aligned with best practices (see *Review of Best Practices in Probation,* Section 3: Juvenile Service Delivery for more information).

Problem Statement: LA County Juvenile Facilities

With the opening of Campus Kilpatrick and the planned closure of six other juvenile camps via the Camp Consolidation Plan (CCP), the LA Probation Department has made substantial progress toward aligning its approach to juvenile facilities with established best practices. Campus Kilpatrick is a state-of-the-art youth facility with a physical structure designed to promote rehabilitation and the CCP is based on the recognition that most youth can be effectively served in the community.

However, significant work is still needed to address issues with the remaining juvenile halls and camps (see *LA Probation Department Assessment,* Chapter 4: Juvenile Facilities for more information). Nearly all the camps are on the outlying areas of the county, often cutting youth off from their families and community support networks for the duration of their confinement. Most of the camps and halls have designs that are not conducive to youth rehabilitation and safety, with youth living and sleeping in "open bay" areas, consisting of large rooms with lines of beds. This makes it difficult to adequately monitor youth or to prevent gang conflicts. Classrooms are poorly equipped and lacking materials that would encourage learning. In addition, all three juvenile halls are more than 50 years old and in urgent need of repair. This is especially true for Central Juvenile Hall, a decrepit jail-like facility with barbed wire and leaking roofs, where most detained youth are confined.

Recommendations

The LA Probation Department must continue the progress it has made in recent years by **transitioning all camps to small home-like locations within communities where most of the population live and base these facilities on a rehabilitative model**. While the Department should invest in renovations to improve current conditions of existing camps, the focus should be on shutting down older facilities and replacing them with smaller ones that are closer to the neighborhoods where most youth on probation live. By continuing to reduce the numbers of youth that are placed in facilities and using alternatives set in communities, this effort will be less burdensome.

The LA Probation Department should work with the CEO's Master Planning Unit to **completely overhaul Central Juvenile Hall (CJH)**. Due to its location, this facility is the most convenient for the majority of families of all three juvenile halls. However the physical conditions make it unfit for housing young people and a terrible environment for staff. There are multiple ways in which the rehabilitation of this facility can be accomplished including shutting down specific housing units or temporarily closing CJH and transferring youth to Barry J. Nidorf and Los Padrinos Juvenile Halls while CJH is completely renovated. Upon renovation, the LA Probation Department should consider closing the other two juvenile halls.

While the physical layout of each facility is important to create a humane and therapeutic environment, the programming inside the facilities are even more important. As mentioned above, after a series of closures, LA County Probation must transition each remaining camp into a small, home-like campus that has education and rehabilitation as its focus. Similar to Campus Kilpatrick, these new facilities should be modeled after Missouri's successful juvenile system.

The LA Probation Department must work to **improve programming, services, and education inside its juvenile halls.** LA Probation should strengthen its incentive-based behavior management systems for youth and reward facility managers and unit supervisors who can reduce critical incidents and increase school attendance. Such systems, i.e., Token Economy or Positive Behavioral Management System, have been successful in other juvenile detention facilities around the country.

Staffing, Hiring, Training

Recommendation 6: Align staffing, hiring, and training with revised mission, organizational structure, and approach.

Why does it matter?

A well-functioning and successful organization has staff with the skills and experience necessary to further the organization's objectives. Therefore, job descriptions, hiring practices, accountability and performance management structures, and high-quality training programs for staff development must all align with the organization's mission, vision, and values.

Job descriptions should emphasize client well-being, principles of social and correctional case work, evidence-based supervision practices, and community engagement rather than law enforcement and public safety; recruitment practices should target a wide range of qualified candidates including former clients and others with lived experience in the criminal justice system; background checks must balance liability concerns with the flexibility and timeliness required to successfully hire the most qualified candidates; and training programs should be formally evaluated either internally or by an outside evaluator to ensure relevance, quality, evidence-base, and fidelity.

Hiring, promoting, and retaining POs should be based on merit, competitive oral and/or written examinations, and experiences demonstrably related to the skills required to perform the work (see *Review of Best Practices in Probation,* Section 1: Probation Department Management, Structures, and Systems for more information):

- Education. Most states and the American Correctional Association's standards require a bachelor's degree at minimum. Among juvenile detention officers, college leads to more effective behavior management and greater communication skills developed among supervised youth. Probation officers who work specifically with youth should have youth development backgrounds and/or formal education in childhood development, social work, social welfare, or human services.
- Experience. Probation departments should view former clients and others with lived system experience as valuable hires due to their potential to connect with clients and model prosocial behavior. Departments must not discriminate against these individuals.

Probation officers with the right education, skills, and experience are most likely to establish clear roles and expectations with clients, model pro-social and supportive behaviors, and achieve the best client and community outcomes.

All probation officers should receive training prior to supervising any clients and should continue to receive training on an ongoing basis to ensure their skillsets remain relevant and updated. Staff trainings must be formally evaluated to ensure fidelity, relevance, and quality. On top of fulfilling state standards, training on restorative practices, trauma-informed care, positive youth development, crisis de-escalation, Effective Practices in Community Supervision (EPICS), motivational interviewing and leadership skills are important to promoting the skills that are expected of supervising probation officers. As staff move up

within the organizational hierarchy, additional training and coaching is important, including training in staff development, organizational and project management, and communication.

Booster trainings, observational assessments, and individual coaching are necessary to reinforce and deepen skill development and ensure uniform implementation. Research indicates that training alone is insufficient to enable employees to perform at their best. In addition to conducting trainings, probation departments should also identify staff who are proficient in evidence-based practices and subject matter areas listed above; assign these staff to mentor and coach other staff in these methods; and, create an environment of appreciation and recognition of these staff.

Performance management systems must prioritize and reward achieving organizational goals. In other words, promotions should occur when staff performance aligns with the mission, vision, and values, including goal achievement and the use of evidence-based practices. Implementing performance management structures requires the regular capture and review of performance data in order to track how well performance aligns with the mission, vision, and values of the organization, including reducing recidivism and promoting client well-being. Most importantly, performance management within probation departments must promote and reward reducing recidivism and incarcerating clients parsimoniously. Specifically, staff should be assessed, rewarded, and promoted for things like:

- Communication skills, problem solving skills, initiative, and commitment to mission;
- Time spent targeting criminogenic needs (based on probationers' assessment results);
- Connecting clients to needed services, supports, and opportunities;
- Consistent use of rewards systems when probationers do well and graduated sanctions when they have set-backs; and,
- Eventually, recidivism, based on risk-level of caseload, for field officers.

Client-level data systems are essential to monitoring performance; these data must track client needs, case plans, progress toward case goals, and client outcomes. The data itself enables the accountability. Without accurate data systems, there is no information from which to evaluate, reward, support, or promote staff performance. Necessarily, client data systems must have the capacity to provide flexible reports by unit, probation officer, and region to inform performance review processes. This enables a probation department to assess areas for growth or training, individuals or units providing exemplary work, or areas for possible re-assignment. Without these data, a probation department cannot systematically and fairly promote staff who perform in line with the department's mission and vision, which is a best practice.

Problem Statement: LA Probation Department staffing, hiring, and training

Currently, job descriptions do not reflect the values, mission, or vision of a department whose main purpose is to further client well-being and reduce recidivism. Existing job descriptions instead emphasize the enforcement of law and public safety. Therefore, the LA Probation Department has no means to attract and hire candidates that are qualified to further its stated values.

In addition, the current memorandum of understand (MOU) between the LA Probation Department and AFSCME Local 685, the bargaining unit that represents DPOs—and the largest of the Department's four bargaining units—includes a number of agreements that do not reflect best practices or put clients' needs at the center of the Department's staffing practices. In particular, the LA Probation Department's inability to transfer staff to lateral positions that align with appropriate human resource allocation is a major barrier to meeting the needs of the client population and creates problematic and costly imbalances in staffing distribution. In addition, the 56-hour work schedule for Local 685 staff working at the Department's juvenile camps is inconsistent with established best practices in juvenile facilities, which highlight the importance of establishing a consistent family-like environment in which staff and youth work closely together to build positive relationships that can promote youth wellbeing.

Finally, the fact that Detention Services Officers (DSO), who work in one of the Department's most challenging positions inside juvenile detention facilities, serve in the Department's most entry-level sworn staff position has a number of negative implications for staffing and staff promotional trajectories. Functionally, the DSO position frequently operates as the first position a new sworn staff member is placed in, which means that the most junior staff are often in one of the most challenging positions. In addition, because moving up in the Department requires moving out of this position and generally into a field-based DPO position, there are limited facility-based career trajectories for staff who enjoy and excel at working with youth in custody. Analogously, for staff who prefer and are better suited to working with clients in the community, there often is not a way to avoid starting in a detention facility.

The LA Probation Department faces many challenges with recruitment, starting with dedicating sufficient resources to define whom they should hire, clarifying and aligning job descriptions with the mission and vision, and attracting appropriately qualified candidates (see *LA Probation Department Assessment,* Chapter 2: Hiring, Staffing, and Training for more information). County Human Resources, Department Human Resources, executive management, and line staff all agree that the LA Probation Department is losing qualified candidates due to an unnecessarily extensive background check process and lengthy hiring process, as well as insufficient communication with job candidates during the process.

The vast majority of staff achieve required training both when they join the LA Probation Department and on an ongoing basis, and training is consistent with state mandates for their respective positions. While the Department offers a wide range of ongoing training in mandated and elective areas, gaps in training, such as court report training, mental health, and trauma-informed care, make it difficult for staff to carry out their job tasks. In addition, more training is needed both in technical functions, such as data systems and writing court reports, as well as in topics related to client well-being and supervision, such as mental health, trauma-informed care, and positive youth development. The absence of official transfer training programs often results in unofficial training from colleagues or supervisors when staff transfer to new positions, which takes them away from dedicated workloads and creates inconsistency across different facilities and offices.

There is also limited management and/or leadership training for staff who move up within the organizational hierarchy. As staff take on new roles and move away from client supervision to leading programs, units, or initiatives, there is little in the way of formal skill building to help them develop the

competencies associated with these new positions, such as project management, staff development, or communication. This is a missed opportunity for the Department to build its own human resources while also laying to groundwork for success leadership succession planning.

Finally, the LA Probation Department does not evaluate staff based on how their performance aligns with stated objectives that support the Department's mission. This makes it impossible to promote or reward individuals that further the mission or achieve individual performance goals or to discipline and create performance improvement plans for staff falling short of the mark (because there is no "mark"). Moreover, the current promotional process, as agreed upon in the MOU with Local 685, precludes the LA Probation Department from implementing a performance-management approach to promotions since it requires the Department to promote based on seniority with little regard for performance—or misconduct.

Recommendations

The LA Probation Department should take several steps to improve its **recruitment and hiring** practices necessary to attract and hire high quality candidates. The first step is to **establish a recruitment unit** to lead recruitment efforts and coordinate with HR and background investigations to ensure consistent communication within the Department and between the Department and a job candidate throughout the hiring process. In addition, the Department should revise job descriptions to focus more explicitly on client services and evidence-based practices, as well as to highlight the importance of skills such as communication and use of data. Having done so, the recruitment unit should establish MOUs with local colleges and universities that allow social work, human services and/or criminal justice programs to create probation field placements for students that will create a pipeline of candidates. Reevaluating the background check process, including eliminating the credit check, will also widen the pool of potentially qualified candidates who can be recruited and hired.

The LA Probation Department should also **renegotiate its agreement with AFSCME 685** to address the range of issues discussed above, including 1) restoring the Department's ability to transfer staff to lateral positions to meet the needs of the Department and its clients, 2) eliminating the 56-hour work schedule at juvenile camps, 3) making changes to the DSO/DPO hierarchy and process so that staff who excel in working in juvenile facilities can be promoted in that role while staff who are better suited to community-based work do not have to start in juvenile halls, and 4) allowing the Department to promote the most qualified candidate within a Civil Service band instead of mandating the promotion of the most senior person.

Once the LA Probation Department has established a more appropriate and client-centered MOU, leadership should move to **establish a more robust performance management system** that evaluates and promotes staff based on clearly defined metrics tied to its mission. The Department should also **commission a workload study** to determine staffing needs and support the most appropriate distribution of staff across units and divisions. Both a performance management system and a workload study are predicated on investments in data/IT systems and research staff. Continuing shrinkage of the supervised population by adopting the use of structured decision-making tools and processes will require the

assessment of which types of staff need to be hired. There are additional changes the LA Probation Department should make in its approach to and provision of training. These include **establishing policies that require staff to receive training in new functions prior to starting a new position; developing a training institute, similar to the Inter-University Consortium established in 1990 at the LA County Department of Children and Family Services, establishing a leadership institute to continue to develop senior and middle management; and increasing the number of trainings in client well-being topics such as trauma informed care and positive youth development and in technical functions such data entry and interpretation**.

Data/IT

Recommendation 7: Prioritize investments in information technology (IT) systems and the use of data.

Why does this matter?

Without real time, easy to understand, accessible data, a probation department cannot measure change, adequately plan for facilities or community-based services or know how to best serve the individuals in their charge. As repeatedly indicated in the literature, any organization concerned with the quality and impact of its services must track critical data elements over time to monitor improvements and identify areas of need. Client-level data must be regularly assessed and re-assessed for improvements and changing needs on an individual level. These data, when taken in the aggregate, provide a picture of organizational-level improvements and needs. Streamlined, simplified electronic records help move a probation department toward greater efficiency and effectiveness, with automated reports and more accurate reviews of how personnel, teams, divisions, and reform efforts are doing. Thorough data collection and use are essential to monitoring and tracking whether the department is producing equitable outcomes across race and ethnicity, and if its efforts to address bias and racial/ethnic disparities are succeeding. Finally, and most importantly, the continuous use of data changes the culture of an organization from one that depends on individual decisions, and a person's experience to one grounded in science. It creates systems that are then able to make rational and well-informed decisions regarding the allocation of resources and the placement of juveniles and adults. High quality data systems and processes are essential for implementing structured decision-making, managing appropriate staffing levels and workload distribution, projecting facility population needs, and reducing unnecessary levels of supervision and confinement.

Problem Statement: LA Probation Data/IT Systems and Processes

Numerous studies published regarding the Los Angeles County Probation Department have noted that the systems, processes and use of data are inadequate to meet the standards and practices of a 21st century model department. As early as 2005, there have been recommendations to invest in these systems to increase data integration, analysis, and reporting (see *LA Probation Department Assessment,* Chapter 1: Organizational Assessment for more information).

The LA Probation Department uses 46 different data systems to manage clients, staff, contracted providers, and a range of other information. There is little integration across data systems. In addition, there is limited data sharing with other County departments. This reduces the ability of the County to understand the overlap of clients between services and systems and prohibits leveraging and coordination of resources and services.

In addition to the lack of extractable and linked data, the LA Probation Department's outdated data systems and insufficient resources for IT staff, staff training, and systems upgrades impede its ability to make data-driven decisions. In particular, the Department has a limited capacity to track client outcomes, making it difficult to ascertain whether or not programs are working.

RDA experienced significant difficulty analyzing and interpreting data from Probation. In multiple instances, patterns in the data did not reflect how staff described their client service and supervision processes. Whenever a discrepancy emerged, understanding the cause of the discrepancy required a multi-step, multi-person process that often took weeks or even months. RDA staff would talk to program/operations staff, who would meet with IT staff, who would then often spend several weeks reexamining the data before providing new information to the program staff, who would communicate it back to RDA. At times, program staff would have to speak to several other program staff as well as to multiple staff from the Department's Information Services Bureau (ISB) before finding someone who could answer questions in a way that aligned with what the data showed. Even after all of these conversations, there are notable discrepancies between the findings in RDA's analyses and those in various LA Probation Department publications, including information as critical as the number of individuals on probation and the number of youth in probation facilities.

These issues are exacerbated by the fact that the Department does not have a unit dedicated to research and evaluation to act as a bridge between ISB and operations staff or between ISB and external researchers. As a consequence, no one has a clear responsibility for aligning the Department's data collection systems and processes with research and evaluation needs. Similarly, there is no accountability for the quality of data entry, data extraction, or reporting, since there is no centralized entity for overseeing data analysis and interpretation.

Recommendations

The LA Probation Department should invest in improved data collection systems and processes, as well as in adequate staffing for a research and evaluation unit that can serve as a bridge between ISB staff and programs/operations staff, in addition to working with contracted researchers/evaluators and an inter-university consortium (IUC) for research.

The first step in this process is to **establish an internal Research and Evaluation Unit (REU)** that can:
1) Work with operations staff to help define the Department's research, evaluation and reporting needs;
2) Work with ISB to ensure that data systems and reporting align with these needs;
3) Establish data collection processes and quality assurance (QA) processes; and
4) Work with outside researchers, including contracted researchers and a local IUC to analyze program, unit, and system data based on the Department's research and evaluation needs.

The REU should be comprised of a minimum of 10-15 staff, who have expertise in IT systems and structure *and* research methods, data analysis, as well as an understanding of the operations, purpose, and mission of the LA Probation Department.[5]

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[5] The REU would require at least three managers – one for the unit overall and one assigned each to juvenile and adult services. Analysts and administrative staff would be required for each core Department function, including adult field services, juvenile field services, and facilities. Specialized units or divisions, such as AB 109 or pretrial services, likely require dedicated analysts as well.

Once a REU has been establish, this unit should prioritize two key strategies: 1) **aligning the Department's data collection and reporting processes to research and evaluation needs**, and 2) **establishing a local IUC to support ongoing research efforts**. Both are discussed in greater detail below.

In order to **align the Department's data collection reporting and processes with research needs**, the newly established REU should start by mapping current data systems and reporting to actual data and research needs. This would require two concurrent steps:

1) Assess current data collection and analysis systems and processes by:
   a. Inventorying all data systems, including ISB operated systems, contracted systems, and "offline" data tracking tools developed by staff;
   b. Assessing the quality of data entry in each system; and
   c. Inventorying current reports produced by ISB and by individual units/divisions, including frequency of production, intended audience, and ease of attainment.
2) Identify unit-specific and Department-wide data and research needs by:
   a. Working with executive management to establish Department-level evaluation questions and data needs;
   b. Working with each unit and division to establish evaluation questions and data needs; and
   c. Identifying metrics for unit-specific and Department-wide evaluation questions and data needs.

Having completed these steps, the REU can compare both existing data fields and existing data reports to Department needs in order to identify gaps and redundancies and develop a plan to address both. As part of this process, the REU will need to work with ISB, operations staff, and administration staff to develop policies and protocols for data collection, including a universal data dictionary to ensure consistent use of terminology and coding.

The Department should take advantage of LA County's myriad research universities to **establish an IUC** to support the Department's research and evaluation needs. To do so, the REU, in partnership with executive management, should begin by identifying funding to support the initial development of an IUC and IUC analyses, and convening representatives from area universities with criminal/juvenile justice research centers. Together, this group can identify a lead university, based on knowledge and capacity; establish a governance structure; and identify projects and research needs for which the IUC can partner with the Department.

The **Department must invest in updated data/IT systems** that can simplify the process of data extraction and provide real-time data via dashboards to assess key performance indicators on an ongoing basis. This will require both investing in upgrading ISB-developed data systems, purchasing new data systems, and engaging in public-private partnerships to develop new data systems. Finally, it would be wise for the County to examine what other counties and State are doing in relationship to partnering with large private sector companies to meet their IT and real time data needs.

Los Angeles County Probation Department
7 Top Recommendations

Organizational Structure:
Organize Probation Department into an agency model with centralized administrative functions to support separate juvenile and adult client service operations

- Re-organize into an agency model with centralized administrative functions that support separate juvenile and adult client service operations
- Strengthen centralized administrative operations

Data/IT
Prioritize Investments in Information Technology (IT)

- Establish an internal Research and Evaluation Unit (REU)
- Align the Department's data collection and reporting processes to research needs, and establish a local inter-university consortium to support ongoing research efforts
- Invest in updated data/IT systems that can simplify the process of data extraction and provide real-time data via dashboards to assess key performance indicators on an ongoing basis

Mission, Vision, Values:
Create and publish a client-focused, forward-thinking, mission, vision, and values statement for the LA County Probation Department

- Take the interim step of adapting the mission, vision, and values of a model jurisdiction to create a shorter time frame to secondary action steps.
- Initiate a collaborative process including the Board, staff, community, and key stakeholders.operations
- Align operations and service delivery with mission and values
- Implement an accountability plan

Staffing, Hiring, Training:
Align staffing, hiring, and training with revised mission, organizational structure, and approach

- Improve recruitment and hiring practices to attract and hire high quality candidates
- Renegotiate agreement with AFSCME 685 to address the range of issues
- Establish a performance management system that evaluates and promotes staff based on clearly defined metrics tied to the Department's mission
- Commission a workload study to determine staffing needs and support the most appropriate distribution of staff across units and divisions

Community Partnership:
Partner with communities where large numbers of probation clients live to build on indigenous supports and ensure effective service delivery

- Expand and improve community services
- Develop community-oriented probation field offices akin to the Neighborhood Opportunity Networks (NeON) established across New York City by the NYC DOP.
- Both of these processes should be implemented via a planning process that works with residents and institutions in areas with large numbers of probation clients

Juvenile Facilities:
Redesign all juvenile facilities to align with best practices

- Transition all camps to small homelike locations within communities where most of the population live and base these facilities on a rehabilitative model
- Work with the CEO's Master Planning Unit to completely overhaul Central Juvenile Hall (CJH)
- Work to improve programming, services and education inside its juvenile halls as well

Structured Decision Making:
Implement structured decision-making throughout the Department beginning with the implementation of the juvenile dispositional matrix developed

- Identify and adopt all standard, evidence-based structured decision-making tools
- These tools should all be integrated into the Department's electronic client management systems, and their use should be built into DPO training and job descriptions
- Limit DPOs' ability to override the recommendations of these tools
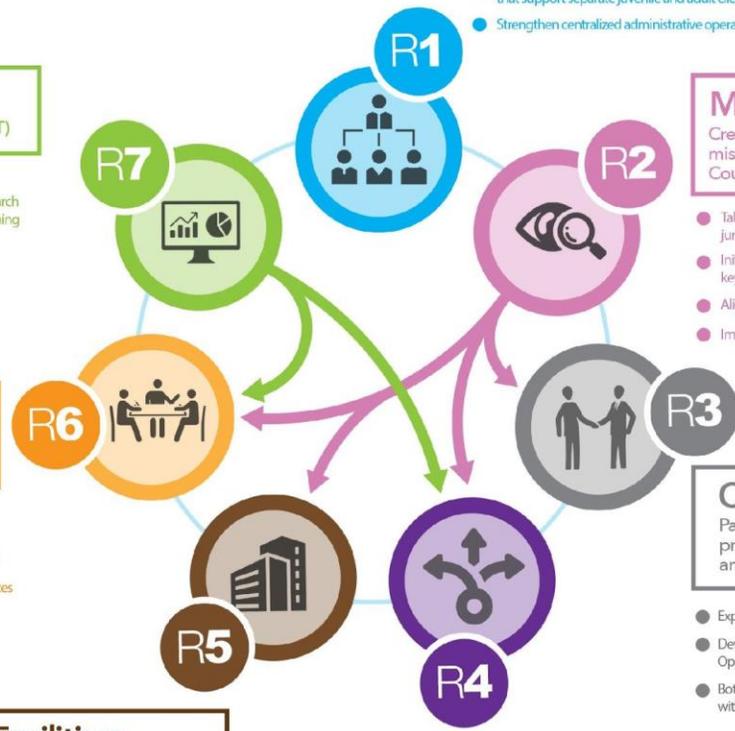
Overview of LA Probation Department Governance Study

In September 2016, RDA was retained by LA County to conduct a comprehensive study and analysis of the LA Probation Department that would articulate its strengths and weaknesses and provide recommendations for building the Department into a high-functioning 21st Century agency that models best practices in the field. Included in our scope of work was to review and evaluate the Department's current organizational structure and practices; identify factors that influence performance and outcomes; study best practices in probation (for both juveniles and adults); and identify model jurisdictions that have implemented best practices. These activities were to culminate in a final set of recommendations aimed at enhancing the Department's performance to better meet the needs of those involved in the probation system.

The purpose of this final report is to summarize all of the research, activities, and key findings from each of the reports RDA has submitted over the course of the last year. This report describes our methodology, findings, and recommendations from previous reports.

From the beginning of this undertaking, RDA wanted to create a product that would not be another report that sat on a shelf and never became actualized. The County has had numerous reports that have done just that. We adopted several strategies that we address more specifically in our methods section to try and avoid that fate. It is the primary reason that we have issued multiple reports throughout the process of this study and established a broad and representative advisory body. We wanted to ensure ongoing engagement between all of the stakeholder groups involved in this important effort.

Organization of this Report

This report begins with a brief overview of each of the reports submitted to date. This is followed by a description of our methodology, key project team members, our impetus for developing certain work plan activities and processes, and a description of the data collection activities that were necessary to compile the information provided across our reports. Finally, we summarize key findings from our *LA Probation Department Assessment*, and highlight the extent to which the structure and practices of the Los Angeles County Probation Department align with evidence-based and best practices in probation.

Completed Reports

To date, RDA has issued five reports as part of the Governance Study. These reports, summarized below, are the foundation for all of the attached recommendations:

- **120 Day Status Report (February 2017):** Provides an interim update on the Governance Study, including a review and analysis of existing reports and documentation, preliminary meetings with project stakeholders, initial findings, and preliminary recommendations.
- **Review of Best Practices in Probation (April 2017):** Focuses on the need for guidance around identifying and implementing evidence-based and best practices in probation in order to promote public safety, affect positive behavioral change, reduce unnecessary deprivation of liberty, and minimize the risk of reoffending.
- **Model Jurisdiction Report (August 2017):** Highlights probation practices that other jurisdictions from across the country have implemented to improve community supervision for youth and adults. The jurisdictions highlighted in the report (Maricopa County, AZ; Multnomah County, OR; New York City; San Francisco County, CA; San Joaquin County, CA; Santa Clara County, CA; Solano County, CA; Washington, D.C.; and Wayne County, MI) are not necessarily model jurisdictions in every way. Rather, they are jurisdictions that have effectively implemented evidence-based and best practices in probation supervision to support improved outcomes for youth in custody and youth and adults under community supervision.
- **LA Probation Department Assessment (August 2017):** Provides an in-depth, comprehensive study of the LA Probation Department, documenting its structure and practices, and highlighting factors that influence performance and outcomes. The report employs an organizational assessment framework that recognizes the significant role and impact of organizational elements, such as organizational culture, leadership, systems, and infrastructure.
- **Crosswalk Report: Comparing LA Probation Department Practices to Best Practices in the Field (November 2017):** Synthesizes findings from previous reports to provide recommendations to guide the Department toward greater implementation of best practices. This report is organized in five sections: Organizational Assessment; Staffing, Hiring, and Training; Client Service Delivery; Facilities; and Fiscal Operations.

In this final report we summarize key findings from our assessment of the LA Probation Department and highlight where the organizational structure and practices in the Department do and do not align with best practices in the field.

Project Methodology

Project Team

To ensure our team was equipped with the content expertise, local knowledge, and capacity to successfully complete the LA Probation Governance Study, RDA identified a Project Team comprised of experts in the field from both inside and outside of our organization. Key project team members and their roles on the project are described in greater detail below:

Patricia Marrone Bennett, **Ph.D.**, President and CEO of Resource Development Associates (RDA), served as the Principle Investigator for the LA Probation Governance Study. Dr. Bennett contributed her decades of research, policy and direct service work with criminal and juvenile justice systems as well as the many other government and nonprofit organizations with which they intersect to ensure a collaborative, strengths-based effort that leveraged the experience and resources of all relevant Los Angeles County stakeholders. Dr. Bennett oversaw all aspects of project implementation and ensured the project aligned with Los Angeles County's goals and objectives, and resulted in actionable recommendations.

Vincent Schiraldi, Co-Principle Investigator Co-founder, Co-director, and Senior Research Scientist of the Columbia University Justice Lab, served as the Co-Principle Investigator for this project. Mr. Schiraldi has significant experience reforming large criminal and juvenile justice agencies in locations including Washington D.C. and New York City, as well as researching and advising on criminal justice reforms nationally. As the Co-PI, Mr. Schiraldi worked directly with Dr. Patricia Bennett and the entire team to provide strategic direction, oversight, and quality control for this effort.

Jorja Leap, Ph.D., Executive Director of the Health and Social Justice Partnership at the University of California, Los Angeles, served as a Strategic Advisor for this project, leveraging her experience with gangs, violence, and trauma in Los Angeles to support our community engagement activities and ensure that this effort was grounded in and informed by community and stakeholder needs.

David Muhammad, Executive Director of the National Institute for Criminal Justice Reform and a leader in the fields of criminal justice, violence prevention, and youth development, served as a Strategic Advisor for this project. Mr. Muhammad leveraged his experience as the former Chief of Probation in Alameda County, as well as Deputy Commissioner of New York City's Department of Probation and Chief of Committed Services for Washington, DC's Department of Youth Rehabilitation Services to inform the development of all deliverables and ensure that this effort was premised in on the ground experiences informed by evidence-based and best practices in probation.

Mikaela Rabinowitz, Ph.D., the Director RDA's Justice Practice, a mixed-methods researcher who sits on the Board of Directors for the Association of Criminal Justice Research of California, served as the project manager for the LA Probation Governance Study. In this role, Dr. Rabinowitz drew on her extensive experience in California criminal and juvenile justice policy and research to develop the project research design and oversee implementation of data collection, analysis, and reporting.

Kim Carter, Founder and Executive Director of Time for Change Foundation, brings both her lived and professional experience. She founded and operates a non-profit that provides essential services to re-entry women and their children. Certified in accounting with an emphasis on nonprofits, and motivated by her own experiences as a formerly incarcerated woman, Ms. Carter was critical in reviewing the revenues and expenditures of the Department to understand resource allocations of the Probation Department. Her work is extensive and multi-faceted, integrating considerations of education, health, labor, and economic development into a well-rounded, client-centered approach to working with the reentry population and demonstrating the public benefit and cost savings associated with improved programs and systemic reforms.

Ardavan Davaran, Ph.D., served as the best practices research lead. Dr. Davaran is a trained sociologist with a background in criminology and criminal justice policy research, as well as expertise in advanced research methods, design, and quantitative data analysis techniques. Dr. Davaran's research centers on identifying the ways in which social institutions, and the organizations that comprise them, reproduce and exacerbate race, class, and gender-based inequalities within the United States. At RDA, Ardavan contributes to the management of justice system projects as well as data collection and analysis, research, evaluation planning, and report writing for a variety of projects working with justice systems and behavioral health.

Debbie Mayer, MPP, led field-based data collection, conducting interviews and focus groups with hundreds of LA Probation staff, clients, and stakeholders. Ms. Mayer is a mixed-methods researcher who is passionate about supporting criminal justice reform through research and evaluation. She strongly believes that an effective and equitable criminal justice system must be informed by the experiences of individuals and communities most impacted by the criminal justice system, and she hopes her work will amplify these voices.

Sarah Garmisa-Calinsky, MBA, MPP, joined the project team to lead the analysis of LA Probation fiscal practices. With a background in both public policy and business, Ms. Garmisa-Calinsky is adept at understanding the intersection between operational process and financial decision-making and she works on a number of projects that assess the fiscal implications of different operational processes, including cost-benefit analyses and workflow assessments.

Moira DeNike, Ph.D., joined the RDA team to support best practices research, providing her considerable expertise with evidence-based and emerging best practices that span juvenile and criminal justice systems, as well as the many other public systems with which they intersect. For over 15 years, Dr. DeNike has provided consulting services to a range of nonprofits, public agencies, foundations, and school districts. She has guided program design and conducted evaluations of juvenile justice diversion programs, gender-specific services for individuals under probation supervision, alternatives to incarceration, case management systems for justice-involved adults and juveniles, trauma-informed programs, and drug court programs.

Ronald Soto joined the RDA team as a best practice specialist, contributing over 35 years of experience in the public and nonprofit sectors, including consultation and direct service leadership with a range of city

and county service systems, large and small nonprofit agencies, and private and public grantmaking organizations. Mr. Soto has designed, supported, and grown both public and nonprofit programs spanning the domains of criminal and juvenile justice, foster care and transitional-aged youth (TAY) services, gang prevention and intervention, school based intervention and crisis response services, community and mental health, early childhood development, youth and family services, employment services, services for individuals with developmental disabilities, and community development efforts.

Lupe Garcia supported all aspects of project implementation, including data collection, stakeholder engagement, communication, and more. Ms. Garcia brings her background in public health policy and research to inform a systems-level approach to understanding the implementation and impact of justice systems.

Methods

Evaluation Advisory Committee

RDA submitted a total of 6 digestible reports over the course of this effort. We did this in order to deliver information in pieces focused on each major deliverable of our work plan and engage stakeholders over the course of the project. In order to be inclusive of numerous cross-system stakeholders with valuable and unique perspectives, as well as to ensure that all partners were invested in the process, RDA convened a project advisory committee comprised of representatives from Probation, the District Attorney's Office, County Office of Education, Behavioral Health Services, Chief Executive Office, County Counsel, and community-based service providers, as well as judges and individuals with former justice involvement. The advisory committee met every few months to inform our work by reviewing upcoming activities and findings from each report to inform interpretation and next steps.

By convening an advisory committee, RDA was able to vet project activities and findings from each report, and integrate insights from cross system stakeholders into our efforts.

Site Visit to New York and Washington D.C.

RDA organized a week-long site visit to New York City and Washington D.C. in order to provide cross-system stakeholders an opportunity to see what transformation looks like on the ground in jurisdictions that have undergone change, and to learn from others who have overseen and managed the change processes. Our goal was for the site visits to provide LA stakeholders an opportunity to remove themselves from how things are done in LA County, and provide a first-hand look at alternative ways of working with justice-involved individuals under community supervision and/or in custody.

During our site visit to New York, we visited NeONs, community-based probation sites, in the Bronx and Harlem, and were exposed to the NeON Arts Program and Arches Transformative Mentoring Program. The NeONs were quintessential examples of probation offices promoting client well-being through community partnership. We also had an opportunity to see how structured decision-making has been implemented in New York City to reduce the size of their probation population, as well as the reliance on placement of adjudicated youth. We visited two facilities, one secure facility and one non-secure facility

aligned with the Missouri Model (see Attachment E: *Site Visit Booklet* for a comprehensive list and additional information about each site we visited in New York City).

In Washington, D.C., we observed a juvenile diversion conference meeting, visited the New Beginnings Youth Development Center which is the District's sole secure facility for adjudicated youth, and also had a guided tour of the MLK Achievement Center which partners with vendors to provide an array of programs that are tailored to at-risk youth and their families The MLK Achievement Center stimulates and empowers participants by fostering education and career development, life skills, and healthy living (see Attachment E: *Site Visit Booklet* for a comprehensive list and additional information about each site we visited in Washington, D.C.).

Research Activities

In order to complete all of the evaluation activities necessary to develop each of the reports submitted to date, the RDA Project Team first reviewed more than 100 existing reports and documentation related to the structure and operations of the LA Probation Department. We conducted preliminary meetings with project stakeholders to gain insight into (1) how the Department currently operates; (2) what other research, reports, audits, and assessments have identified as the Department's strengths and challenges; and (3) the Department's stated goals and objectives, and plans for achieving those.

For the *LA Probation Department Assessment* the RDA Project Team took a multi-disciplinary, cross-sectional approach to data collection. We employed mixed-methods research of quantitative and qualitative data to maximize validity and triangulate findings across data sources. This included conducting face-to-face interviews and focus groups with 384 Department stakeholders (approximately 70% of interviews and focus groups were with LA Probation staff and 30% were with agencies that work with Probation, CBOs and advocates, and clients); field observations at more than a dozen Probation field sites and institutions; reviewing documentation related to training, hiring, contracted programs, and fiscal operations; and, assessing adult and juvenile probation data to provide an overview of the probation population from 2012 through 2016.

In order to complete the *Review of Best Practices in Probation* and *Model Jurisdiction Report* RDA synthesized research across a number of subject areas, including criminal and juvenile justice as well as organizational development and leadership, developed by government and professional probation agencies; non-profit and private organizations; and, independent researchers published in peer reviewed journals. We also conducted a week-long site visit to New York City and Washington D.C. for over 30 LA County Stakeholders to attend and conducted follow-up interviews with staff and leadership from New York and Washington, D.C., as well as with staff and leadership from other model jurisdictions including Maricopa County, AZ; Multnomah County, OR; San Francisco County, CA; San Joaquin County, CA; Santa Clara County, CA; Solano County, CA; and, Wayne County, MI.

Findings

The following sections compare best practices in the field and model jurisdictions that have implemented these practices with the organizational structure and practices of the LA Probation Department.

Organizational Assessment

An organization's resources, processes, and capabilities—including its strategic leadership and planning, internal and external communication processes, and data capacity—are foundational to its success. This section describes our findings across organizational culture, external environment, and organizational capacity and structure.

Organizational Culture

RDA's review of best practices implemented in model jurisdictions demonstrated the importance of fostering a positive organizational culture in order to successfully manage change and drive organizational success. During our site visit to New York City's Probation Department, staff at the NeONs expressed enthusiasm about the transformation of their culture toward one that is

> *"We spent all this time on the strategic plan. We did focus groups, surveys, met with the unions, held town hall meetings, and then the data was gone. It was just put on the shelf... The staff participated and then we put it away. That sends the message that their voice doesn't matter and it hurts the culture in the line staff."*
>
> *– Probation Manager*

mission driven and explicitly focused on client well-being and partnerships with the communities in which the most probation clients reside.

Developing staff buy-in for change and a fostering a healthy organizational culture has resulted in an engaged workforce that knows what is expected of them and believes their work matters. A healthy organizational culture fosters high staff morale and a greater adoption of evidence-based and best practices, which include, but are not limited to, embracing the implementation of culturally appropriate community-based services, the engagement of community and other public agencies, the use of validated assessment tools, and data-driven decision-making at both the organizational and individual level, as indicated in our *Review of Best Practices in Probation*. In order to implement these practices, leadership must create a climate for continuous learning and reward staff who participate in change; encourage staff driven innovation that is adaptable; emphasize quality service provision (e.g., supervisors focus more on providing appropriate services than on number of contacts per client); and become more performance-oriented (driven by common, tangible goals and articulated measurable outcomes).

> *"We have a culture of not communicating, a culture of not telling our story … We're caught up in 'it's criminal record offender history – I can't tell you.' And so, we don't tell the stories."*
>
> *- Department Manager*

RDA's *LA Probation Department Assessment* found that a lack of leadership stability and succession planning within LA Probation has had a negative impact on organizational culture and inhibited the development of a shared vision and goals to guide operational practices. This has resulted in the Department not currently operating as a mission-driven organization. Staff is less willing to embrace new approaches because they assume any new idea will have a limited lifespan. This results in low staff morale, a "head's down" approach among many staff across organizational hierarchy, and staff who do not report being organized around a common mission or purpose. The development of the 2015-2018 Strategic Plan was an opportunity to strengthen the Department's organizational culture and address issues of low staff morale, but instead this process largely exacerbated these issues. Staff who participated in the development of the strategic plan found the planning process to be inclusive, thoughtful, and collaborative. However, the plan was never implemented. This experience reinforced a sense of disillusionment across staff about the longevity of Department initiatives, as well as the value of participating in strategy-focused workgroups.

External Environment

Probation departments, like all public agencies, are embedded within external environments that impact operations, opportunities, and barriers to success. RDA's *Model Jurisdiction Report* highlighted the great lengths to which staff in New York and Washington D.C. went to intentionally develop trusted relationships with advocacy organizations, local government, and media outlets in order to manage pressures that would arise from disparate, often competing, perspectives.

In Washington, D.C., the Department of Youth Rehabilitation Services (DYRS) Chief of Staff hired Legislation and Communication Directors whose primary jobs were to establish relationships with political entities such as the D.C. City Council (which functions similarly to the LA County Board of Supervisors) and the media. One strategy they implemented for building these relationships was to plan events around areas of interest to political leaders. For instance, DYRS leadership was aware that the mayor enjoyed triathlons, so they held a mini-triathlon with youth and staff and invited the mayor to join them with an opportunity for pictures and an interview with the press included. There were also a number of City Council members who enjoyed basketball and football, so DYRS coordinated a nine game basketball tournament between youth and city council members, as well as an event for city council members to give youth letterman jackets they earned for being a part of a championship football team. Another strategy DYRS implemented was proactively reaching out to the local media to

> *"If you were to go around this room and ask us about our mission statement, most of us couldn't tell you. Why? Because it seems to change minute by minute. It is hard to have focus or a mission because it has become [to] please the Board."*
>
> *– Probation Manager*

promote stories about some of their successes. They routinely emailed positive stories to the D.C. City Council and other key stakeholders to keep them up to date about the reform efforts. This was the agency's way of building goodwill politically around a positive narrative.

Although the current Department leadership has a strong relationship with the Board and a commitment to working collaboratively with Board Offices, RDA's *LA Probation Department Assessment* found that many staff across the organizational hierarchy perceive Board motions addressing Department operations as a source of frustration. Both middle management and line staff report feeling disempowered by Board involvement that they perceive as limiting the Department's ability to oversee its own operations. Staff across role and hierarchy also identified community advocates as an external pressure point that impacts Department practice and employee morale.

Though the relationship between the community and Probation has improved in recent years, distrust remains. Many staff feel misunderstood and overly scrutinized by community advocates, while advocates, in turn, see the community voice as being excluded from the Department's decision making, particularly regarding programming. The Department's public image portrayed through the media is also extremely influential in shaping how the LA Probation Department is viewed by staff and outside entities, and media stories generally depict the Department in a negative light, which staff attribute to poor external communication efforts. This affects external pressure, employee morale, and the number and type of applicants who seek employment. In response to outside pressures, managers spend a large proportion of their time participating in meetings and hearings, compiling data, and assembling reports. Managers share that these frequent requests reduce their ability to strategize and plan. This contributes to a sense within the Department that it does not set its own direction.[6]

Organizational Capacity and Structure

Organizational Structure

RDA's *Review of Best Practices in Probation* highlights key behavioral differences between youth and adults suggesting that the treatment and supervision of juveniles should not mimic adult criminal punishment models, because the needs of youth are different from the needs of adults. Our review highlights research that has verified that the brains of adolescents don't mature until young adulthood or the late twenties, resulting in adolescents preferring to engage in risky behaviors that have a high probability of immediate reward but can have harmful consequences. Despite these differences between youth and adults, our research did not find evidence for splitting the LA Probation Department. In fact, our site visit to New York demonstrated that maintaining a single department with separate adult, juvenile, and administrative operations allows for useful coordination and collaboration between juvenile and adult operations as well as the necessary autonomy and flexibility to serve youth and adults appropriately.

RDA found that the current district model in the LA Probation Department, instituted under a previous Chief of Probation, has resulted in an organizational structure that has many components operating in silos, which hampers information flow. Communication gaps are particularly severe in two areas: between administrative functions and operations and between management and line staff.

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[6] The Probation Department has had the same formal mission in place since 2007; nonetheless, many staff report regular Board motions and leadership turnover fostering constant changes in focus and direction.

Since the beginning of 2017, the LA Probation Department has begun streamlining its executive structure for overseeing client-related functions toward an agency-model. Under this model, responsibilities are divided between Assistant Chief Sheila Mitchell, who oversees juvenile operations, and Assistant Chief Reaver Bingham, who oversees adult operations. Both are overseen by Chief Probation Officer Terri McDonald and supported by a common administrative infrastructure. RDA recommends building out the agency model in LA County. Assistant Chiefs of Juvenile and Adult Services would directly oversee Bureau Chiefs and Directors who are responsible for operations in each of the County's five districts. Two Bureau Chiefs in each district would directly oversee adult operations and juvenile operations. Under each Bureau Chief there would be Directors who are responsible for specific elements of client service delivery for adult and juvenile services, respectively. This model would streamline processes and provide an organizational structure where there is oversight and alignment of Department operations, as well as the flexibility necessary for developing innovative, geographically specific services, based on identified needs of youth and adults who are under community supervision and living in these areas.

Data Capacity

RDA's *Review of Best Practices in Probation* highlights the importance of probation departments using data to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices in order to help promote positive organizational- and client-level outcomes. Best practice also suggest that any organization concerned with the quality and impact of its services should have a set of measurable goals to collect data on, and also hold regular meetings to assess the data and decide what practices to change, maintain, and/or amend in order to meet goals. Our *LA Probation Department Assessment* revealed that data is not used in this manner within the Los Angeles County Probation Department. The Department uses 46 different data systems to manage clients, staff, contracted providers, and a range of other information. Of these 46 systems, 25 are operated by the Department and 21 are systems operated by other county departments or vendors but accessed by Probation. Many of these systems are electronic document systems, not databases from which data can be extracted. Across data systems, there is a limited ability to link data and limited data sharing with other county departments, which reduces data utility and creates a number of challenges across all levels of staff. In addition to the lack of extractable data and linked data, the LA Probation Department's outdated data systems and insufficient resources for IT staff, staff training, and systems upgrades impede its ability to make data-driven decisions. In particular, the Department has a limited capacity to track client outcomes, making it difficult to ascertain whether or not programs are working.

Staffing, Hiring, and Training

A well-functioning and productive organization has staff with the skills and experience necessary to further the organization's objectives. Therefore, job descriptions, hiring practices, accountability and performance management structures, and high-quality training programs for staff development must all align with the organization's mission, vision, and values.

Staffing

RDA's *Model Jurisdiction Report* highlighted the fact that staffing decisions should reflect the values, mission, and vision of a probation department (and this mission should emphasize client well-being and partnerships with the communities, as well as principles of social and correctional case work and evidence-based supervision practices), and that data should be used to inform staffing decisions such as workload and performance management, as well as promotion.

In a number of jurisdictions such as New York City and Solano County, RDA found that job requirements are in alignment with the department's mission, vision, and values. In Solano County, for example, job requirements for senior probation officers include the knowledge of evidence-based practices; principles of social and correctional case and group work; family systems theory; child development; and behavior and motivational theories. Entry-level deputy probation officer requirements include knowledge of principles, practices, and techniques of communication; interviewing, counseling, resistant-defensive behavior, personality theory and self-image, and stress and change theory; and self-awareness-objectivity techniques for understanding others and personality types. All qualifying candidates in Solano County must exhibit specific communication and social skills that allow them to work effectively and fairly with all clients, and job descriptions specifically calls for candidates that are able to learn how to "deal firmly and fairly with offenders of various socio-economic backgrounds and temperaments."

Both Solano and Multnomah Counties take a data-driven approach to workload distribution, regularly reviewing caseload sizes to ensure that workloads are evenly distributed to the greatest extent possible. Supervisors in Solano County also meet with their staff individually on a quarterly basis, using data to review staff performance. If there are any performance issues, a performance improvement plan is developed and staff meet more frequently with their supervisor, and a member of the quality assurance team observe interactions with clients and provides feedback that aligns with training staff receive on Effective Practices in Community Supervision (EPICS) and motivational interviewing.

Currently, job descriptions within the LA Probation Department do not reflect the values, mission, or vision of a Department whose main purpose is to further client well-being and reduce recidivism. Existing job descriptions instead emphasize the enforcement of law and public safety. In addition, the current MOU between the Department and AFSCME Local 685, the bargaining unit that represents DPOs—and the largest of the Department's four bargaining units—includes a number of agreements that do not reflect best practices or put clients' needs at the center of the LA Probation Department's staffing practices. These include the inability to transfer staff to lateral positions that align with appropriate human resource allocation; the 56-hour work schedule for Local 685 staff working at juvenile camps; and, the requirement that all probation officers start their careers as youth correctional workers.

Hiring

RDA's *Review of Best Practices in Probation* indicated that hiring, promoting, and retaining POs should be based on merit, competitive oral and/or written examinations, and experiences demonstrably related to the skills required to perform the work, and that probation officers with the right education, skills, and experience are most likely to establish clear roles and expectations with clients, model pro-social and

supportive behaviors, and achieve the best client and community outcomes. Our review also highlighted that job descriptions should emphasize client well-being, principles of social and correctional case work, evidence-based supervision practices, and community engagement rather than law enforcement and public safety. Additionally, recruitment practices should target a wide range of qualified candidates, including ex-clients and others with lived experience in the criminal justice system, and background checks should balance liability concerns with the flexibility and timeliness required to successfully hire the most qualified candidates.

RDA's *LA Probation Department Assessment* found that the Department faces many challenges with recruitment, starting with a lack of dedicated resources to define whom the Department should hire, clarify and align job descriptions with the mission and vision, and attract appropriately qualified candidates. The LA Probation Department loses qualified candidates due to an unnecessarily extensive background check process and a lengthy hiring process, as well as insufficient communication with job candidates during the

> *"[The hiring process] has become so protracted that individuals who are skilled are not going to sit around twiddling their thumbs. They're only going to wait so long and there are other [agencies] that are interested in them and then we end up losing people."*
>
> *- Department Staff*

process. Additionally, when the LA County Department of Human Resources evaluated the Probation Department's recruiting and hiring practices, it recommended that the Department include and specifically target recruitment from military organizations as part of its recruiting strategies, since those individuals are more likely to pass the organization's background investigation. This recommendation begs the question of whether the primary quality for an ideal probation officer is to pass a background test, or to possess certain characteristics that would lend themselves to performing the job well. Interviewees from all levels of the LA Probation Department, intersecting county agencies, and CBOs all voice similar concerns regarding the Department's failure to identify the qualities of an ideal probation officer. Similarly, there is a shared sense that until the Department identifies who the ideal probation officer is, its recruitment efforts will remain unnecessarily unsuccessful.

Training

During our site visit to New York City, probation staff we spoke with expressed that, in accordance with best practice, all probation officers and clerical staff who interact with clients undergo a full 40-hour week of all-day trainings to meet state requirements, plus additional ongoing training continuing over several months. Probation staff in New York City receive training in motivational interviewing, community engagement, cultural competency, and trauma-informed care, as well as training focused on their key agency drivers that reflect the organization's mission, vision, and values. While initial trainings that staff receive were described as valuable by probation staff in New York, they described the ongoing coaching they receive upon completion of mandatory training as the most important element of their training model. After officers receive training on developing case plans (called Individual Action Plans), for instance, they also receive subsequent field-based coaching where trainers go to each office for a week, with the first two days comprised of group training followed by three days of individual coaching.

RDA's *Review of Best Practices in Probation* also highlighted that staff trainings should be formally evaluated to ensure fidelity, relevance, and quality. Moreover, in addition to conducting trainings, probation departments should also identify staff who are proficient in evidence-based practices and subject matter areas listed above; assign these staff to mentor and coach other staff in these methods; and, create an environment of appreciation and recognition of these staff.

Findings from our *LA Probation Department Assessment* indicate that staff achieve required training both when they join the Department and on an ongoing basis in LA County. However, while the LA Probation Department offers a wide range of ongoing training, more training and continuous coaching is needed both in technical functions, such as data systems and writing court reports, as well as in topics related to client wellbeing and supervision, such as mental health, trauma-informed care, and positive youth development. The absence of official transfer training programs (for staff transferred within the Department to different positions) often results in unofficial training from colleagues or supervisors, which takes them away from dedicated workloads and creates inconsistency across different facilities and offices as well.

Client Service Delivery

RDA's *Review of Best Practices in Probation* highlights that probation departments across the country are under transformation and implementing new strategies and processes, including evidence-based practices and community partnerships. Simultaneously, they are placing increased emphasis on client well-being, rehabilitation, and youth development as a means for promoting public safety.

Structured Decision Making

One of the most important shifts in the way probation departments are working with individuals under community supervision has been the implementation of SDM—an evidence based, data-driven, research-based approach to inform how individuals are supervised in the justice system. When used across a department, SDM guides supervision intensity, response to compliance and violations, and youth dispositional recommendations. SDM is intended to create a more effective, consistent, and fair justice system, as well as facilitate greater efficiency and smarter resource allocation by directing more resources towards the highest risk clients who pose the greatest risk to public safety while reducing—or eliminating—contact with low risk individuals who do not need it.

Model probation agencies are using SDM to explicitly focus on harm reduction by supervising only those who need to be supervised, for only the amount of time they need to be under supervision, and by relying more on incentives like shortening probation terms for good behavior, rather than sanctions like revocation and incarceration. In New York City, SDM was implemented to guide supervision practices, make placement decisions for adjudicated youth, and reduce the actively supervised population to only those who can benefit from it. Probation officers utilize validated risk and needs assessment tools in order to identify the criminogenic risks and needs of individuals on Probation as well as inform their case planning efforts and supervision intensity. During our site visit we learned that risk scores also play a large role in the City's SDM process that was rolled out within juvenile operations in 2012 to more effectively and fairly make placement decisions for adjudicated youth. Based on 2016 data provided by New York

City's Department of Probation, the use of placement has been significantly reduced as a result of implementing SDM. In Maricopa County, low-risk cases do not report in person, and some low-risk cases go unsupervised (with conditions attached that they must successfully complete). Individuals can also earn time credit and early termination from probation. For each month in compliance with their case plan and community service hours, individuals receive twenty days credit (some populations are excluded from this policy, including individuals convicted for sex offenses). Additionally, if an individual is in compliance with the conditions of his/her case plan for a sustained period, the Maricopa County Probation Department will go back to court and seek termination of the case, and the judge grants termination in the vast majority of these cases.

Our *Review of Best Practices in Probation* highlights research reflecting the shifting juvenile justice paradigm acknowledging that youth should be diverted from formal processing to the greatest extent possible. Wayne County's Juvenile Services Division is a great example highlighted in our *Model Jurisdiction Report* of a county relying largely on prevention and diversion programs to provide services for youth. Prevention programs in Wayne County eliminate court contact for at-risk youth altogether, while diversion programs provide court-involved youth an opportunity to stop further penetration into the juvenile system. Each year in Wayne County, thousands of cases that previously resulted in detentions, petition filings, and placements are now handled through referrals to Youth Assistance Programs, and recidivism has dropped from above 50% in 1999 (prior to implementing Youth Assistance Programs) to 16% during the 2013-2014 fiscal year.

Our assessment of the LA Probation Department found that while the Department is shifting its approach to focus more on client well-being and move toward the greater use of structured decision-making based on validated assessments and evidence-based practices, a lot of work is needed to fully implement these processes. Challenges with data systems and insufficient training in structured decision-making, assessments, and case management must be addressed to support a more systematic approach to client services in LA County.

> *"A lot of things are just given to us without quality training, so how can we provide quality work? And that's probably why the LARRC is not being used the way it should be – people view it as just another thing to get done. [Managers] won't answer how to explain this to our client or use the scores to inform or analyze the risk of the minor. We don't use them at all."*
>
> *- Department Staff*

Our *LA Probation Department Assessment* also found that too many low risk clients are currently supervised, including youth who are not court-involved but work with probation officers pursuant to Welfare and Institutions Code § 236. This practice is contrary to a shifting juvenile justice paradigm, which recognizes that youth should be diverted from justice involvement to the greatest extent possible. Client relationships with probation officers in LA County also vary greatly based on the individual probation officer, and different probation officers—and different probation units—have very inconsistent approaches to working with clients. Some officers are clearly rooted in a positive development and social work approach, while others are much more concerned with compliance issues. Additionally, there are

not enough services funded to meet the needs of the client population, and accessing the services that are funded is challenging due to insufficient information about these services, geographic distribution of services that does not align with clients' communities, and communication gaps within the LA Probation Department and between the Department and providers.

Community Partnerships

As a result of costs savings that resulted from the implementation of SDM and a decision not to actively supervise low risk cases in New York City, resources have been redistributed to support rehabilitative services, client well-being, and community partnership. During our site visit to New York we were able to visit two NeONs, community-based probation offices located in the communities where the largest numbers of youth and adult probation clients live, which were quintessential examples of a probation offices promoting client well-being and community partnership. To strengthen relationships with local community residents and organizations, a community planning steering committee that included a religious leader, local business owner, law enforcement representative, and formerly incarcerated individuals and their family members, was established to assess local needs across communities, identify the types of programs and services to bring into the community, develop and score RFPs, and assess the effectiveness of intervention strategies.

The NeON we visited in the Bronx looked nothing like a traditional probation office; instead, the physical environment was consistent with what one would expect to see in a community resource center. The Bronx NeON was designed to be physically welcoming, and in order to create the beautiful space, New York City's Department of Probation had to transform the office by removing bullet proof glass and rows of industrial chairs, painting walls, installing artwork, replacing waiting area chairs with colorfully-painted benches and tables, and building a small stage for performances and presentations, etc. At the Bronx NeON (as well as others) probation clients can check-in on computerized kiosks, meet in-person with their POs, and access services and programs through extensive partnerships with community-based organizations and public agencies. The NeON offers a broad suite of on-site services to meet basic needs as well as education, employment, art (NeON Arts), mentoring (Arches Transformative Mentoring), mental health, substance abuse services, and even a food pantry, run by a former client.

Our *LA Probation Department Assessment* found that the LA Probation Department has strong partnerships with some county departments and public agencies to support client service delivery, including extensive collaboration with the Office of Diversion and Reentry (ODR), Department of Mental Health, and the LA County Office of Education to support youth in custody and a strong partnership with ODR. However, there is much work ahead to develop a full system of care. While the Department has strong relationships with these departments, this is contrasted by very poor relationships overall with CBOs, and a mutual distrust of one another. Despite wanting more services for their clients, many DPOs express very little confidence in the efficacy or quality of CBO services. Conversely, many CBO staff convey limited confidence that DPOs are committed to client wellbeing. Though recent changes have created improvements, CBO leadership express great frustration with a lengthy contracting process and arduous monitoring process. Until recently the Department did not take advantage of processes used by other departments to expedite funding for services, such as master service agreements or partnerships with

foundations. This contributed to an oft-repeated concern among community members that Probation does not hold the well-being of individuals under community supervision as a priority.

Facilities

To the greatest extent possible, probation departments should minimize the number of youth placed in juvenile facilities, work to divert youth from pre-adjudication detention, and minimize post-adjudication out-of-home placements. If youth are incarcerated, they should remain in the communities where they live (or near where they live) so that they remain close to their prosocial supports and their lives are interrupted to the least extent possible. At a minimum, facilities they are detained/placed in should be clean and safe and offer youth appropriate living conditions. Facilities should not look like jails; instead they should be developmentally-appropriate environments conducive to the rehabilitative goals of the probation department.

Location

RDA's *Review of Best Practices in Probation* highlights that juvenile facilities should be located in close proximity to youths' prosocial supports (parents, other supportive family members, and mentors) in order to ensure ongoing connection to positive social influences during confinement. As described in our *Model Jurisdiction Report,* this was the key goal of NYC's Close to Home Initiative. Previously, young people who had been adjudicated as juvenile delinquents were placed in facilities hundreds of miles away, where it was difficult for them to visit with their families, remain connected to their communities, or earn school credits. Under Close to Home, young people are placed in or near the five boroughs, close to an array of resources that can support their rehabilitation and their safe re-integration into local communities in facilities no larger than 20-beds.

RDA's *LA Probation Department Assessment* found that while a majority of the County's juvenile halls are located in the county's urban core and in the western part near Sylmar, the majority of camps are located on the outer edges in less populated areas. This means that adjudicated youth who are likely to spend longer periods of time in custody than youth in juvenile hall are, contrary to best practice, not likely to be in close proximity to their prosocial supports while they are confined.

Juvenile Detention and Placement Facilities

RDA's *Review of Best Practices in Probation* suggests that to the greatest extent possible, all juvenile facilities should be designed after the Missouri model, a model associated with substantially lower recidivism rates compared to conventional juvenile custody practices. Our review of jurisdictions implementing best practices found that New York City's Leake & Watts Non-Secure Placement Program, Washington D.C.'s New Beginnings Youth Development Center, and Santa Clara County's Williams F. James Boys' Enhanced Ranch Program (launched during the tenure of Assistant Chief Sheila Mitchell) each integrated components of the Missouri model to the greatest extent possible.

The Missouri model is characterized by a homelike and non-correctional physical environment with programming and trauma informed staffing inside the facility, as well as parent-family engagement

bridging the facility and the community. As is the case at New York City's Leake & Watts Non-Secure Placement Program, and Santa Clara County's Williams F. James Boys' Enhanced Ranch Program, the physical environment of juvenile facilities should include carpeted, warmly appointed dorm rooms containing 10-12 beds, with a dresser and closet space for each youth; pods containing living rooms, couches, and coffee tables; and, policies that allow youth to dress in their own clothes rather than uniforms, have time for recreational activities, and keep personal mementos in their rooms. All treatment and developmental programming should be trauma-informed; delivered by well-trained, well-supervised, and well-supported staff; and address prosocial skill development, academic or vocational instruction, work readiness, and work experience.

RDA's *Review of Best Practices in Probation* also found that youth should receive continuous case management and a continuum of services to address identified needs, including but not limited to education, medical care, mental health treatment, translation services, and access to religious services, as needed and required by law. Additionally, all institutional staff, including educators, should implement positive behavior supports by establishing 3-5 clear behavior expectations that are positively stated (e.g., "everyone treats everyone else with respect," or "we all support each other to be our best selves"); consistently teaching and modeling these behavior expectations; formally, regularly, and positively acknowledging youth when they display desired behavioral expectations and engage in established routines; and, forming and sustaining supportive rather than coercive relationships with youth. Finally, institutional staff should create a safe environment by providing sufficient staffing and supervision, as well as safeguarding against triggers that are likely to result in conflicts, violence, and injury.

RDA's visits to LA Probation institutions revealed that there is wide variation in the physical infrastructure of different juvenile facilities as well as in the programs and services available. Juvenile halls, in particular, are run down, and in some cases, beyond repair and a danger to youth, while many halls and camps are organized in barracks styles that are not consistent with best practice. Youth speak of punitive environments characterized by

> *"When I was coming up through the hall, we didn't have any resources besides the church. All I learned in the hall was fighting and gangbanging, and the same with the school. Nothing went on but fighting and gangbanging."*
>
> *- Youth*

"prison-like" conditions in many county facilities, and staff in many facilities report very low morale, which impedes their ability to work effectively with young people. The recent opening of Campus Kilpatrick is an indicator of the LA Probation Department's interest in improving the layout, approach, and services in its juvenile facilities, and the camp closure plan also indicates a commitment to shifting resources to community-based services. Nonetheless, the County of Los Angeles has a long way to go if they are to become aligned with best practice across the County.

Fiscal Operations

While there are not identified best practices for fiscal operations in probation, there is an emerging body of research identifying participatory management approaches as best practice, as well as other promising

practices that inform how probation departments can circumvent bureaucratic hurdles to establish community partnerships.

Participatory Management Approaches

RDA's *Model Jurisdiction Report* describes a participatory management framework as best practice where staff has more opportunities to partake in decision-making that relates to their own work and working conditions. Reinventing government under a participatory management framework means envisioning new roles for public sector leaders to include:

1. Developing a clear vision;
2. Creating a team environment;
3. Empowering and communicating with employees;
4. Putting clients first;
5. Cutting red tape; and
6. Creating clear accountability.

Our review of participatory management approaches to fiscal management suggests that implementing these practices can transform the culture of probation to be more inclusive of staff in decision-making processes, helping to reduce employee stress, increasing job satisfaction, and reducing turnover.

RDA's *LA Probation Department Assessment* found that the LA Probation Department does not take a participatory management approach, and that while its budget has grown by $75 million between 2012/13 and 2015/16, several grant-specific fund balances have increased dramatically within that timeframe because money is not making it into the community. The LA Probation Department's Financial Services Division is comprised of separate teams for Budget, Fiscal, and Procurement, and the Contracts Section is within the separate Contracts and Grants Management Division. The inability to draw down certain funds appears to be at least in part due to limited collaboration between the functions within the Fiscal Service Division, as well as siloes between Fiscal Services functions, program or operational divisions, and the Contracts and Grants Management Division. While each section or team demonstrates ownership and pride over their "piece" in the process, line-level staff express that fiscal operations are "opaque" and inaccessible to them. Fiscal Management and Contracts and Grants Management report directly to the Administrative Deputy, and while these teams' leaders attend monthly manager meetings to establish clearer lines of communication, this information sharing is not adequately filtering down to mid-level managers or line staff. While there is strong communication within and management of each of these fiscal units, greater collaboration across units would support better integration of their operations. In addition, while fiscal and budget staff offer birds-eye-view reporting across juvenile, adult, and administrative operations, neither one delivers program-specific reporting to individual operations within adult and juvenile services, and staff lack opportunities to partake in decision-making that relates to their work.

Community Partnerships

RDA identified a range of practices employed by various jurisdictions as means of more effectively partnering with the communities they serve and presented them in some depth in our *Model Jurisdiction Report*. These practices demonstrate that solution-oriented strategies help jurisdictions circumvent bureaucratic requirements and realize their goals and objectives. One strategy we identified is to develop agency-to-agency partnerships. Public-private partnerships can also provide an effective means for reducing barriers in contracting and procurement processes, although they are more difficult to approach and take political buy-in and leadership to achieve. Another way to formally partner with the private sector is through master contracting with a CBO that can more easily distribute funds to the community or subcontract to other CBOs. Formal and informal initiatives should be taken before and after an RFP is issued to promote community partnerships and encourage CBOs to participate in the bidding process.

Our assessment of LA County Probation's fiscal practices demonstrate that the separation of budgeting, procurement, contracting, fiscal management, and other administrative functions inhibit their ability to effectively communicate critical budget information to operational staff or contract for services in the community. Program requests to Budget, Procurement, or Contracts filter up through the chain of command rather than through inclusive and transparent conversations with executive decision-makers. Program directors that are responsible for implementing client-based services, for example, often do not have updated information from the Budget Section, and cannot, therefore, make informed decisions about what services to request through the Contracts Section.

There is a wide communication gap between program operations and Contracts, and no effective processes by which fiscal functions collaborate on the back end to deliver client-oriented administrative services. As a result, significant administrative delays and bottlenecks prevent Probation from getting allocated community funds into service contracts. Firewalls between each fiscal area create an environment

"If they want to work on authentic partnerships, they have to get out of the comfort zone, become visible, and create spaces in the community for conversations with CBOs. These are the CBOs' and the community's kids, and they want the best for them. They want a voice in how their youth are being served."

- Community Partner

of dysfunction and bureaucratic loops for employees from every corner of probation, and the LA Probation Department has significant work ahead to develop authentic community partnerships with CBOs across the County.

While budgeting for a large public agency that draws on net county costs, dedicated revenue streams for specific programs or populations, one-time growth funding, etc. is inherently complicated, this should not preclude efforts for greater communication and transparency about fiscal processes and decision-making. How funds flow throughout the Department should be information that is used as the basis for vertically integrated work sessions surrounding either budget planning, quarterly budget review meetings, or other venue for sharing information about the Department's use of public funds.

Full Set of Recommendations

Organizational Structure

1. Re-organize into an agency model with centralized administrative functions that support separate juvenile and adult client service operations.
    a. Re-organize all client service operations under separate juvenile and adult divisions, allowing for specialized training and approaches within each division.
    b. Organize all juvenile field services and separately all adult services within regions and re-assign human and fiscal resources to regions based on client populations.
2. Centralize and strengthen administrative functions to support service delivery by:
    a. Establishing a data and research unit, creating a recruitment unit within Human Resources, and integrating and centralizing fiscal functions.
    b. Investing in improved data collection systems and processes.

Mission, Vision, and Values

3. Create and publish a client-focused, forward-thinking, mission, vision, and values statement for the LA Probation Department.
    a. Take the interim step of adapting the mission, vision, and values of a model jurisdiction to create a shorter time frame to secondary steps.
    b. Initiate a collaborative process including the Board, staff community, and key stakeholders to develop a new mission, vision, and values statement.
    c. Embed the resulting mission and vision into operations and processes in all documents and communicated messages.
4. Align structures, processes, and protocols with mission and values. In alignment with mission and vision:
    a. Update and /or revise administrative documents and materials such as:
        i.   Website
        ii. Job descriptions and recruitment materials
        iii. Performance evaluations
        iv. Data collection plans
        v.   Requests for Proposals and evaluation efforts
        vi. Procurement evaluation criteria
        vii. Staff trainings and their supervised results
    b. Assess operations and service delivery to:
        i.   Redefine the job of the PO to focus on rehabilitation and referrals
        ii. Ensure least restrictive placements are consistent with public safety and youth development.
        iii. Expand community services and supports for individuals on probation
    c. Revisit administrative and fiscal functions and accountability structures to:
        i.   Expedite disbursements of funds into the community

      ii.   Be responsible stewards of public funds by reinvesting funds saved from reduced Probation populations into community services.

5. Implement accountability plan tied to data-driven performance management structure throughout the Department to reflect the refined mission and vision.
   a. Implement performance measures for department, divisions, and units in alignment with the refined mission and vision
   b. Develop timelines, processes, and structures
   c. Identification of responsible parties for ensuring acceptable attainment of performance measures and accountability
   d. Communicate with frequency and transparency regarding each step. This includes the following:
      i. Hold regular accountability meetings to review measures and outcomes
      ii. Submit key performance metrics to Board of Supervisors at regular intervals
      iii. Develop quality assurance/ monitoring policies for all assessment tools and structured decision-making processes including checking overrides and assessing for racial disparities
      iv. Ensure staff use validated tools by integrating into performance measure criteria

Community Partnership

6. Facilitate a planning process that engages residents and institutions in communities with large numbers of probation clients in order to align with local service delivery system with the needs and resources in these communities. This includes site design and service planning.
7. Increase Department's ability to contract with local organizations by providing training and technical assistance to CBOs who serve the client population and establish a community capacity-building fund.
8. Expand and improve community services via a planning process that works with residents and institutions in areas with large numbers of probation clients. This includes:
   a. Expand AB 109 service access so that these services are available to all adults on probation
   b. Continue and expand efforts to disburse funds via master service agreements and partnerships with foundations
   c. Redefine the job of both juvenile and adult probation officers so that their main responsibility is to directly connect clients to needed services, supports, and opportunities supporting positive change
9. Develop community-oriented probation field offices akin to NeON by:
   a. Identifying the best geographic locations within each region based on
      i. Probation population density
      ii. Transportation opportunities
      iii. Consultation with community stakeholders
   b. Renovating existing field offices to create community-orientated probation offices that reflect input of the communities and the Department's commitment to rehabilitation.

    c.   Identifying opportunities to co-locate neighborhood-based probation sites at other CBOs, non-profits, or community centers and train staff to work alongside community partners.

Structured Decision Making

10. Implement structured decision-making throughout the LA probation Department beginning with the implementation of the juvenile dispositional matrix.
    a. This will require elimination of the pre-plea report and implementation of a post-adjudication risk assessment.
11. Adopt risk-based supervision based on validated risk assessment tools, and graduated responses to compliance and violations.
12. Incorporate tools into electronic client data management systems and their use should be built into DPO training and job descriptions.
    a. Incorporate risk tools and SDMs into Department's improved data system to create a dashboard that managers can easily view to assure staff are adhering to the tools and not over-supervising or over-incarcerating.
    b. Limit DPO's ability to override the recommendations of tools.
    c. Require supervisors to review and approve most overrides and all recommendations for returns to custody for supervision violations.
13. Reduce contact with low risk clients and clients who are demonstrating success in complying with their supervision terms.
    a. End probation services to at risk youth currently serviced via WIC §236
    b. Do not actively supervise any juvenile or adult clients assessed as low risk
14. Reduce supervision terms for successful youth and adult clients by:
    a. Stepping down supervision active to banked caseloads after a year of compliance and achievement of case plan goals
    b. Working with the Court to establish criteria for early termination

Juvenile Facilities

15. Continue making progress towards aligning the Department's approach to juvenile facilities with established best practices by shutting down older facilities and replacing them with small home-like locations within communities where most of the population lives.
16. Continue to reduce the number of youth that are placed in facilities and develop alternatives set in communities including smaller rehabilitation-based home models.
17. Work with the CEO's Master Planning Unit to completely overhaul Central Juvenile Hall (CJH) by:
    a. Shutting down sections unfit for housing young people or temporarily close CJH
    b. Temporarily transfer youth to another facility such as Barry J. Nidorf and Los Padrinos Juvenile Halls while CJH is completely renovated.
    c. Renovating the facility to create a humane and therapeutic environment.
    d. Consideration of the other two juvenile halls after completion of renovation.
18. Improve juvenile programming, services, and education inside juvenile halls by:

a. Transitioning each remaining camp into a small, home-like campus that has education and rehabilitation as its focus, modeling after Missouri's successful juvenile system.

b. Strengthening incentive-based behavior management systems for youth and reward facility managers and unit supervisors who can reduce critical incidents and increase school attendance.

Staffing, Hiring, Training

19. Align staffing, hiring, and training with revised mission, organizational structure, and approach.

20. Improve recruitment and hiring practices necessary to attract and hire high quality candidates by:
    a. Establishing a recruitment unit to lead recruitment efforts and coordinate with HR and background investigations to ensure consistent communication
    b. Revising job descriptions to focus more explicitly on client services and evidence-based practices, as well as to highlight the importance of skills such as communication and use of data
    c. Establishing MOUs with local colleges and universities that allow social work, human services, and/or criminal justice programs to create probation field placements for students that will create a pipeline of candidates
    d. Reevaluate the background check process, including eliminating credit checks and revising policies prohibiting prior justice system involvement

21. Renegotiate agreement with AFSCME 685 to address staffing, hiring, and training issues including:
    a. Restoring the Department's ability to transfer staff to lateral positions to meet the needs of the Department and its clients
    b. Eliminating the 56-hour work schedule at juvenile camps
    c. Making changes to the DSP/DPO hierarchy and process so that staff who excel in working in juvenile facilities can be promoted in that role while staff who are better suited to community-based work do not have to start in juvenile halls
    d. Allowing the Department to promote the most qualified candidate within a Civil Service band instead of mandating the promotion of the most senior person

22. Establish a more robust performance management system that evaluates and promotes staff based on clearly defined metrics tied to its mission.

23. Commission a workload study to determine staffing needs and support the most appropriate distribution of staff across units and divisions.

24. Make additional changes in its approach to and provision of training. These includes:
    a. Establishing policies that require staff to receive training in new functions prior to starting a new position
    b. Developing a training institute similar to the Inter-University Consortium at the LA County Department of Children and Family Services
    c. Establishing a leadership institute to continue to develop senior and middle management
    d. Increasing the number of trainings in client well-being topics such as trauma informed care and positive youth development and in technical functions such data entry and interpretation

Data/IT

25. Prioritize investments in IT and data systems that can simplify the process of data extraction and provide real-time data via dashboards to assess key performance indicators on an ongoing process by:
    a. Investing in upgrading ISB-developed data systems, purchasing new data systems, and engaging in public-private partnerships to develop new data systems
    b. Examining what other counties and states are doing in relationship to partnering with large private sector companies to meet their IT and real time data needs

26. Establish a Research and Evaluation Unit (REU) with a minimum of 10-15 staff that can serve as a bridge between ISB staff and programs/operations staff. The REU can:
    a. Work with operations staff to help define the Department's research, evaluation and reporting needs
    b. Work with ISB to ensure that data systems and reporting align with these needs
    c. Establish data collection processes and quality assurance (QA) processes
    d. Work with outside researchers, including contracted researchers and a local inter-university research consortium (IUC) to analyze program, unit, and system data based on the Department's research and evaluation needs

27. Align REU unit with the Department's data collection and reporting processes to research and evaluation needs. To do so, the REU should start by mapping current data systems and reporting to actual data and research needs. This would require two concurrent steps:
    a. Assess current data collection and analysis systems and processes by:
        i. Inventorying all data systems, including ISB operated systems, contracted systems, and "offline" data tracking tools developed by staff;
        ii. Assessing the quality of data entry in each system; and
        iii. Inventorying current reports produced by ISB and by individual units/divisions, including frequency of production, intended audience, and ease of attainment
    b. Identify unit-specific and Department-wide data and research needs by:
        i. Working with executive management to establish Department-level evaluation questions and data needs;
        ii. Working with each unit and division to establish evaluation questions and data needs; and
        iii. Identifying metrics for unit-specific and Department-wide evaluation questions and data needs

28. Establish an IUC to support the Department's research and evaluation needs. To do so, the REU, in partnership with executive management should:
    c. Identify funding to support the initial development of an IUC and IUC analyses, and convening representatives from area universities with criminal/juvenile justice research centers.
    d. Identify a lead university, based on knowledge and capacity; establish a governance structure; and identify projects and research needs for which the IUC can partner with the Department.

Appendix A. Juvenile Dispositional Matrix

Los Angeles County Probation Department
Juvenile Dispositional Matrix

		Offense Severity*			
		Very High	High	Moderate	Low
Risk Level	**High**	**1** • DJJ	**2** • Camp Placement • Suitable Placement (residential facility 6 + months) • DJJ	**3** • Camp Placement • Suitable Placement (residential facility, 6 months or less)	**4** • Probation Supervision** – High Risk Case Load • Probation Supervision – General Supervision
	Moderate	**5** • DJJ • Camp Placement • Suitable Placement (residential facility 6 + months)	**6** • Camp Placement • Suitable Placement (residential facility, 6 months or less) • DJJ (for VH Sev. Off.)	**7** • Probation Supervision** • Suitable Placement (Local Group Home less than 6 months)	**8** • Probation Supervision – General Supervision • Informal Probation (w/o wardship) or DEJ • Banked Caseload
	Low	**9** • DJJ • Camp Placement • Suitable Placement	**10** • Probation Supervision** • Suitable Placement (Local Group Home less than 6 months) • DJJ (for VH Sev. off. w/ prior)	**11** • Informal Probation (w/o wardship) or DEJ (6 months or less) • Banked Caseload (less than 6 months) • Probation Supervision – General Supervision (no more than 10 months)	**12** • Informal Probation (w/o wardship) or DEJ (6 months or less) • Banked Caseload (3 months or less)

Please see Offense Severity Key on next page for list of specific offenses in each category.

**Probation Supervision in the community augmented by a continuum of services and supports.*

Los Angeles County Probation Department
Juvenile Dispositional Matrix
Offense Severity Key

For the purposes of the Disposition Matrix, in general, High severity offenses are those found in the California Welfare and Institution Code (WIC) section 707 (b); Moderate severity offenses are all other non-707 (b) felonies; and Low severity offenses are all misdemeanors. Each category has a few exceptions described below.

Very High Severity Offenses:

- PC 187: Murder
- PC: 664/187: Attempted Murder
- PC: 261: Forcible Rape
- Deliberately injury someone by shooting them with a fire arm, covered within PC: 245 (a)(2).

High Severity Offenses:

All WIC 707(b) offenses, except the following, which should be considered Moderate:
- Manufacturing, selling, compounding - drug offense
- Assault by Means Likely to Produce GBI (this offense is a wobbler and not a strike even in adult court)
- Non-weapon Robbery offenses
- Voluntary Manslaughter (No malice)

The following Non-707 (b) felony offenses are included in the High Severity Offense Category:
- Sex Offenses Listed within PC 290.008 (c)
- Felony Sexual Battery (This charge is not on the PC 290.008 c list of sex offenses)
- Rape by Artifice PC 261 (a)(5) (This is not on either WIC 707 (b) or PC 290.008 (c))
- Gross Vehicular Manslaughter Vehicular Code section 192 (c)(1)

Moderate Offense Severity:

All Non-707 (b) Felonies, except those identified as High Severity offenses above, and the following, which are to be considered Low:
- All theft offenses (including PC 10851 other Felony Theft Crimes)
- Possession of drugs offenses
- 2nd Degree Burglary 2nd degree 459

Los Angeles County Probation Department
Juvenile Dispositional Matrix

- All Misdemeanors
- The Non-707 (b) Felonies identified as Low Severity offenses above.

Overrides:

In all cases, the Probation Department may assess the details of an individual case and determine that a specific offense should be categorized one level higher or lower. Any such override must have the approval of a supervisor. If there is legitimate reason to override this matrix by two levels, that must be approved by a Deputy Chief or higher ranking official within the Probation Department.

For instance, felony offense PC 626.10 Knife on School Grounds, may need to be treated as a Low severity offense on a case-by-case basis due to the prevalence of children bringing knives to school as a response to being bullied and having never used or threatened the use of the knife.

Additional guidance and assumptions

Assumptions:

- First time juvenile offenders, except those adjudicated for Very High Severity offenses will not be eligible for DJJ or Camp.
- Low Risk youth, with High Severity offenses and have three or more prior offenses will be assumed to be sent to Camp. (Although 3+ priors will rarely be assessed as low risk).
- Low Risk youth with Very High Severity offenses may be sent to Camp or DJJ.
- Youth age 16 & 17 who are charged with PC 187 will be transferred to adult court.

Guidance:

- In general, the least restrictive option should be prioritized with consideration of public safety and youth well-being

This Disposition Matrix is for the use of the Los Angeles County Probation Department and is used to guide disposition recommendations made to the court.

Attachment A. 120 Day Status Report

LA Probation Governance Study

120 Day Status Report

Prepared by:

Resource Development Associates

February 7, 2017

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Table of Contents

Executive Summary

This 120-day report provides an interim update on project progress, including activities completed to date, initial findings, and preliminary recommendations. Moreover, this report, coming one-third of the way into the implementation of the Governance Study, is intended to ensure that the Board, Chief Executive's Office (CEO), Probation Department, and other entities invested in the implementation and impact of this project remain active partners to this effort and have the information necessary to ensure the project aligns with the County's goals and objectives. Table 4 presents a summary of activities to date.

Table 1. Summary of Project Activities Completed

Activity	Date Completed
Phase I: Project Launch and Discovery	
Project Kickoff Meeting	Sept. 20, 2016
Review and Analysis of Existing Reports and Documentation	Sept. 21, 2016–Nov. 30, 2016
Preliminary Meetings with Project Stakeholders	Sept. 21, 2016–Oct. 27, 2016
Launch Project Advisory Committee	Nov. 30, 2016, Jan. 11, 2017
Finalize Project Workplan	Dec. 6, 2016
Phase II: Best Practice Research	
Begin Best Practice Literature Reviews	Dec. 2016–Jan. 2017
Phase III: Assessment of LA Probation Structure and Operations	
Submit Request for LA Probation Department Client Data	Dec. 6, 2016
Review Probation Client Data Systems Adult Probation System (APS) and Probation Case Management System (PCMS)	Dec. 21, 2016

Review of Existing Research, Reports, and Recommendations

Over the past three months, the RDA Project Team reviewed more than 100 existing reports and documentation related to the structure and operations of the LA County Probation Department to gain insight into (1) how the Department currently operates; (2) what other research, reports, audits, and assessments have identified as the Department's strengths and challenges; and (3) the Department's stated goals and objectives, and plans for achieving those.

Table 2. Examples of Documentation Reviewed

Document Type	Sample of Documents Reviewed
Current Operations	Probation Department Policies and Procedures Manuals
	Job descriptions
	Organization charts
Investigative Reports	Internal Audits (Auditor-Controller's Office)
	External Audits (Consultants)

	US Department of Justice (DOJ) investigation findings, settlement agreements, and monitoring reports for camps and juvenile halls
External Research and Evaluation	Juvenile Probation Outcomes Study
	Rising Up, Speaking Out
	JJCPA Evaluations
Planning Documents	Probation Department Strategic Plan 2015-2018
	Comprehensive Multi-Agency Juvenile Justice Plan
	LA County AB 109 Implementation Plan

Preliminary Meetings with Stakeholders

Between September and October 2016, members of the RDA Project Team sat down for more than 30 face-to-face discussions with approximately 50 Los Angeles County Probation Department stakeholders. See Table 7 for an inventory of stakeholders interviewed.

Table 3. Preliminary Interview Participants

Stakeholder Group	Meeting Participants
County Leadership	Board of Supervisors Offices
Probation Department Executive Management	Interim Chief Probation Officer
	Administrative Deputy
	Dep. Chief Residential Treatment
	Dep. Chief Facilities
	Dep. Chief Field Services (2)
	Dep. Chief Professional Standards
	Chief Information Officer
Unions Representing Probation Department Staff	AFSCME Local 685
	AFSCME Local 1967
	SEUI Local 721
	SEUI Local 721/BU 702
Legal System Agencies	Presiding Judges, Supervising Judges, Court Executive Officers
	Alternative Public Defender's Office
	District Attorney's Office
	Public Defender's Office
Partner Public Departments	City of LA Gang Reduction Youth Development Program (GRYD)
	County Office of Education
	Dept. of Health Services
	Dept. of Children & Family Services
	Dept. of Mental Health
	Sheriff's Department
Community-based Organizations	LA Regional Reentry Partnership Steering Committee
	United Healthcare Housing Partners
Justice Reform Advocates	ACLU of Southern California
	Children's Defense Fund – California

	Urban Peace Institute
	Youth Justice Coalition
Research Partners	Dr. Denise Herz and Ms. Kristine Chan
	Children's Data Network
	County Executive's Office's Research and Evaluation Services

Preliminary Findings and Recommendations

Preliminary Findings

The following findings, based on activities to-date, are preliminary and will continue to evolve as we dive deeper into Probation Department operations over the next several months.

- ➢ **Strategic Vision.** Stakeholders report a varying sense of purpose or strategic vision for the Department.
- ➢ **Organizational Culture.** There does not appear to be a culture or process for acknowledging the hard work and achievements of individual employees or of the Department as a whole, which makes staff feel defensive and underappreciated.
- ➢ **Communication.** There is a desire for intentional and regular messaging from leadership to provide an organized and articulated vision for the Department and appreciate staff for their hard work.
- ➢ **Staff Shortages.** Understaffing impedes the Department's ability to carry out a number of tasks and implement recommendations raised in previous reports, in addition to lowering staff morale due to staff feeling unsupported.
- ➢ **Operational Inefficiencies.** Hiring, contracting, procurement, etc. appear to move extremely slowly, reducing the availability of staff and service providers to work with clients
- ➢ **Data and Evaluation.** The Department is still working to fully define how to use data and data systems for case management, supervision, and evaluation**.**
- ➢ **Lack of Implementation of Previous Recommendations.** There has been slow progress in addressing many of the core issues delineated in existing studies and audits.

Preliminary Recommendations

As with the findings, the recommendations provided here are based on our preliminary analysis of Department processes and operations. They are not comprehensive and will be built upon over the course of this project.

- ➢ **Strategic Planning**. The Department needs to definitively define a core strategic mission and vision, express it broadly and frequently, and use that unified strategic vision to drive all of its efforts to address other issues described.
- ➢ **Client Service Delivery**
  - o **Unified Systemic Planning for Juvenile Operation.** The County should convene an ongoing stakeholders group to fully analyze and plan for juvenile and transition aged youth (TAY) services. The Department should work collaboratively with the foundation

community, including and especially the Annie E. Casey Foundation, to retain consultants and form a collaborative decision making process with key stakeholders to comprehensively assess and plan for its juvenile service needs.

- o **Assessments and Planning.** Replace the current risk assessment tools with evidence-based, validated tools that measures risk and needs, and spell out circumstances when they may be overridden. If not already in place, develop and implement juvenile and adult Response Matrixes to provide graduated sanctions and rewards that respond consistently, appropriately, and developmentally to behavior.
- o **Community-based Services.** Expedite the disbursement of funds for community-based services—especially those that have gone unspent—including Youthful Offender Block Grant (YOBG), Juvenile Justice Crime Prevention Act (JJCPA), Title IV-E Waiver and SB 678.
- o **Adult Services.** Expand the availability of services offered by AB 109 programs to all adults on active supervision (there is no rule or statute prohibiting this).
- o **Voluntary Probation.** Examine the use of "voluntary"/WIC 236 supervision. Clear criteria, measurable outcomes, and monitoring of its use should be systematically reported.

➤ **Organizational Culture**
- o Begin a system-wide practice of appreciative inquiry and asset identification.
- o Develop an intra-agency communications plan and process.
- o Establish a regular Probation Department newsletter that can be distributed on a monthly or bi-monthly basis to provide updates and appreciations and a brief intranet page to provide updates to staff.
- o Develop and promote a schedule of organizational events, including optional trainings for sworn and non-sworn staff, as well as other events for employees to engage with each other across the Department chain-of-command.

➤ **Staffing and Hiring.** Prior to making recommendations to streamline and simplify the background check process for new job applicants, we should understand what the current process is, how it is implemented and where bottlenecks occur.

➤ **Data Collection and Use.** Expedite the process of purchasing or developing a modern data system for adult probation client. At the same time, the Department should establish clear guidelines around required data entry for juvenile and adult clients and ensure that all staff—including line staff, managers, supervisors and executive staff—review this data on an ongoing basis.

Next Steps

Key next steps include:

- **Identification of Best Practices and Model Jurisdictions**
  - o The Project Team will identify best practices in key domains as identified through preliminary data collection activities, including 1) Organizational systems and management in probation and community corrections; 2) juvenile probation service delivery models; and 3) adult probation service delivery models.

- o   Through our research into best practices, the Project Team will identify a series of jurisdictions that are implementing practices that may be adapted and/or adopted in LA County.
- **Assessment of Practices and Processes Currently in Use in LA County.** The Project Team has begun collecting qualitative and quantitative data in order to document and assess the Probation Department's juvenile and adult service delivery models.
- **Facilities.** The Project Team will work with the Probation Department, CEO, and juvenile court partners to understand and analyze County decision-making processes regarding youth out-of-home placement. We will work with these partners to develop a structured decision-making process for serving and supervising youth.
- **Staffing.** The Project Team is currently in the process of assessing Department policies, procedures, and processes regarding recruitment, hiring, training, and promotion for sworn and non-sworn staff.
- **Management and Leadership Practices.** The Project Team will identify best practices in management and leadership as they pertain to probation agencies and other types of public agencies. We will compare and contrast currently management practices and leadership methods with those.
- **Fiscal.** Through an analysis of Department and County fiscal documentation, we will assess Department fiscal operations and expenditures

Conclusion

Over the past several years, numerous reports, audits, assessment, etc. have delineated a lengthy—and very impressive—list of recommendations for improving the LA County Probation Department. Given the repeated recommendations for improvement, we believe it is important to focus on operational processes and to ensure that future recommendations are considered in light of the entire system. Each step of the next phase of this study will incorporate a focus on obtaining an understanding of systemic operational processes.

Introduction

On Sept. 20, 2016, Resource Development Associates (RDA) and the County of Los Angeles Chief Executive's Office (CEO) and Probation Department kicked off the LA County Probation Governance Study, a 12-month project intended to assess the structure and operations of the LA County Probation Department (the Department) in relation to best practice and based on that assessment, to make recommendations for improvements. Stemming from a motion put forth by Supervisors Mark Ridley-Thomas and Sheila Kuehl and amended by Supervisors Hilda Solis and Don Knabe, this project will assess the strengths and weaknesses of the Probation Department's current structure, including examining 1) budgets and funding sources, 2) staffing, 3) facilities, and 4) operations, in particular the efficacy of those operations for serving both juvenile and adult populations. In addition, this project will 1) document best practices in the field of probation supervision and service delivery; 2) identify local, national, and international model jurisdictions against which to compare the Department's structure and operations; and 3) make recommendations regarding whether the Department would better serve clients from different age groups if it were divided into separate departments for juveniles and adults and, if so, where transition aged youth (TAY) would be best served.

120 Day Report

This report provides the LA County Chief Executive's Office and the Board of Supervisors with an interim update on project progress, including activities completed to date, initial findings, and preliminary recommendations. Moreover, this report, coming one-third of the way into the implementation of the Governance Study, is intended to ensure that the Board, CEO, Probation Department, and other entities invested in the implementation and impact of this project remain active partners to this effort and have the information necessary to ensure the project aligns with the County's goals and objectives. Table 4 presents a summary of activities to date.

Table 4. Summary of Project Activities Completed to Date

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Launch Project Advisory Committee	November 30, 2016
Finalize Project Workplan	December 6, 2016
Phase II: Best Practice Research	
Begin Best Practice Literature Reviews	December 2016–January 2017
Phase III: Assessment of LA Probation Structure and Operations	

Submit Request for LA Probation Department Client Data	December 6, 2016
Review Probation Client Data Systems (Adult Probation System (APS) and Probation Case Management System (PCMS)	December 21, 2016

As this table evidences, two of the central components of the launch of this project were 1) reviewing and analyzing existing reports and documentation and 2) conducting preliminary meetings with project stakeholders. Both of these activities are critical for project success for a number of reasons. First and foremost, over the past decade or so, the LA County Probation Department has been subject to intense scrutiny, including two separate US Department of Justice (DOJ) settlement agreements with ongoing monitoring, multiple internal and external audits, and both County-contracted and independently sought evaluations of Department programs and services. In this context, it is important that this project understand the work that has come before to ensure that we build upon this work rather than duplicating it. Moreover, because the majority of prior reports and recommendations have focused on particular aspects of the Department's operations rather than on a comprehensive assessment of the Department, this project represents a unique opportunity to integrate these disparate analyses into one place, identify patterns that may have been missed previously, and allow for a broader set of findings and recommendations.

It is important to note that, as of the writing of this report, the RDA project team has not yet conducted our own assessment of Probation Department structures and practices. Thus, we see this report and the analysis herein not as final and conclusive, but rather as a critical starting point for our assessment. In particular, we cannot yet determine the extent to which issues or concerns raised in past reports still exist, or whether and to what extent prior recommendations have been implemented. Our assessment of how the Department measures up to best practices and our identification and analysis of systemic problems will shed light on these issues in the coming months. [1]

Review of Existing Research, Reports, and Recommendations

Over the past three months, the RDA Project Team reviewed more than 100 existing reports and documentation related to the structure and operations of the LA County Probation Department to gain insight into (1) how the Department currently operates; (2) what other research, reports, audits, and assessments have identified as the Department's strengths and challenges; and (3) the Department's stated goals and objectives, and plans for achieving those. Documents included department policies and procedures, external reports and evaluations, internal audits, and department plans. The bulk of the documents were provided by the Probation Department in response to a document request. To supplement the Department's compiled documents, the Project Team also sought guidance from project

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[1] We appreciate the feedback and additional information that Probation staff have provided to our initial review of previous studies and reports. This information will support our efforts and help inform our research in the next stages of this study.

stakeholders regarding important background documentation and conducted our own internet search to identify additional reports and news media articles.

Table 5. Examples of Documentation Reviewed[2]

Document Type	Sample of Documents Reviewed
Current Operations	Probation Department Policies and Procedures Manuals
	Job descriptions
	Organization charts
Investigative Reports	Internal Audits (Auditor-Controller's Office)
	External Audits (Consultants)
	US Department of Justice (DOJ) investigation findings, settlement agreements, and monitoring reports for camps and juvenile halls
External Research and Evaluation	Juvenile Probation Outcomes Study
	Rise Up, Speak Out!
	JJCPA Evaluations
Planning Documents	Probation Department Strategic Plan 2015-2018
	Comprehensive Multi-Agency Juvenile Justice Plan
	LA County AB 109 Implementation Plan

In addition to familiarizing the Project Team with the unique context and circumstances facing the Probation Department, the document review was particularly valuable in helping situate this project within the past and current Departmental assessments. Though extant reports do not necessarily reflect current conditions, learnings from past audits and evaluations provide a useful foundation from which this project can build. Additionally, pinpointing which previous recommendations for improvement have or have not been successfully implemented and why, we can help ensure that this project's recommendations are actionable and effective.

Using the domains delineated in the Governance Study Board Motion described above as our guiding framework, the Project Team analyzed documents within the following domains: client service delivery model, facilities, staffing, and fiscal operations. In addition, because obtaining data on Department clients and services are central to this project, we added the additional domain of Data/IT. This section presents a summary of key findings within each domain along with a summary of prior recommendations.

It is important to note that many of these reports and audits were requested in response to a perceived or documented deficiency within the Probation Department's structure or operations. For example, DOJ Monitoring Reports were intended to address documented civil rights violations within the County's juvenile halls and camps, while many of the internal and external audits were intended to further examine reported issues with the Department's processes such as use of funds, hiring, etc. As a result, the findings presented in these reports and summarized below are overwhelmingly negative and point to a need for reform. This should not be interpreted to mean that there are not high quality people and practices in the Department. To the contrary, despite the largely negative findings described below, through the course of our work to date, it has become clear that, across LA County—both within the Department and from

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[2] See Appendix B for an inventory of all documents reviewed by the evaluation team.

the outside—there is a deep commitment to establishing a model Probation Department that provides high quality services for and supervision of clients and life long career and learning opportunities for its staff. One of the primary goals of this project is to leverage on this commitment and identify strengths that the Department can build on moving forward. Nonetheless, as our findings below indicate, there are a number of long-standing issues for the Department and County to address.

Client Service Delivery

The Probation Department has approximately 430 independent or joint contracts with agencies providing an array of human and social services to juvenile and adult populations, as well as contract services that support the Department's needs.[1] This includes 71 contracts with community-based organizations, in addition to a variety of other social service agencies, and contracting services to meet Departmental needs. There is limited information documenting the programs and services available to individuals on probation, particularly for adults. The bulk of information on adult programs is from AB 109 reports, however, these services are not available to all individuals under adult probation supervision.

As of March 31, 2016, there were about 7,000 people on post-release community supervision (PRCS) under AB 109.[2] These individuals receive risk assessments using the LS/CMI and, when appropriate, Department of Mental Health (DMH) staff conduct behavioral health assessments and the Department of Public Health, Substance Abuse Prevention and Control (DPH-SAPC) staff conduct substance abuse assessments. There are 12 providers that offer substance abuse services at 75 locations across the county.[3] DMH offers a range of mental health services and HealthRight360 provides housing and employment services. Other AB 109 programs include:

- Breaking Barriers, a collaboration between DHS and Probation that provides housing, treatment, employment, and case management services;
- COIN, a residential co-occurring treatment program with a capacity of 20; and
- the Skid Row Homeless Pilot Program, a collaboration between Probation and the Los Angeles Police Department that undertakes operations to stop drugs from entering Skid Row and provides treatment outreach twice per month.[4]

Outside of AB 109 programming, the Back on Track Los Angeles pilot program—a collaboration between the California Attorney General's Office, Probation and the Sheriff's Department—provides jail-based and community-based reentry services for adults.

For youth in-custody programming and services, Department of Justice investigations found insufficient mental health care services in both the juvenile halls and camps, and insufficient educational services, medical health care, and rehabilitative programming in the juvenile halls.[5] Additionally, a 2010 federal class-action lawsuit alleging that the rehabilitative and educational programs at Challenger youth probation camps were constitutionally deficient led to a settlement agreement that included an action plan to bring about systematic educational reform in the camps.[6] The Department has been found in full compliance with provisions in the DOJ and class action settlement agreements, but recent audits indicate that Probation is not meeting all of its training requirements in juvenile halls or complying with

rehabilitation and behavior management policies and staff training requirements in the camps. In regard to camp reentry, a Camp Community Transition Program was put in place over two years ago, but youth and youth advocates cite a need for more resources to assist with youth reentry.[7]

Juvenile Justice Crime Prevention Act (JJCPA) programs, many of which are offered by DMH and community-based organizations, fit into three categories: enhanced mental health services, enhanced services to high-risk/high-need youths, and enhanced school- and community-based services.[8] Annual evaluations of these services found slightly more positive outcomes for JJCPA program participants than comparison youth,[9] although these evaluations have been the source of significant controversy and the Juvenile Justice Coordinating Council (JJCC) and Probation Department recently revised their expectations for evaluating JJCPA-funded programs and services.

With the exception of JJCPA programs, there are limited evaluations of programs and services. In particular, there is virtually no information about programs and services—or a general service delivery approach—for individuals under adult probation supervision unless they are AB 109 populations.

Last, there are opportunities to improve Probation's contracting practices. A 2015 contracting audit completed by the Department of Auditor-Controller indicated that, overall, the Department is in compliance with County policies and procedures regarding contracting. However, they found that Probation's scoring categories were very broad, thereby diminishing the transparency and objectivity of the scoring process.[10] Additionally, Probation did not always document the reasons for certain decisions, such as how they chose which references to contact, why evaluators changed their scores, and why sole source contracts were necessary.[11]

Previous Client Services Recommendations

Almost all program and service recommendations focus on youth, suggesting a greater emphasis on juvenile, rather than adult programming despite the fact that the Department has four times as many adults under supervision, compared to youth.[12] In addition to the DOJ recommendations outlined in the facilities section, other program-related recommendations include creating an integrated treatment system for all youth in camps[13] and increasing the availability and diversity of programs offered in camps.[14]

In particular, a number of reports recommend increasing the amount of vocational training and life skills programs available to youth in camps and those out of custody.[15] Reports also advise expanding or adding programs like dialectical behavior therapy (DBT), life skills, parenting programs, family therapy, celebrations of birthdays, and credit recovery.[16] Based on interviews with youth in camps, one report recommended starting a mentorship program and changing the emphasis of substance abuse programs from abstinence to more engaging discussions about addiction and recovery.[17]

To better serve youth, a number of reports recommended increasing interagency collaboration, particularly with CBOs, to provide stronger support services to youth in camps.[18] To support camp-to-community reentry, one report recommends creating a position of care coordinators to help youth access resources while they are in the camp and upon release.[19]

Facilities

Over the last fifteen years, the US Department of Justice (DOJ) has investigated, and subsequently monitored LA County's juvenile halls and probation camps. DOJ investigations found the conditions of the halls and camps to violate youth's rights in regards to medical and mental health care, protection from harm, and rehabilitative programming.[20] As a result of these investigations, LA County entered into a settlement agreement with DOJ that included ongoing monitoring of agreed-upon reforms from 2004-2009 in the juvenile halls and 2008-2014 in the camps. Upon conclusion of DOJ monitoring, the County was in full compliance with each settlement's requirements. However, recent Auditor-Controller reviews have found that Probation is not consistently meeting its staff training requirements in juvenile halls or complying with rehabilitation and behavior management policies and staff training requirements in the camps.[21]

Other reports and evaluations document similar concerns to the DOJ investigation findings, such as regimented, boot camp-like procedures in camps and widespread use of punitive approaches as behavior management including excessive use of force, pepper spray, verbal abuse, and group punishments.[22] One recent sign of progress, due to a May 2016 Board of Supervisors' motion, is the end of juvenile solitary confinement. All special housing units are in the process of being redesigned to Healing Opportunity and Positive Engagement (HOPE) Centers.[23]

A number of external reports highlight ongoing issues within Probation's juvenile halls and camps. Various reports identified safety and hygiene concerns within facilities.[24] For example, the 2015-16 Civil Grand Jury report described Central Juvenile Hall, a 100-year-old facility, as "deplorable and unacceptable for human inhabitance," though they did not find any problems in other two juvenile halls.[25] Youth reported unsanitary conditions in camp bathrooms, with limited access to meet their personal hygiene needs (e.g., three-minute showers, low-quality hygiene products, disposable paper underwear for girls).[26]

Partially due to the remote location of most camps, youth had limited communication with family when they were detained in facilities. In camps, phone calls and visits were limited to once per week, and could be taken away as punishment.[27] In juvenile halls, the 2003 DOJ investigation found that youth received inconsistent access to telephones.[28]

The facility design of juvenile halls and camps does not support rehabilitation. Large open dorms "can foster competition, deepen factions and further gang problems,"[29] creating an environment that feels unsafe for youth.[30] To address these issues, Camp Kilpatrick[3] will have a smaller, rehabilitative home-like environment with a small group treatment model.[31] Known as the LA model, there is hope that the design and treatment-approach in Camp Kilpatrick will positively influence the other camps and the whole Probation Department.[32]

Last, there is indication that Probation is not making risk-based detention decisions. The Los Angeles Detention Screener (LADS) only classifies a small proportion of youth as high risk, but Probation

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[3] It is likely that Camp Kilpatrick will be renamed.

consistently overrides this score. While some overrides are done in order to comply with mandatory detention criteria or court orders, the DOJ found that other detention overrides appeared arbitrary and/or inconsistent, which has resulted in the detention of low and medium-medium risk youth.[33] The final DOJ camp monitoring report, from February 2015, included an evaluation of LADS and found that "Although the County completes the LADS for each youth brought to a juvenile hall, it has virtually no bearing on the detention decision that is eventually made."[34]

Previous Facilities Recommendations

The DOJ juvenile hall investigation report concludes with 66 remedial measures to address deficiencies in the areas of mental health care, juvenile confinement practices, medical care, education, safety and sanitation, and quality assurance.[35] The DOJ camp investigation's list of 17 remedial measures span the areas of protecting youth from harm, suicide prevention, and mental health care.[36] In both reports, recommended measures focus on the development or improvement of programs, policies, and procedures to meet youths' needs. These measures were incorporated into the DOJ settlement agreements, with which the Department achieved full compliance.

Through focus groups with youth who spent time in probation camps, a youth policy brief identified five key ways to improve probation camps: Increase availability and diversity of programs; foster mentorship and supportive relationships with probation officers; cultivate the dignity of youth at camp through increased privacy, cleanliness and nutrition; increase connections with family and community; and improve camp discipline and management procedures.[37] Many of these recommendations—particularly around cleanliness and privacy in the restrooms, food quality, family visitation, and group punishments—are echoed in a recent report based on interviews with 104 youth in camps.[38]

In regards to risk-based detention decisions, the final DOJ camp monitoring report from February 2015 recommended convening key stakeholders to discuss the LADS evaluation's findings, creating a plan to address main issues, and then monitoring LADS overrides monthly. After the override rate is lowered, they recommend conducting an outcome study to document the effect on public safety.[39]

Staffing and Hiring

The Probation Department has approximately 6,600 budgeted positions and more than 80 facilities across the county, including 24 area offices and a number of pretrial service locations, day reporting centers, AB 109 offices, and juvenile halls and camps.[40] Approximately 70% of staff are sworn.[41]

Numerous reports pointed to staff vacancies and understaffing, particularly in facility classifications for entry-level positions such as Detention Services Officer (DSO) and Group Supervisor Night (GSN).[42] As noted in the DOJ investigations, lack of sufficient staffing in facilities results in inadequate supervision in the juvenile halls and camps.[43]

A key contributing factor to Probation's understaffing is the Department's inability to recruit and hire qualified candidates efficiently. A recent review of Probation's hiring processes found that it takes an average of 9-11 months for new recruits to complete the background investigation process in LA County,

as compared to 3-9 months in the benchmark counties of Riverside, Sacramento, Orange, and San Diego.[44] The majority of applicants for sworn positions do not pass the background investigation; the Probation Department's website currently states that "80 percent of candidates who apply for sworn positions fail to make it through the background investigation phase."[45] Additionally, individuals in sworn positions must complete an academy within their first year. In 2014 and 2015, only 76% of candidates passed the academy, compared to 100% of candidates in benchmark counties.[46]

Audits and investigations have found inadequate staff training across a variety of areas including proper use of force, mandated reporting, suicide prevention, and peace officer training.[47] Unmet training needs extended beyond officers alone, to proper administrative training for management in areas such as grants management, budgeting, and ethics.[48]

The staff promotion process lacks transparency and is viewed as unfair by many staff. As noted in a 2010 assessment, "Staff have voiced concerns about the feeling of unfairness in promotions and special assignments, and the feeling that it isn't what you know, but who you know when promotions occur."[49] In a 2012 survey of over 100 Probation managers, only 16 percent agreed or strongly agreed that the promotion of staff is objective and fair.[50]

Numerous reports describe low staff morale. This has been partially attributed to the understaffing throughout the Department, which leads staff to feel unsupported.[51] Other factors leading to low morale include negative portrayals of the Department in the media and a promotion process that is perceived as unfair,[52] as well as poor internal communication.

Communication between management and staff is lacking throughout the Department:

> *…it is apparent that one of the Department's weaknesses is being able to effectively communicate at all levels. The Department's Executive Leadership Team members need to communicate more effectively amongst themselves and ensure that key information to the success of the organization is being communicated throughout all levels.[53]*

Without clear communication or many opportunities to provide input, staff feel disconnected from management and the Department. In the 2012 manager survey, 57% of managers agreed or strongly agreed that decisions were often made without the input of the staff who will be most impacted.[54]

Previous Staffing and Hiring Recommendations

A 2015 audit of Probation's recruitment, examination, hiring, and promotional practices found that the Department's hiring and promotional practices were generally in compliance with County policies and procedures.[55] To improve the hiring process, it recommended that the Department focus on improving its hiring and recruitment practices to address its underqualified staff and staff vacancies at all levels of the department.

Specific recommendations included creating a formal recruitment strategy, requiring some college courses for GSNs, adding steps to the recruitment process to ensure candidates are a good fit, and

reconsidering neighborhood canvassing (a time-consuming process that involves officers knocking on candidates' neighbors' doors to conduct interviews).[56] It also recommended strengthening the Department's internal control processes over hiring by establishing procedures to ensure candidates meet all minimum qualifications and more systematically documenting background screenings and that candidates possess necessary work experience.[57]

Numerous reports emphasized the need to provide adequate training for all staff across the Department, including management teams and staff who work directly with youth and adults. Recommended management team trainings include: strategic planning, performance measurement, budgeting, and organizational management.[58] To provide employees with competency-based training before entering facilities and engaging with youth, reports recommended training in crisis intervention, diversity, working with youth with mental health needs, racial bias, and suicide prevention.[59]

To address low staff morale and increase staff engagement, recommendations included establishing communication mechanisms to periodically provide department-wide updates and share Department successes.[60] To bring about culture change, one report recommends establishing a new governing structure and ensuring that all decision making is transparent and inclusive.[61]

Fiscal

A number of internal and external audits of the Probation Department underscore a range of issues with the Department's fiscal operations, including the lack of fiscal controls, poor grant administration, and management of capital funded projects. A 2014 report by the Auditor-Controller found that the Department failed to comply with the County Fiscal Management (CFM) requirements for establishing and cancelling commitments to vendors.[62] Seventy percent of the commitments reviewed—totaling $1.6 million—should have been cancelled because they were no longer needed, which would have resulted in funds being returned to the County General Fund. This audit also found that the Department did not maintain adequate subsidiary ledgers for trust funds.

A 2015 report identified several issues with Department fiscal controls, including cash handling, trust funds, accounts payable and commitments.[63] For examples, Department staff received cash from clients without providing receipts; area offices did not have a safe to secure funds; there was no accountability system in place to ensure that all monies received were verified by a second party; and receipts were not reconciled by a third party.[64] The report found that donation receipts were not issued to donors when donations were received at the juvenile halls, nor did the Department maintain a complete log or sequential receipt book to track donations received. For example, the Department received a $10,000 donation from a donor in 2009 designated for a scholarship fund, but after 3 years less than $500 of that donation had been expended and the donor requested and received a refund.[65] Additionally, despite the CFM policy stating that multiple individuals observe the intake of client property and cash, staff shortages impeded the ability of Probation to comply with this policy. By not strengthening its cash handling procedures, the Department increased the risk that payments can be stolen or lost during the collection process.

Audits by the County Auditor-Controller's Office and external auditors have investigated the Department's grant administration, particularly the administration of state funds earmarked for client services, such as the Community Incentive Corrections Performance Incentive Act (CCPI or SB 678), the Youthful Offenders Block Grant (YOBG), and the Juvenile Justice and Crime Prevention Act (JJCPA). A 2015 audit by Sjoberg Evashenk Consulting (SEC) noted that for some funding sources, such as SB 678 and YOGB, fund balances have increased by $82 million and $11.6 million, respectively, over the last two fiscal years. In the case of YOBG, the balance increased because funds were not spent due to higher staff vacancy rates resulting in lower cost reimbursement claims, and Probation's use of General Fund revenue instead of submitting claims for allowable program costs.[66]

The audit uncovered numerous instances in which the Department used the General Fund to cover costs that could have been funded through other sources. For examples, when FY 2014-15 YOBG expenditures outpaced annual allocations, the Department used County general funds to cover YOBG costs rather than using the $5.6 million cash fund balance in YOBG trust funds.[67] At the end of FY 2014-15, JJCPA had a $23.3 million cash balance, yet some eligible program expenditures were charged to the General Fund.[68] A 2015 audit of funding of the Department's facilities similarly found that Probation did not submit claims to draw down grant and program funds for reimbursement for SB 678 program costs from the CCPI Fund in FYs 2012-13 and 2013-14. This resulted in the Department using $10.2 million of the county's General Fund monies to fund SB 678 program expenses.[69]

Additionally, there have been significant balances of JJCPA funds that were allocated to community-based organizations (CBOs) that were not spent. In FY 2014-15, of the $28.1 million JJCPA allocation, the Department budgeted approximately $6.7 million for CBOs, but only awarded $6.4 million to CBOs.[70] Of this $6.4 million, the Department only spent $3.2 million on CBOs' services, due to low referrals to services and CBOs' inability to achieve the outcomes required in JJCPA's deliverable-based contracts.[71] As Table 6 shows, in FY13-14 and FY14-15, CBOs only drew down 59% and 54% of their program budgets, respectively. Additionally, over FY 2013-14 and FY 2014-15, the Department used the County General Fund to cover $450,000 of JJCPA CBO expenditures that could have been funded through JJPCA funds (see Net County Cost column in Table 6).[72]

Table 6. JJCPA CBO Allocations and Expenditures[73]

Fiscal Year	CBO Program Budget	Amount Claimed to Grant	Net County Cost	Total Expenditure	% of Budget Expended
FY 2013-14	$6,651,013	$3,644,827	$303,089	$3,947,916	59%
FY 2014-15	$6,393,750	$3,277,786	$147,753	$342,5539	54%

The Department also has a number of critical unfunded capital and deferred maintenance projects. A July 2015 Auditor-Controller audit reported that the Department had $25.8 million in critical unmet needs in FY 2015-16, including a roof replacement at one juvenile hall, generator replacements to address air quality violations, and 28 crucial administrative positions within the Department.[74] Of the $197.5 million needed to support 20 capital projects in FY 2015-16, only $500,000 was funded.[75]

Previous Fiscal Recommendations

To better utilize grant funding streams, the SEC audit recommended the Department better track grant-expenditures, reevaluate CBO contracts and monitoring, and develop spending plans to optimize grant spending.[76] To strengthen Probation's controls over cash handlings, donations, and trust funds, the Auditor-Controller made 35 recommendations around receipt issuance, lock boxes, and internal controls.[77] However, 22 months after these recommendations were shared, only 16 recommendations had been implemented, with an additional 8 partially implemented.[78] For some recommendations, the Department responded that they were unable to comply due to low staffing levels.[79]

In regards to capital projects, the 2015 Auditor-Controller report recommended that the Department work with the CEO to develop better oversight and reporting practices of capital projects and create a plan to fund unmet needs.[80] Since the Department did not forecast beyond the upcoming fiscal year, the Auditor-Controller also recommended that Probation create long-range forecasts, to which the Department responded that it will begin implementing a five-year scorecard.[81]

Data/IT

Probation uses 46 different data systems to manage clients, staff, contracted providers, and a range of other information. Of these 46 systems, 25 are operated by Probation and 21 are systems operated by other County Departments or vendors, but accessed by Probation. Many of these systems are electronic document systems, not databases from which data can be extracted. Across data systems, there is a limited ability to link data and limited data sharing with other County departments, which reduces data utility and creates a number of challenges across all levels of Probation staff. According to Newell and Salazar (2010):

> *It is not only difficult for the leadership in the Probation Department to aggregate and analyze data when it is spread across different intra and inter-County databases, it is also difficult and time-consuming for POs to conduct adequate research on their clients to plan for the appropriate reentry services.*[82]

In some cases, interagency data sharing has been stalled due extremely restrictive interpretations of the confidentiality provisions within federal statutes and regulations.[83] Other California counties share data much more freely and effectively across agencies.

In addition to the lack of extractable data and linked data, the Probation Department's outdated data systems and insufficient resource for IT staff, staff training, and systems upgrades impede the Department's ability to make data-driven decisions.[84] In particular, the Department has a limited capacity to track client outcomes.[85] The absence of outcome data prevents the Department from comprehensively evaluating the effectiveness of its programs, making it difficult to ascertain whether or not programs are working.[86] Client outcomes, including education, employment, community stabilization, and personal growth and opportunity are tracked for the AB 109 population through a web-based data system, the Treatment, Court, Probation eXchange (TCPX) System.[87]

Previous Data/IT Recommendations

Over the past ten years, multiple reports have recommended Probation, often through a taskforce or committee, conduct a capacity assessment of the Department's current data systems.[88] The 2015 Juvenile Probation Outcomes Study recommends the creation of an interagency Juvenile Justice Data Systems Task Force with leadership from DCFS, DMH, DPSS, DHS, judges, and external stakeholders and experts, as well as the creation of a separate taskforce internal to Probation.[89]

A number of reports also recommend that Probation collect more outcome data to better evaluate the effectiveness of its programs.[90] The Juvenile Probation Outcomes Study provides some guidance about the type of individual data that should be collected, which includes elements around risk level, other system involvement, education, mental health, substance abuse, housing stability, family relationships, positive support systems, services, employment, and recidivism.[91] It also recommends collecting program-level data about implementation and adherence to evidence-based practices. [92]

Preliminary Meetings with Stakeholders

Between September and October 2016, members of the RDA Project Team sat down for more than 30 face-to-face discussions with approximately 50 Los Angeles County Probation Department stakeholders. Table 7 provides an inventory of stakeholders interviewed. (Most meetings had more than one stakeholder participant.)

Table 7. Preliminary Interview Participants

Stakeholder Group	Meeting Participants
County Leadership	Board of Supervisors Offices
Probation Department Executive Management	Interim Chief Probation Officer
	Administrative Deputy
	Dep. Chief, Residential Treatment
	Dep. Chief, Facilities
	Dep. Chief, Field Services (2)
	Bureau Chief, Professional Standards
	Chief Information Officer
Unions Representing Probation Department Staff	AFSCME Local 685
	AFSCME Local 1967
	SEUI Local 721
	SEUI Local 721/BU 702
Legal System Agencies	Presiding Judges, Supervising Judges, Court Executive Officers
	Alternative Public Defender's Office
	District Attorney's Office
	Public Defender's Office
Partner Public Departments	City of LA Gang Reduction Youth Development Program (GRYD)
	County Office of Education
	Dept. of Health Services
	Dept. of Children & Family Services
	Dept. of Mental Health
	Sheriff's Department
Community-based Organizations	LA Regional Reentry Partnership Steering Committee
	United Healthcare Housing Partners
Justice Reform Advocates	ACLU of Southern California
	Children's Defense Fund – California
	Urban Peace Institute
	Youth Justice Coalition
Research Partners	Dr. Denise Herz and Ms. Kristine Chan
	Children's Data Network
	County Executive's Office's Research and Evaluation Services

The purpose of these meetings, similar to our review of prior reports and documentation, was to situate this project within the larger context of work related to the Probation Department. Toward this end, we participated in open-ended conversations with County and Department leadership, the four unions representing Probation sworn and non-sworn staff, legal system agencies, public departments whose work intersects with Probation's, community-based organizations that work with Probation clients, local advocates involved in justice system-reform efforts, and researchers who understand the Department's data and data sharing practices. These conversations sought to understand the current strengths and challenges of the Department from the perspective of a diverse range of stakeholders. These interviews are preliminary and will help to direct our formal data collection process over the course of the next several months.

Below is a brief summary of the major themes that emerged across these discussions; like the documentation reviewed above, these themes are primarily organized around the domains delineated in the Governance Study Board Motion, supplemented by several additional themes that emerged from these meetings but did not fit into one of these domains. As the section below demonstrates, many issues raised in these interviews echo findings from the research and documentation review.

Client Service Delivery

Stakeholders offer a number of critiques in the area of client service delivery, especially available community-based programs and services to support client wellbeing and success. Interviewees report that linkages to community-based programs are insufficient, that programs and services within the Department are not rehabilitative, therapeutic, or aligned with what research shows to be effective (best practices and evidence-based practices), that mental health needs of the Department's clients are not being met, and that approaches like school-based probation officers and the use of flash incarceration may indicate that Department programs and services are more invasive than they should be. Others praise the school-based probation officer program as having good outcomes.

Many interviewees, occupying a variety of roles in the probation system, report that there are very poor linkages to services for the reentry and diversion populations, both adult and youth. Some of the reasons identified were that Probation does not hold enough resources with community-based providers through contracts, that there are no systems for referral, that DPOs are not making referrals, and that there are not enough social workers to do this in their place.

Stakeholders also point out that community programs and resources have never been inventoried and mapped, and that there is no clear system for making referrals. A number of stakeholders specifically complained about a highly onerous bidding and contracting process, which prevents CBO services from being contracted with Probation and contributes to the lack of linkages and the poor usage of services available in the community. Once they have contracted, many reported that CBOs find the relationship with Probation to be non-collaborative and the billing and auditing processes unduly cumbersome.

Several staff that work for the Department perceive that probation services are moving toward being more rehabilitative, but also state that this is not happening in a consistent way. Some participants use

language describing trauma-informed care to describe improvements to services, but there is little or no language that describes exposure to or endorsement of risk-need-responsivity model, reducing the level of intervention for low-risk offenders, or targeting criminogenic risk, in general. There appears to be a risk assessment tool being used (beyond the detention screening tool), but few mentioned it, other than to say that they didn't understand it. The perception of stakeholders outside of the Department is that there is generally a lack of rehabilitative or therapeutic orientation in how programs and services are delivered by the Department.

Several stakeholders point to the mental health needs of Probation clients, and indicate that they are not being met. Many perceive that the percentage of juveniles with mental health issues is increasing (including serious mental illness). Adults with mental health needs are also mentioned repeatedly. It is generally perceived that the linkages between Probation and community mental health services are weak, and that mental health needs are likely not being fully met. Furthermore, with reduced use of incarceration for youth, a concern is raised that detention facilities may be becoming de-facto mental health institutions without actual therapeutic services or recovery orientation. For Probation staff, there is some recognition that training in brain science, adolescent development, trauma-informed care, motivational interviewing, cognitive-behavioral interventions, vicarious trauma, and related areas would be useful.

Some stakeholders mention a program for placing DPOs in schools. There is a fair amount of support for this program among those who know about it, and they claim good outcomes documented in a RAND report. Advocates, however, raise the question of net-widening (i.e., that this program may be, in effect, reaching deeper into the community to identify lower-risk youth and increase their likelihood of arrest, when research shows lower-risk youth can actually be harmed by the application of probation programs and services, however well-intentioned).

Many advocates also raised major concerns over LA Probation Department's unique use of "voluntary probation" under the state's Welfare and Institutions Code 236. So-called "236 youth" are placed under supervision even though they have not been adjudicated for any delinquent act and often at young ages. Nearly 5,000 such youth are under supervision in LA County.[93]

For adults, stakeholders point to the over reliance of flash incarceration as problematic. They report that Probation clients are locked up on the spot, without warnings or use of graduated sanctions. This practice keeps people unnecessarily in custody, disrupts any strides probationer clients may be making in terms of employment, education, and treatment programs, and inflates recidivism numbers. It is also inconsistent with best practice research.

There is a sense that the service delivery model is not set up well for diversion. Interviewees report that probation recently took back responsibility for juvenile screening reports from the DA's Office. This has resulted in reduced filings, but some (judges and prosecutors) feel there needs to be a structure for diverting the other cases and supervising misdemeanants. Judges also report that they have little understanding of Probation's pre-trial screening tools. It also seems that there is a dearth of pre-trial diversion programs, and that judges do not often follow probation recommendations in this area.

Facilities

In terms of facilities, stakeholders report that the juvenile detainee population is significantly lower than it has been in any time during the past, so that LA's multiple facilities are all filled to only about 30% of capacity. Several propose closing some of the camps and juvenile halls. A detention screening tool was mentioned, which, if used properly, could reduce reliance on incarceration, although questions arise around consistency in the use of this tool and inter-rater reliability on scoring.

Staffing and Hiring

Staffing and hiring concerns emerged as central in the interviews and discussions. Stakeholders point to an onerous hiring process, a flawed career ladder, and unclear promotional process. The low juvenile population count also raises questions about the department's ability to downshift staffing in tandem with population reductions.

Several people cite high staff vacancy rates—between 700 and 1,000 vacancies—mostly in field Deputy Probation Officer (DPO) positions. They attribute the high vacancy rate to a very cumbersome hiring process, including lengthy background checks in particular. Many are highly critical of the human resources (HR) division within the Probation Department.

According to one interviewee, the Probation Department and contracted CBOs are prohibited from hiring former offenders. It should be noted that this is not consistent with what is recommended by American Correctional Association Performance-Based Standards.

Several interviewees indicate that the career ladder requires that people who are hired must work first in the halls and then the camps to become DPOs. This process does not recognize that the skills for these roles vary considerably. More professionalization of Detention Service Officers (DSO) positions is one proposed solution. Stakeholders suggest that the criteria, qualifications, and educational requirements for Directors are not clear, and that this may be leading to unqualified people being promoted. There was also discussion of the need for educational to professional pathways from local university programs in criminal justice and social welfare (e.g., CSULA, CSULB, UCLA, USC) to probation.

In addition, interviewees indicated that some basic operational functions have fallen behind due to staffing shortages. Some report that the detention services manual is not up-to-date, resulting in differences in perception of what is allowed; for example, in use of solitary confinement and isolation. Since the policy manual has not been updated to reflect the policy that has been officially adopted by the Department many staff continue to follow the old manual and use old practices. Others mentioned that much of the needed training for non-sworn staff simply has not occurred, resulting in clerical errors, which obstruct smooth operations.

It is difficult to accurately state what staffing needs exist. On the one hand, several stakeholders report that staffing shortages impact Department operations, and quality of programs, and services. Conversely, with the reduction in the juvenile hall and camp population, there is a question about whether staffing needs have also been reduced and whether staff have been properly redeployed.

Fiscal

Several of the issues identified in the audits described above were the topics brought up in stakeholder interviews, especially related to the appropriate expenditure of State funds for probation services. Interviewees report that SB 678 funds have not been drawn down to serve the adult population and, on the juvenile side, several stakeholders report that JJCPA money has not been spent (up to $20 million). Some wonder if there are savings from Prop 47 and if there are, if those monies can be used to support better programs. People seem unaware of how various pots of money are being utilized and expressed frustration with perceived staffing shortages given the availability of additional funds. Respondents also expressed concern that the Department was not maximizing opportunities to utilize funds to provide more comprehensive services to clients.

Data/IT

Current data capacity in the department is reported to be very low. Current data practices only track the most basic information, many important pieces of information are not in electronic or automated form, and data systems do not carry the ability to evaluate the impact of anything. The data systems were not designed with tracking outcomes or conducting research in mind. In order to use data for outcomes, and not just case management or court reporting, it is suggested by a number of stakeholders that the department enlist a university partner, and create a unit dedicated to collect and manage data.

Several stakeholders indicate that a better case management data system (or more consistent use of such systems) is needed, and would enable some automation and save time on reports. Many individuals noted that the current data situation makes it difficult for sharing of data among agencies serving the same population (mental health, child welfare, etc.). There is a general desire to see an increased use of electronic data systems, particularly to track outcomes and to automate reports. A need for a research unit in partnership with a university has been identified and a plan/proposal is being developed. Data sharing and mobile data platforms are also named as ways to increase the utility of data in probation. A few people expressed the opinion that a mobile feature would be helpful (especially for field officers) to actually use electronic case management systems.

Department Structure

Several operational issues emerged from the interviews, particularly around the question of splitting the Department into distinct administrations for juveniles and adults. Other operational issues cited include factors that contribute to operational fragmentation, operational barriers to using diversion as a strategy, and basic operational functions that are not current nor aligned with best practices.

In general, we found a lack of support for splitting Probation among people within the Department, while there is considerable support for a split Department within the advocacy community. RDA team members asked stakeholders what they thought might be the advantages and disadvantages of splitting the department into two. The disadvantages most frequently cited of a departmental split are cost and the time and energy it would take to create two departments out of one. The most frequently cited positives

are that the Department and County are enormous by comparison to other counties/departments and that some of the Department's challenges may result from its unwieldy size. There is also concern that the Department is driven by an adult correctional/law enforcement culture that fails to sufficiently attend to the needs of youth as a result. This is exacerbated by how little differentiation exists at a high level in the Department's organizational structure between adult and juvenile services. If the Department were to remain unified, stakeholders recognize a need for greater separation and specialization for juveniles and adults. Many express the opinion that transition aged youth (TAY) would be better served in a single Department that recognized differential needs of young people.

Stakeholders interviewed point to factors that make operations cumbersome. There were several references to the current size of the Department and how it makes managing operations a challenge and also contributes to fragmentation. Some of the stakeholders interviewed feel the division of the Department along Board of Supervisor districts makes operations difficult to manage, and also may contribute to a sense of fragmentation and splitting in perceived management loyalty by staff in district offices.

Overarching Issues

There were a few overarching themes that cut across all categories of this study including commitment to the rehabilitative ideal, the role of the Board of Supervisors, staff morale, the practices and positions of unions, and racial disproportionality.

Feedback provided throughout these initial interviews indicate that there is not a commonly held set of values supporting rehabilitation or treatment as a focus within the Probation Department, and that many in the Department hold a more public safety or even punitive orientation to the work of Probation.

There is widespread agreement among multiple types of stakeholders that the Board of Supervisors "micromanages" the Chief Probation Officer (CPO), and that this is a key factor in the high turnover of chiefs, which has been highly disruptive to positive progress. These stakeholders indicate that the CPO, and therefore the entire upper administrative levels of the organization, are overly reactive to the Board and to various short-term directives, reports, and critiques, and thus have trouble planning strategically.

Many people, from union representatives to outside stakeholders, cite the existence of poor morale within the Department. There is consensus that the Department receives a lot criticism, too much turnover at the top, and frequent commissions and reports, but not a lot of support or recognition of things that go well, either from within the Department or from the Board.

From the perspective of management and some outside stakeholders, there appears to be a good deal of mistrust of unions, a sense that unions are not working as partners, and a belief that they are not focused on building the skills of the workforce. Union representatives themselves express some reciprocal mistrust, but some clearly recognize and articulate that developing worker skills and competencies is in everyone's interests, including those of the unions.

Finally, the data show some acknowledgement (but not much) that the population served is racially disproportionate to the overall population of LA County. The dearth of discussion on this topic indicates that the Probation Department may not have adequate focus or expertise on racial and ethnic disparities.

Preliminary Findings and Recommendations

Findings

Below, we present our initial findings, based on activities to-date. It is important to note that these findings are preliminary and will continue to evolve as we dive deeper into Probation Department operations over the next several months.

Strategic Vision

Probation Department staff, partners, and other stakeholders convey no unified sense of purpose or larger strategic vision for the Department. Despite the Department having developed a new Department Strategic Plan in 2015, only one of the individuals interviewed referenced this plan and, more generally there was limited alignment between the goals set forth in this plan and the stated interested of the stakeholders we interviewed.

Data and Evaluation

While the APS data system for tracking adult probation clients is outdated, the basic problem with the Department's client data and data systems are utilization issues not data system issues. Neither APS nor its juvenile equivalent, PCMS, is utilized to the full extent that it could be to collect data on client supervision and services, nor to report internally or externally on outcomes. The processes for collecting data do not appear to be streamlined, with different staff responsible for entering different information. Some data is collected by DPOs and entered directly into the data systems, while other data is collected on paper and then entered by administrative support staff, increasing the likelihood of error. In addition, there are few mandatory entry fields, limiting the utility of the data for either service delivery or evaluation. There does not seem to be a management practice of holding probation officers accountable for entering data, nor is there a quality assurance (QA) process to review that entry. Finally, while the Department does hold regular PROBSTAT meetings—modeled on the data-driven law enforcement COMPSTAT process—to review data, there are no formally established metrics for review nor documentation of priorities to be assessed via this review process.

Communication

There does not appear to be any consistent communications plan in place within the Department. Without intentional messaging from leadership and mechanisms to communicate there will continue to be morale problems and a lack of adherence to an organized and articulated vision for the Department.

Organizational Culture

Respondents from across the Department hierarchy overwhelmingly commented on the extremely negative organizational culture. Probation Department employees report feeling unappreciated from within the Department as well as from outside, including the Board and CEO. There does not appear to be a culture or process for acknowledging the hard work and achievements of individual employees or of the Department as a whole, which makes people feel defensive and underappreciated.

Operational Inefficiencies

The Department appears to be struggling with certain basic operational inefficiencies. Hiring, contracting, procurement, etc. appear to move extremely slowly, reducing the availability of staff and service providers to work with clients. The contracting process and subsequent contract management is so burdensome as to deter some CBOs from even trying to contract with the Department. The background check process for both is Department employees and contractors is slow moving and unnecessarily onerous.

Lack of Implementation of Previous Recommendations

The large number of existing studies and audits have resulted in only limited changes and, as a whole, the perspective of stakeholders is that the Department is struggling and has not implemented the necessary changes that would make it a model Probation Department. At this juncture, it is unclear why the Department has been unable to address the many issues raised, as discussed below, over the next 8 months, this project will provide a more intensive analysis of these and other issues and provide a roadmap for reform.

Recommendations

As with the findings delineated above, the recommendations provided here are based only on our preliminary analysis of Department processes and operations. These recommendations are not comprehensive and will be built upon over the course of this project.

Mission and Vision

The Department needs to definitively define a core strategic mission and vision, express it broadly and frequently, and use that unified strategic vision to drive all of its efforts to address other issues described. Toward this end, the Department should revisit—and rewrite, if necessary—the mission, vision, and values of the Probation Department to reflect the philosophy and practices of a law enforcement agency in the 21st Century. Sources of models are New York City, Sacramento County, and Riverside County.

Client Service Delivery

Unified Systemic Planning for Juvenile Operations

The County, under the leadership of the Chief Probation Officer, Chief Deputy Probation Officer of Juvenile Services and Chief Juvenile Judge, should convene an ongoing stakeholders group to fully analyze and plan for their juvenile and TAY services, including detention alternatives, post-adjudication placement, field services, assessment and court recommendations, structured decision making, and camps and residential services. The Department should work collaboratively with the foundation community, including and especially the Annie E. Casey Foundation, to retain consultants and form a collaborative decision making process with key stakeholders to comprehensively assess and plan for its juvenile service needs. A similar planning process can and should be enacted for adults on probation as well, but there are more and better examples of the juvenile process in California and nationally so we suggest the county start there and use lessons learned with the juveniles to launch a similar adult services planning process.

Assessments and Planning

Replace the current risk assessment tools—including the juvenile detention screening, post-adjudication juvenile risk assessment, and the felony probation adult risk assessment—with evidence-based, validated tools that measures risk and needs, and spell out circumstances when they may be overridden.

If not already in place, the Department should immediately develop and implement juvenile and adult Response Matrixes, to provide graduated sanctions and rewards that respond consistently, appropriately, and developmentally to youth behavior.

Community-based Services

With the various pots of funds that have grown and gone unspent for years, Probation should expedite the disbursement of funds for community-based services, especially from YOBG, JJCPA, Title IV-E Waiver and SB 678.

The Probation Department should expand the availability of services offered by AB 109 programs to all adults on active supervision (there is no rule or statute prohibiting this).

LA Probation should examine the use of "voluntary"/WIC 236 supervision. Clear criteria, measurable outcomes, and monitoring of appropriate its use should be systematically examined and reported on to determine the future use and place of this practice within the county.

Organizational Culture

Positive Organizational Culture

Begin a system-wide practice of appreciative inquiry and asset identification. There should be processes in place for acknowledging and celebrating both individual staff members and whole units or divisions for their hard work. Every Department employee whom we spoke with—both sworn and non-sworn across the Department hierarchy—expressed a high level of commitment to the Department, its clients, and its services. This is a great asset and needs to be recognized, celebrated, and regularly acknowledged.

Communication

Develop an intra-agency communications plan and process. Executive Management should send regular emails to ALL staff within the Department providing details on the new vision, updates and appreciations. There should also be a brief intranet page created to provide updates to staff and computers can be designed that when they turn on they are directed to this intranet page/site.

Establish a regular Probation Department newsletter that can be distributed on a monthly or bi-monthly basis to provide updates and appreciations; develop and promote a schedule of organizational events, including optional trainings for sworn and non-sworn staff, as well as other events for employees to engage with each other across the Department chain-of-command.

Staffing and Hiring

There is a problem with staffing and hiring. Prior to making recommendations for changes that that will streamline and simplify the background check process for new job applicants we should understand what the current process is, how it is implemented and where bottlenecks occur.

The Department should examine why other county departments are able to hire staff much faster and recruit larger pools of applicants.

Data Collection and Data Use

The Department should expedite the process of purchasing or developing a modern data system for adult probation client. At the same time, the Department should establish clear guidelines around required data entry for juvenile and adult clients, ensure that all staff—including line staff, managers, supervisors and executive staff review this data on an ongoing basis to ensure quality, and report regularly on client progress and outcomes.

Conclusion and Next Steps

As noted above, as of the writing of this report the RDA project team had not yet begun our own assessment of the Probation Department's structures, practices, and processes. While we have not yet verified many of the analyses presented in prior reports and recommendations or the concerns raised by the various stakeholders with whom we met, there is ample evidence to indicate a wide range of problems in the Department's operations. Over the past several years, numerous reports, audits, assessment, etc. have delineated a lengthy—and very impressive—list of recommendations for improving the LA County Probation Department. Given the repeated recommendations for improvement we believe it is important to focus on operational processes and to ensure that future recommendations are considered in light of the entire system. Each step of the next phase of this study will incorporate a focus on obtaining an understanding of systemic operational processes. We also understand that some of these problems may have been addressed prior to this analysis and, where possible, we will look to identify and build upon these changes.

The approved workplan for this study is attached in Appendix A: Probation Governance Study Revised Workplan. Key next steps include:

Identification of Best Practices and Model Jurisdictions

Research and best practices in probation staffing, programs, and interventions

Through targeted literature reviews and interviews with experts, the project team will identify best practices in key domains as identified through preliminary data collection activities, including 1) Organizational systems and management in probation and community corrections; 2) juvenile probation service delivery models; and 3) adult probation service delivery models.

Identify and Inventory Best Practice Jurisdictions

Through our research into best practices, the Project Team will identify a series of jurisdictions across California, the United States, and internationally that are implementing practices that may be adapted and/or adopted in LA County. In particular, we will examine the following elements:

    a.   Mission, Vision, Values
    b.   Staffing (span of control, background checks, credentials, training) and Promotions
    c.   Juvenile Probation Service Delivery Model
    d.   Adult Probation Service Delivery Model
    e.   Leadership Identification and Development Succession planning
    f.   Funding Structure and Fiscal Operations

Assessment of Practices and Processes Currently in Use in LA County

The Project Team is conducting a range of qualitative and quantitative data collection activities in order to document and assess the Probation Department's operations across the domains discussed above. In particular, we focus on the following issues:

Client Service Delivery Models

The Project Team has begun collecting qualitative and quantitative data in order to document and assess the Probation Department's juvenile and adult service delivery models. In particular, we will document the following information:

Juvenile probation service delivery model

- Structured decision making processes for diversion, detention, out-of-home placement, violations, warrants, etc.
- Assessment, case planning, referral, and linkage processes for in-custody and community-based services including:
  - Use of evidence based practices
  - Use of validated assessment tools

o   Use of risk/responsivity principles
- Fit between client location and needs and service location and needs

Adult service delivery model

- Structured decision making processes for violations, revocations, warrants, etc.
- Assessment, case planning, referral, and linkage processes for community-based services including:
    o   Use of evidence based practices
    o   Use of validated assessment tools
    o   Use of risk/responsivity principles
- Fit between client location and needs and service location and needs
- Role in pretrial release
- Role in pre-release planning

Facilities

As part of the project, the Project Team will work with the Probation Department, CEO, and juvenile court partners—including the judiciary, the District Attorney's Office, the Public Defender's Office, and the Alternative Public Defender's Office—to understand and analyze County decision-making processes regarding placing youth out-of-home. We will work with these partners to develop a structured decision-making process for serving and supervising youth in county facilities, in other out-of-home placements, or in the community. Based on this decision-making process and Countywide population trends, the project team will project needed bed-space and make recommendations regarding facility use.

Staffing

The Project Team is currently in the process of assessing Department policies, procedures, and processes regarding recruitment, hiring, training, and promotion for sworn and non-sworn staff. This analysis will include an examination of spans of control, staffing vacancies, and caseloads and workloads for DPOs.

Management and Leadership Practices

The Project Team will identify best practices in management and leadership as they pertain to probation agencies and other types of public agencies. We will compare and contrast currently management practices and leadership methods with those.

Fiscal

Though an analysis of Department and County fiscal documentation including annual Department budgets and County Comprehensive Annual Financial Reports, we will assess Department fiscal operations and expenditures, including:
1. Department Costs:

a. Juvenile Supervision
b. Juvenile Facilities
c. Adult Supervision
d. Administration (including HR, admin, IT, etc.)
2. Use of state and federal revenue streams:
a. Juvenile: JJCPA, Youthful Offender Block Grants (YOBG), Juvenile Probation Camp Funding (JPCF), Title IV-E, Medical claims, collect call funds
b. Adult: SB 678, AB 109
3. Total funding for community-based services within and across different funding streams

Appendix A: Probation Governance Study Revised Workplan

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
Phase I: Preliminary Activities & Project Launch													
1.1 Project Launch Meetings													
1.2 Stakeholder Outreach Meetings													
a. Board of Supervisors Justice Deputies (all 5 Districts)													
b. Interim Chief Probation Officer													
c. Administrative Deputy													
d. Dep. Chief Residential Treatment													
e. Dep. Chief Facilities													
f. Dep. Chief Field Services (2)													
g. Dep. Chief Professional Standards													
h. District Attorney's Office													
i. Public Defender's Office													
j. Alternative Public Defender's Office													
k. Judiciary													
l. LA Regional Reentry Partnership Steering Committee													
m. United Homeless Healthcare Partners													
n. City of LA GRYD													
o. Justice Reform Advocates (ACLU, CDF-CA, Urban Peace Initiative, Youth Justice Coalition)													
p. LA County Office of Education													
q. Department of Children and Family Services													
r. LA County Health Agency													
s. LA County Sheriff's Department													
1.3 Review and Analyze Existing Reports and Documentation													
1.4 Convene Project Advisory Committee													
1.5 Revise and Finalize Workplan			▨	▨									

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
Phase II: Best Practice Research													
A. Research and best practices in probation staffing, programs, and interventions													
2.1 Conduct Literature Reviews on Key Domains			▒	▒	▒								
a. Organizational systems & management in Probation and Community Corrections			▒	▒	▒								
b. Juvenile Probation Service Delivery Model			▒	▒	▒								
c. Adult Probation Service Delivery Model			▒	▒	▒								
2.2 Conduct Key Informant Interviews with Experts				▒	▒	▒							
2.3 Draft Best Practices Report					▓	▓	▓						
B. Identify models that promote identified best practices													
2.4 Identify and Inventory Best Practice Jurisdictions				▒	▒								
2.5 Develop Site Visit Data Collection Tools and Protocols						▒							
2.6 Site Visit Outreach and Coordination						▒							
2.7 Site Visits (Elements for Consideration Below)							▒						
a. Mission, Vision, Values							▒						
b. Staffing (span of control, background checks, credentials, training) and Promotions							▒						
c. Juvenile Probation Service Delivery Model							▒						
d. Adult Probation Service Delivery Model							▒						
e. Leadership Identification and Development Succession planning							▒						
f. Funding Structure and Fiscal Operations							▒	▒					
2.8 Summarize Findings from Site Visits							▒	▒	▒				
2.9 Draft Model Jurisdictions Report								▓	▓				

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
Phase III: Study of LACPD's Current Structure and Effectiveness													
Document LACPD Department Structure													
3.1 Request Probation Department Data													
a. Juvenile Probation Client-level data													
b. Adult Probation Client-level data													
c. eHR Data													
d. Bed Night Cost data													
e. Other Data as identified through project activities													
f. Department & Auditor-Controller's Office Budgets, Funding, Allocations & Expenditures FY 2015-16, FY 2014-15, FY 2013-14 and FY 2012-13													
3.2 Interviews & Focus Groups to Understand Probation Operations													
a. IT Staff													
b. Probation Department HR Staff													
c. Probation Department Contracts and Procurement Staff													
d. DPOs, DSOs, GSNs													
e. District Attorney Staff													
f. Public Defender/ Alternative Public Defender Staff													
g. Dept. of Mental Health													
h. Dept. of Children and Family Services													
i. LA County Office of Education													
j. Clients													
k. Family members													
l. Contracted providers and other providers													

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
3.3 Site Visits to Probation Offices & Facilities					▒	▒	▒						
a. Juvenile/Adult Regional Offices					▒	▒	▒						
b. Juvenile Halls					▒	▒	▒						
c. Juvenile Camps					▒	▒	▒						
d. Day Reporting Centers					▒	▒	▒						
3.4 Review and Analysis of Probation Organizational Documentation					▒	▒	▒	▒					
a. Staff training					▒	▒	▒						
b. Job descriptions					▒	▒	▒						
c. Staff and volunteer background check process					▒	▒	▒	▒					
d. Assessment tools and protocols for use					▒	▒	▒						
e. CBO Contracts					▒	▒							
f. Union Contracts & promotional policies					▒	▒							
g. Contracting and Procurement Process Documentation							▒	▒					
3.5 Process Flow Mapping							▒	▒					
3.6 Draft Report on LA Probation Staffing, Training, Hiring Report							▓	▓					
3.7 LA Fiscal Practice Analysis					▒								
a. Identify annual federal and state revenues, allocations for adults and juveniles					▒								
b. Assessment revenue management, alignment with statutory requirements					▒								
3.8 Draft Report of LA Probation Fiscal Practices						▓	▓						
3.9 Review and Analysis of Juvenile and Adult Client Data					▒	▒	▒						
a. Map client home locations					▒	▒	▒						
b. Assess client risk/need profiles					▒	▒	▒						
c. Analyze current use of facilities for juvenile populations					▒	▒	▒						

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
3.10 Draft Report on Current Use of Facilities								▓					
3.11 Compare Client Locations, Risks, Needs to Service Types and Locations							░	░					
3.12 Facilities Use Analysis					░	░	░	░	░	░	░		
a. Convene Facility Workgroup					░								
b. Workgroup Meetings to Discuss Detention and Placement Policy Decisions						░	░	░	░	░	░		
c. Analysis of Current v. Recommended Facility Use & Cost Implications								░	░	░	░		
d. Report Back to Advisory Committee										░	░		

Activities By Project Month	S	O	N	D	J	F	M	A	M	J	J	A	S
Phase IV: Compare LA Probation to Best Practices/Model Jurisdictions													
Cross-Walk Current LACPD Structure with Best Practices													
4.1 Draft Report on LA Probation Organizational Structure and Systems											▓	▓	
4.2 Compare LA Probation Staffing to Best Practices											▓	▓	
4.3 Compare LA Fiscal Practices to Best Practices											▓	▓	
4.4 Compare LA Facilities Use to Best Practices											▓	▓	
Phase V: Findings and Recommendations													
5.1 Comprehensive Organizational Assessment Report													▓
5.2 Logistics of Proposed Restructuring Probation Department													▓
Ongoing: Communication, Coordination, Project Management													
Project Management and Monthly Project Calls	░	░	░	░	░	░	░	░	░	░	░	░	░
Advisory Committee Meetings			░		░		░		░				
120-Day Report					▓								
Quarterly Briefing of Justice Deputies						░			░			░	

Appendix B. Documents Reviewed

Table 8. Facilities

	Title	Author/ Department	Date
1.	Agreement Between the United States, Los Angeles County, and the Los Angeles County Office of Education; Juvenile Halls	County of Los Angeles	2003
2.	Camp Scott Report Feasibility of Renovating Dorm to Incorporate LA Model for Girls + Young Women	Calvin C, Remington, Interim Chief Probation Officer	September,2016
3.	Casey A: Final TCA Team Report	Technical, Consulting, and Advisory Team; Challenger Memorial Youth Center	May 2015
4.	Casey A: Proposed Settlement Agreement	United States District Court	September 2010
5.	Critical Incident Protocols to Protect Probation Youth		
6.	Department of Justice Settlement Agreement Monitoring Fact Sheet	Department of Auditor-Controller	May 2016
7.	Department of Justice Settlement Agreement Monitoring Fact Sheet	Department of Auditor-Controller	April 2016
8.	Documenting System Change: Kilpatrick Replacement Project	Leap Associates	July 2015
9.	Eleventh Monitoring Report for the Memorandum of Agreement Between the United States and the County of Los Angeles Regarding the Los Angeles County Probation Department Camps	Michael Graham, Lead Monitor	September, 2014
10.	Ending the Practice of Juvenile Solitary Confinement and Establishment of Hope Centers Implementation Plan- Interim Report Back	Calvin C. Remington, Interim Chief Probation Officer	August 2016
11.	Ending the Practice of Juvenile Solitary Confinement and Establishment of Hope Centers Implementation Plan- Second Status Report	Calvin C. Remington, Interim Chief Probation Officer	October 2016
12.	Investigation of Conditions at the Los Angeles County Juvenile Halls, Findings Report	United States Department of Justice	2003
13.	Investigation of Conditions at the Los Angeles County Probation Camps, Findings Report	United States Department of Justice	2008
14.	Los Angeles County Daily Juvenile Camp Population Report	County of Los Angeles	November 2016
15.	Los Angeles County Juvenile Hall Population Report	County of Los Angeles	November 2016

16.	LA Times: Should Probation Split	Superior Court of California, County of Los Angeles Juvenile Division	December 2015
17.	Memorandum of Agreement Between the United States and the County of Los Angeles Regarding the Los Angeles Probation Camps	United States Department of Justice	October 2008
18.	Order Regarding Interviewing and Voice Recording of Delinquent Children	The Board of Supervisors and Probation; Superior Court of California, County of Los Angeles Juvenile Division	February 2016
19.	Parent Handbook	Los Angeles Probation Department Residential Treatment Services Bureau	January 2013
20.	Probation Department Juvenile Halls-Department of Justice Settlement Agreement Monitoring; FY 2013-2014	Department of Auditor-Controller	February 2015
21.	Reforming the Nation's Largest Juvenile Justice System	Michelle Newell, MPP Jorja Leap, PhD	November 2013
22.	Resolution Relating to Solitary Confinement	Los Angeles County Probation Commission	April 2016
23.	Review of Probation Department's Compliance with the Department of Justice Settlement Agreement for the Juvenile Camps	Department of Auditor-Controller	June 2016
24.	Rising Up, Speaking Out: Youth Transforming LA County's Juvenile Justice System	Children's Defense Fund California	January 2015
25.	Rules and Rights Handbook	Los Angeles Probation Department Residential Treatment Services Bureau	
26.	Second Amendment to Memorandum of Agreement Between the United States and the County of Los Angeles Regarding the Los Angeles County Probation Camps	United States Department of Justice	October 2012
27.	Strengthening Critical Incident Protocols to Protect Probation Youth and Promote Accountability	Department of Auditor-Controller	November 2016
28.	Strengthening Critical Incident Protocols to Protect Probation Youth and Promote Accountability- Report Back	Calvin C. Remington	November 2016
29.	Twelfth Monitoring Report for the Memorandum of Agreement Between the United States and the County of Los Angeles Regarding the Los Angeles County Probation Camps	Michael Graham, Lead Monitor	February 2015

Table 9. Fiscal Operations

	Title	Author/ Department	Date
30.	Accept Sixteen Year Grant Funds Under the Juvenile Accountability Block Grant Program- Fiscal Year 2014-15	William T. Fujioka; Chief Executive Officer	June 2014
31.	Approval of Reallocation of Fifth Year Juvenile Justice Crime Prevention Act (JJCPA) Funds and Approval of an Appropriation Adjustment for the Department of Parks and Recreation	Robert B. Taylor; Chief Probation Officer	May 2006
32.	Audit of Probation Department- Welfare and Institutions Code Section 275 (b)	Department of Auditor- Controller	December 2015
33.	California Welfare Institutions Code Chapter 2, Section 275 Audit FY 2012-2013 and 2013-2014	County of Los Angeles Probation Department	July 2015
34.	Community Corrections Performance Incentive Grant Allocations 2015-2016	County of Los Angeles Probation Department	2016
35.	County of Los Angeles, California - Comprehensive Annual Financial Report Fiscal Year Ended June 30,2014	Department of Auditor- Controller	June 2014
36.	County of Los Angeles 2012-13 Final Budget	Board of Supervisors, Los Angeles County	June 2012
37.	County of Los Angeles 2013-14 Final Budget	Board of Supervisors, Los Angeles County	June 2013
38.	County of Los Angeles 2014-15 Final Budget	Board of Supervisors, Los Angeles County	June 2014
39.	County of Los Angeles 2015-16 Final Budget	Board of Supervisors, Los Angeles County	June 2015
40.	Cover Sheet with Board Agenda	Management Services Bureau	July 2016
41.	Distribution of AB 109 Funds: Community Corrections and District Attorney/ Public Defender Subaccounts; Final Recommendation of Realignment Allocation Committee (RAC)	The California State Association of Counties	October 2014
42.	Funded Capital Projects- Fiscal Year 2016-17	County of Los Angeles Probation Department	July 2016
43.	Funded Deferred Maintenance Projects Fiscal Year 2016-2017	County of Los Angeles Probation Department	July 2016
44.	Legislature Passes 2013-2014 Budget; SB 678 Funding Allocations FY 14/15	Danielle Higs, Legislative Representative	June 2014

45.	Probation Department- Budget, Juvenile Halls and Camps Operating Costs, and Departmental Contracting Procedures Review	Department of Auditor-Controller	July 2015
46.	Probation Department- Cash Handling, Trust Funds, Accounts Payable, and Commitments Review	Department of Auditor-Controller	February 2014
47.	Probation Department- Hiring Practices and Grant Administration	Department of Auditor-Controller	January 2016
48.	Promising Los Angeles Juvenile Diversion Program Anxiously Awaits Hoarded Probation Cash	Jeremy Loundeback, Chronicles of Social Change	February 2016
49.	Proposition 47- Analysis of Cost Savings and Service Improvements	Department of Auditor-Controller	April, 2016
50.	Public Safety Realignment: Fiscal Year 2014-2015 Fourth Quarter Report on Budget	Sachi A. Hamai; Interim Chief Executive Officer	September 2015
51.	Public Safety Realignment Act Review- Probation Department, Fiscal Year 2013-2014	Department of Auditor-Controller	November 2014
52.	Public Safety Realignment Act Review- Probation Department, Fiscal Year 2014-2015	Department of Auditor-Controller	October 2015
53.	Public Safety Realignment Budget, Program and Performance AB 109		November 2017
54.	Recommended AB 109 Distribution: 2014-15 and beyond; Briefing to County Administrative Officers Association of California	Realignment Allocation Committee (RAC)	September 2014
55.	Unfunded Capital Projects Fiscal Year 2016-17	County of Los Angeles Probation Department	July 2016
56.	Unfunded Deferred Maintenance Projects Fiscal Year 2016-17	Juvenile Institutions and Field Area Office	July 2016

Table 10. Client Service Delivery

	Title	Author/ Department	Date
57.	Back on Track- Los Angeles	State of California, Department of Justice	October 2016
58.	Back on Track- Los Angeles Infographic	Los Angeles County Sheriff's Department and Probation Department	May 2016
59.	Comprehensive Multi-Agency Juvenile Justice Plan, Los Angeles County JJCPA Programs	Juvenile Justice Coordinating Council	
60.	Comprehensive Multi-Agency Juvenile Justice Plan Review FY 2015-16	Juvenile Justice Coordinating Council	March 2017

61.	Contract by and between County of Los Angeles and ABC Unified School District, Success through Awareness and Resistance	County of Los Angeles	October 2015
62.	Contract by and between County of Los Angeles and A.R.C. (Anti-Recidivism Coalition)	County of Los Angeles	October 2015
63.	Contract by and between County of Los Angeles and 1736 Family Crisis Center	County of Los Angeles	August 2015
64.	Contracts- Community Based Organization	County of Los Angeles	
65.	Enhancing Services to Strengthen 241.1 Project for Crossover Youth Annual Report	County of Los Angeles, Department of Children and Family Services	September 2016
66.	Juvenile Justice Crime Prevention Act Annual Report	State of California Board of State and Community Corrections	March 2014
67.	Juvenile Justice Crime Prevention Act Annual Report	State of California Board of State and Community Corrections	March 2015
68.	Juvenile Justice Crime Prevention Act Annual Report	State of California Board of State and Community Corrections	March 2016
69.	Juvenile Justice Crime Prevention Act- Application for Continuation Funding	County of Los Angeles	June 2015
70.	Los Angeles County Juvenile Justice Crime Prevention Act FY 2014-2015 Report	RAND Corporation	2016
71.	Los Angeles County Probation Department Program Audit Report	Child Welfare League of America	September 2005
72.	Probation Department- Contracting Review	Department of Auditor - Controller	May 2015
73.	Probation Development Disabilities Study	Denise C. Hertz, Lois A. Weinberg, Jolan Smith, Kristen Chan, Michael Oshiro	May 2016

Table 11. Staffing and Hiring

	Title	Author/ Department	Date
74.	Job Description: Crew Instructor	County of Los Angeles	May 2001
75.	Job Description: Deputy Probation Officer	County of Los Angeles	March 2003
76.	Job Description: Deputy Probation Officer I (Residential Treatment/ Detention Services)	County of Los Angeles	July 2016

77.	Job Description: Deputy Probation Officer II (Residential Treatment/ Detention Services)	County of Los Angeles	July 2016
78.	Job Description: Deputy Probation Officer II (Field)	County of Los Angeles	July 2016
79.	Job Description: Detention Services Officer	County of Los Angeles	July 2016
80.	Job Description: Group Supervisor, Nights, Probation	County of Los Angeles	July 2016
81.	Job Description: Supervising Deputy Probation Officer	County of Los Angeles	July 2016
82.	Job Description: Supervising Detention Services Officer	County of Los Angeles	July 2016
83.	Job Description: Transportation Deputy, Probation	County of Los Angeles	July 2016
84.	Los Angeles County Probation Department Policy Manual	County of Los Angeles Probation Department	January 2010
85.	Management Audit of the Los Angeles County Probation Department	Department of Auditor-Controller	November 2005
86.	Memorandum of Understanding: Clerical and Office Services Employee Representation Unit 111	County of Los Angeles SEIU Local 721	October 2015
87.	Memorandum of Understanding: Joint Submission to Board of Supervisors Regarding the Deputy Probation Officers Employee Representation Unit	County of Los Angeles	July 2013
88.	Memorandum of Understanding: Joint Submission to Board of Supervisors Regarding the Deputy Probation Officers Employee Representation Unit	County of Los Angeles	September 2015
89.	Memorandum of Understanding: Joint Submission to Board of Supervisors Regarding the Deputy Probation Officers Employee Representation Unit	County of Los Angeles	November 2015
90.	Memorandum of Understanding: Supervising Deputy Probation Officers Representation Unit 702	County of Los Angeles SEIU Local 721	October 2015
91.	Probation Department- Hiring Practices and Grant Administration	Department of Auditor-Controller	January 2016
92.	Restoring Credibility and Integrity to the Department	Altmayer Consulting Inc.	April 2012

Table 12. Overarching

	Title	Author/ Department	Date
93.	AB 109 in Los Angeles County: A Process and Outcome Evaluation	Cassia Spohn, PHD ; Katharine Tellis PHD	2016
94.	AB 109 County of Los Angeles Budget	County of Los Angeles	2011-2014
95.	AB 109/ 117 Implementation Plan	County of Los Angeles, Community Corrections Partnership	September 2011
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Attachment B. Review of Best Practices in Probation

LA Probation Governance Study

Review of Best Practices in Probation

Prepared by:

Resource Development Associates

April 10, 2017

LA Probation Governance Study

Review of Best Practices in Probation

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About Resource Development Associates

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other states. Our mission is to strengthen public and non-profit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to planning, grant-writing, organizational development, and evaluation.

Acknowledgements

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Introduction

American Probation was originally invented by Boston shoemaker John Augustus in 1841, a court volunteer who took errant neighbors under his wing, helped them pay off their debt to society, and reported back to the court on their progress to help them to avoid being detained.[1] At that time no one could have envisioned the current system, where almost 4 million people on probation are supervised by 2,000 departments around the country.[2] As the above numbers indicate, probation agencies, including Los Angeles County Probation, have grown to impact the lives of U.S. residents far beyond anything anticipated by the original designers. In large jurisdictions like Los Angeles County, where 6,500 staff operate under an $820 million budget to supervise approximately 50,000 system-involved adults and juveniles, the imperative for well-designed and well-operated organizational systems and practices is paramount.[3]

Driven by a large body of research, probation departments across the country are under transformation, implementing new strategies and processes including evidence-based practices and community-based services, and placing increased emphasis on rehabilitation and youth development as a means for promoting public safety.[4] [5] Within this landscape, probation agencies should focus on harm reduction by supervising only those who need to be supervised, for only the amount of time they need to be under supervision, and by relying more on incentives like shortening probation terms for good behavior, rather than sanctions like revocation and incarceration. For individuals under community supervision, probation should focus on improving supervision practices by implementing evidence-based and best practices identified in the field, couched within a community-involved approach, as research indicates that cohesive communities and informal controls are more effective at reducing crime than government interventions.[6] [7] [8] [9] [10] [11]

With the probation profession being transformed throughout the nation, there is great need for guidance around identifying and implementing evidence-based and best practices to promote public safety, affect positive behavior change, and minimize the risk of reoffending.[12] In order to develop the following review of best practices in probation, RDA synthesized research across a number of subject areas, including criminal and juvenile justice as well as organizational development and leadership, developed by government and professional Probation agencies; non-profit and private organizations; and, independent researchers published in peer reviewed journals.

Organization of this Document

This document is organized into four distinct sections focusing on best practices in:

- Probation Department Management, Structure, and Systems;
- Adult Service Delivery;
- Juvenile Service Delivery; and,
- Transitional Age Youth.

Each section begins with an introduction highlighting key developments in the subject area, followed by a more detailed review of evidence-based and best practices across a number of domains within each area. Appendices are includes at the conclusion of the document in order to highlight specific tools, practices, programs, and approaches referenced throughout the document.

Section 1. Probation Department Management, Structures, and Systems

Propelled by over 25 years of research describing what works to develop and rehabilitate both young people and adults, the probation profession is now being transformed as departments across the country are implementing new strategies and processes, including evidence-based practices and community-based services.[13] Twenty first century probation departments emphasize rehabilitation and youth development as core components of their mission and as a means of promoting public safety.[14] Collaboration with community-based organizations and other public systems involved in the lives of individuals in the probation system is now seen as critical to achieving this mission, as is measuring and reporting on client processes and outcomes. The use of data to direct decision-making both at the individual- and systems-level is a major change that is demanded in order to ensure improved outcomes, smarter use of taxpayer dollars, and better conditions for both those under the charge of probation and those who work within the system.[15][16]

At the same time that the probation profession is experiencing these rapid changes, the workplace in America is also changing. The use of computers and the practice of using data to inform all decision-making are now common practice both in the private and public sectors. Entry-level requirements in most professions call for higher levels of education, specialized training, and continuing education. Flexibility in hours and place of work is becoming the norm, along with a shift away from centralized offices requiring long commutes.[17][18]

In addition to changes in the workplace, the demands and needs of the workforce are also changing. A recent Gallup study entitled "The American Workplace" describes new generations of workers who require that their jobs have purpose and be driven by a mission that they feel passionate about. They also want to continuously learn and grow while being able to maintain flexibility and a healthy work-life balance.

In light of these changes, sectors across the United States are experiencing increased competition for qualified employees, and the ability to attract and retain a competent workforce is being challenged. Unlike 25 years ago, a worker is much more likely to leave their job and look for another if the conditions of employment do not satisfy their needs.[19] This is a particularly important issue for the Los Angeles Probation Department to consider, as they currently face filling 800 staff vacancies and have an aging workforce.

In the face of a rapidly changing American workplace generally, and the probation profession more specifically, the Los Angeles Probation Department must grapple with transforming their own organizational structure and systems if they are to adapt to the standards and practices that are now expected of them. Many probation departments find themselves having to make extensive changes in:

- Staff hiring and training policies and practices;
- Personnel management and supervision;
- The use of data and data systems;
- Internal and external communication strategies;

- Collaboration and partnerships; and,
- Contract procurement and management.

This section provides standards and best practices that touch on all of these subjects, with identified subsections focusing on best practices in Organizational Culture; Collaboration, Partnerships, and Linkages; Staffing Standards in Probation; Management Systems and Practices; and the Collection and Use of Data. The information is compiled from standards put forth by professional probation organizations; recognized best practices in probation; and research, theory, and practice in modern management and organizational development.

Organizational Culture

Organizational culture is a system, both explicit and implicit, of shared assumptions, values, and beliefs, which govern how people behave in an organization. This shared culture has a strong influence on the people in the organization and dictates how they act, talk, and perform their jobs. [20] Research shows that a positive organizational culture is characterized by staff that are engaged in their work. An engaged workforce is measured by the degree to which workers understand what is expected of them, believe their work matters, have the materials and resources necessary to do their work, and trust that their supervisors have their best interests at heart. [21] When a person is engaged in his/her work he/she are less likely to watch the clock, file a worker's compensation claim, or leave their job for another. They are more productive, committed to quality, and speak highly of their workplace. These are all important for establishing higher employee morale.[22]

The table below is a compilation of best practices in probation that address some of the primary building blocks to establishing a positive organizational culture, with specified focus on the following components:

- Mission, Vision, and Values
- Leadership
- Best Practices, Evidence-Based Practices, and Continuous Learning
- Organizational Change Management
- Managing Resistance to Change

Much of the research is derived from the US Department of Justice National Institute of Corrections, the Office of Justice Programs, and the Bureau of Justice Assistance (and the Urban Institute), as well as independent research by criminologists and management and organizational development experts.

Table 1. Organizational Culture

Organizational Culture Components	Best Practices
Mission, Vision, and Values	A critical component of any organizational culture is the establishment, implementation, and ongoing communication of a compelling and aspirational mission and vision for the future of the organization, as well as articulated values that are constantly reinforced. An organization's mission, vision, and values should reflect the organization's purpose, ideal state, and the beliefs and practices that will help the organization arrive at that ideal. These statements guide organizational operations, progress, and shifts in practice.[23] • There is no specific time when mission statements should be revised; rather, they should always be under review. Shifts in the environment, organization,

	or field will often require revisions to these statements.[24] Achieving "public safety" is a distal outcome of probation services, requiring complex community engagements beyond probation alone.[25] Therefore probation departments should reframe their mission toward the more direct goals of being rooted in the community,[26] effecting positive behavior change, and minimizing risk of reoffending.[27] If a probation department expects to reduce recidivism, provide meaningful support towards rehabilitation, and work as partners in the community it must explicitly embrace these concepts in its mission, vision, and values.[28]
Leadership	Leadership exists throughout an organization, and should not be confused with authority or position. The qualities and behaviors described below result in successful organizational leadership.[29] [30] • **Model the Way:** Leaders establish principles concerning the way people (including constituents, peers, colleagues, and clients) should be treated. They create standards of excellence and then set an example for others to follow. Because the prospect of complex change can overwhelm people and stifle action, leaders set interim goals so that people can achieve small wins as they work toward larger objectives. • **Inspire a Shared Vision:** Leaders passionately believe that they can make a difference. They envision the future, creating an ideal and unique image of what the organization can become. Leaders enlist others in their dreams. They breathe life into their visions and get people to see exciting possibilities for the future. • **Challenge the Process:** Leaders search for opportunities to change the status quo. They look for innovative ways to improve the organization. In doing so, they experiment and take risks. • **Enable Others to Act**: Leaders foster collaboration and build spirited teams. They actively involve others. Leaders understand that mutual respect is what sustains extraordinary efforts; they strive to create an atmosphere of trust and human dignity. • **Encourage the Heart:** Accomplishing extraordinary things in organizations is hard work. To keep hope and determination alive, leaders recognize the contributions that individuals make. In every winning team, the members need to share in the rewards of their efforts, so leaders celebrate accomplishments. When organizational culture needs to be changed or improved, leaders are responsible for strategically undertaking a deliberate culture shift. Organizational change and improvement efforts require a series of steps that include:[31] • **Assessment:** Leaders must understand the current practices, strengths and challenges as well as understanding the organizations readiness for change • **Intervention**: Intervention activities are designed to respond to the needs and issues identified in the assessment/diagnosis process.

	• **Performance Measurement:** On both a short- and long-term basis, leaders provide data on changes in knowledge, skills, attitudes, and behavior.
	Leaders are most effective when they create a shared desire in a group to attain a goal or to move in a particular direction. In order to be most successful in organizational change, leaders must empower others to provide leadership. Champions of change need to be identified and recognized throughout the organization.
	Leaders in correctional agencies should possess the following qualities:
	• Ability for reflection; • Acknowledgement of personal strengths and weaknesses; • Willingness to take risks and receive feedback; • Ability to motivate others; and • Demonstration of the fundamental principles of honesty, openness, respect, and trust
	Leaders must repeatedly articulate the values that drive their beliefs about needed change, and support and reward others who do so.[32] People who enter the profession of probation may not have been selected for the skills that are now essential for leading departments. Some of these skills or competencies include:
	• Strategic thinking, • Change management, • Communication, • Collaboration, • Coaching and mentoring, and • Relationship building.[33]
Best Practices, Evidence-Based Practices, and Continuous Learning	A strong organizational culture in probation is associated with greater adoption of evidence-based and best practices.[34] Best practices include embracing the implementation of culturally appropriate community-based services, the engagement of community and other public agencies, the use of validated assessment tools, and data-driven decision-making at both the organizational and individual level.
	In order to implement these practices, leadership must:
	• Create a climate for continuous learning and reward those who participate; • Become performance-oriented (driven by common, tangible goals and articulated measurable outcomes); • Encourage innovation that is adaptable; and, • Emphasize quality service provision (e.g., supervisors focus more on providing appropriate services than on simply number of contacts per client).[35]

Organizational Change Management	Probation departments should conduct initial assessments of organizational culture prior to enacting organizational transitions, and focus on understanding the reactions and responses of personnel as the organizational culture shifts. [36]
	Research indicates that in order for deliberate change efforts to succeed, leaders need to:[37]
	• Understand the proposed change;
	• Agree that a change is needed;
	• Believe that leadership support the change;
	• Believe that their peers support the change; and,
	• Understand how the change benefits them.
	Continuous assessment needs to occur to measure and monitor the degree to which staff agree or disagree with these five items. Probation must strategically address those areas where staff measure low. Strategies include, but are not limited to, the following:[38]
	• "Sell the problem" in order to establish a challenge, problem, or opportunity and create an opening for new ideas in people's minds;[39]
	• Continuously demonstrate their commitment to the change;
	• Develop support and elevate those who support the change;
	• Over-communicate about all aspects of the change; and,
	• Create a positive rewards system to recognize employees who demonstrate skills, values, and proficiencies in alignment with the shifting organizational culture.[40]
	Probation departments making changes in hiring, training, and performance measurement will see that, over time, these changes create a critical mass of employees who hold a new mindset, which will signal the change from the old way of doing things to the new.[41]
	Please see Table 13 *for a list of the stages of organizational transition.*
Managing Resistance to Change	Communication during organizational transition is key, as managing the psychological transitions of the people impacted by system changes may be more difficult than the set of tasks associated with operational system changes. Department leaders should recognize there will be a sense of loss and anxiety as culture and practices begin to shift, and they should expect some overreaction to these feelings.
	To manage resistance to change, probation department leaders should:
	• Provide frequent, direct communication to all levels of the organization;[42]
	• Repeat messages often, through multiple mediums, and with sensitivity;[43]
	• Not rely on "trickle-down" communication, as supervisors are in a state of transition and the "grapevine" will be actively spreading messages which may

> or may not accurately convey information;[44]
> - Acknowledge feelings of loss openly and sympathetically, identify and compensate for losses as appropriate, and communicate clear expectations for the transition;[45]
> - Discourage denigration of past practices, and help to position the past as a positive legacy that paved the way for what's new;[46] and,
> - Measure and celebrate successes as change takes hold.[47] [48]

Collaboration, Partnerships, and Linkages

Successful case planning, diversion, and reentry planning and support are strategies that reduce recidivism and require authentic collaboration and coordination among multiple public agencies and community-based organizations. Probation departments should intentionally foster structured partnerships with multiple public agencies and community-based organizations in order to meet the treatment, housing, educational, employment, and health-related needs of clients, and to result in better outcomes and reduced costs associated with these services.[49] In addition, probation officers should develop relationships with community members and other informal community supports to provide an opportunity for community corrections agencies to improve outcomes in highly impacted neighborhoods. [50]

Table 2 below highlights best practices for probation to maximize effective collaboration with public agencies, community-based organizations, and community members, with emphasis placed in the following areas:

- Community-Based Probation Sites
- Structured Partnerships
- Coordination with County Behavioral Health
- Coordination with Local Housing Authority
- Coordination with Child Welfare
- Coordination with Gang Intervention and Prevention Efforts
- Coordination with Other Public Agencies

To inform these findings, RDA synthesized research gathered from the Bureau of Justice Assistance, the National Institute of Justice, the National Center for State Courts, the National Resource Center for Juvenile Justice, the Center for Juvenile Justice Reform, the U.S. Department of Urban Housing, and the Coalition for Juvenile Justice, as well as from New York City's Probation Department and other independent criminologists.

Table 2. Collaboration, Partnerships, and Linkages

Collaboration/Linkages Components	Best Practices
Community-based Probation Sites	Probation departments should identify neighborhoods where large numbers of probation clients live and establish office and other operations in these neighborhoods. **New York City's NeON Model [51] [52]** Establishing probation offices and operations in neighborhoods where large numbers of probation clients live: • Promotes an ethic that elevates natural neighborhood supports over

temporary government intervention in the lives of probation clients;

- Supports clients in providing restorative works to the communities that they have harmed through their offenses;
- Makes it easier for probation officers to develop relationships with indigenous neighborhood stakeholders and community-based organizations that can provide services, support, and opportunities for clients living in the neighborhood; and
- Ties clients to services, supports, and opportunities that exist in their home communities to facilitate their participation with such opportunities after the term of probation is over.

Leadership and staff should create community stakeholder groups or advisory panels to inform community members of probation's work and learn from neighbors what challenges and opportunities exist in their home communities. In this way, probation can engage with indigenous supports, business associations, neighborhood organizations, faith leaders, and local service providers, becoming more familiar with the types of services, supports, and opportunities that are available within the community. This enables probation departments to better link clients to useful opportunities and partner with local stakeholders to advocate for/create missing services and supports.

Probation should also collaborate with community members to establish satellite offices co-located with local non-profits or community associations that host probation staff in environments that are conducive to client engagement. Some of the benefits of collaborating with community-based organizations include:

- Having an "ear to the ground" in high-impact communities to improve community corrections work;
- Garnering support from key community stakeholders in helping probation clients turn their lives around;
- Discerning what services and supports are lacking that are key to crime control;
- Providing a community-based space for clients to meet with probation officers and promote staff/client relationships;
- Helping probation officers and their clients build rapport; and,
- Allowing probation officers to more easily connect clients with local resources.

Community embedded probation offices and satellites should also collaborate with local stakeholders to host neighborhood works projects and work, education, and health fairs that are open to the community. In addition. Community offices can also collaborate with arts organizations where individuals on probation can engage in a range of arts activities and neighborhoods that are often "art deserts" can experience performance and visual arts by their neighbors on probation.[53] [54]

Probation departments should anticipate that authentic collaboration with community-based partners will require a substantial time investment; these connections are nevertheless essential for several reasons:[55]

- Using capable community partners effectively can save money compared to either incarceration or probation-delivered services.[56][57]
- As noted above, after probation is completed, clients who are enmeshed in services, supports, and opportunities in their home communities can continue to benefit from them.

Extensive research highlights that youth who receive community-based programming to address key factors including treatment and therapy, education, family outreach and counseling, and interpersonal skills training experience lower recidivism rates than youth receiving these programs in institutional settings. [58][59][60] Research also suggests that adults who receive drug treatment in the community as opposed to serving a prison term have greater treatment results and reduced rates of recidivism.[61]

Structured Partnerships	The Probation Department should establish structured partnerships with community-based service providers and other County departments: • Prioritize establishing partnerships with service providers who are implementing evidence-based and best practices in order to reduce the likelihood of recidivism for clients enrolling in these programs. • Ensure that services and supports are culturally appropriate. The definition of cultural competence must include race, ethnicity, gender, religion, sexual identification, language, age, and even geographic neighborhood. Structured partnerships should exist with service providers who help to address the following needs: • Physical health • Mental health • Trauma/PTSD • Substance use • Housing • Education/workforce development • Employment • Legal aid • Family support/reunification • Benefits • Mentorship • Criminal thinking • Transportation • Positive youth development

	• Civic engagement Partnerships with community-based organizations and County providers should be systematic rather than *ad hoc*, to include formalized and collaborative relationships, rather than haphazard referrals by probation officers or monitoring activities. • Probation departments should map all community-based service providers and treatment programs that exist in the community.[62] • Probation departments should assess the quality of community-based programs for their ability to address risks and needs – high-quality programs utilizing evidence-based and best practices should be formally established as collaborative partners.[63] Bi-directional feedback and communication should exist with all partners in order to help to reduce duplicative efforts, and remove barriers to success for clients under community supervision.[64]
Coordination with County Behavioral Health	People with mental illness and/or substance use issues on average have significantly longer lengths of stay under community supervision, irrespective of criminal charge and risk index. They are revoked more frequently as well.[65] In order to improve public safety and treatment outcomes, while reducing recidivism as well as costs, probation and county behavioral health departments should: • Coordinate with each other to ensure that individuals under community supervision are consistently assessed for behavioral health needs upon intake; • Share assessment information (using appropriate consent and privacy protections) among county behavioral health, probation, defense counsel, and relevant mental health service providers to develop case plans for community-based supervision and treatment; • Work together to ensure judges, prosecutors, defense counsel, county behavioral health staff, probation staff, and community behavioral health providers receive cross-training to understand and recognize behavioral health needs, and identify community-based supervision and treatment options. [66] • Develop systems of care and wraparound services that allow funds to come from multiple sources and case planning to be multi-jurisdictional. [67] [68] • Identify crossover youth who are being served in child welfare/mental health and probation and ensure that coordination of services is occurring.[69] • Regularly review data regarding the number of crossover youth, the services they receive, the cost to the county, and the outcomes of

	services.
	Together the agencies should coordinate to expand the availability of community-based supervision and treatment for people with mental illness and/or substance use issues (both pretrial and post-release).[70]
Coordination with Local Housing Authority	People who are under community supervision and suffer from housing instability and/or homelessness need support to address this basic need. The Housing First approach suggests it is critical to support housing needs and help individuals attain permanent housing, which can serve as a platform for addressing other risks and needs. As such, Probation should partner with local public housing agencies to: • Create specific coordinated programs that prioritize low-cost, subsidized, or free housing opportunities for returning citizens and or homeless probation clients; and • Lift/modify restrictions and screening policies that prevent individuals with criminal convictions from living in public housing.[71]
Coordination with Child Welfare	For more than two decades the Department of Justice Office of Juvenile Justice and Delinquency Prevention (OJJDP) has advocated for greater coordination between juvenile justice and child welfare systems in order to ensure better outcomes for youthful clients who also have child welfare system involvement (dual-system or crossover youth).[72] • Leadership from the county's child welfare agencies, juvenile justice agencies, and the judiciary should come together to analyze and plan improved systems integration. Ideally this leadership effort should also include county mental health, substance abuse, housing, and education agencies.[73] • Juvenile probation divisions should develop protocols and a formalized agreement (memorandum of understanding) with the county child welfare agency for coordinated case planning for crossover youth, data-sharing, and cross-system training.[74] To help eliminate foster care detention bias (child welfare system-involved youth are more likely to be detained in the juvenile justice system, and for longer periods) foster-care providers, social workers, and juvenile justice case workers should attend detention hearings and work as a team to determine how to best address the needs of all crossover youth.[75] Special attention must be given to changing laws and practices occurring in the child welfare arena in California, as these changes will impact crossover youth.
Coordination with	Probation should actively collaborate with any comprehensive gang

Gang Intervention and Prevention Efforts	reduction efforts taking place within the County. The OJJDP's Comprehensive Gang Model includes five core strategies highlighted below.[76] Probation should participate in each core strategy area, if at all possible.
	OJJDP Comprehensive Gang Model's five core strategies:
	Community Mobilization: Involvement of local citizens, including former gang members and community groups and agencies, and the coordination of programs and staff functions within and across agencies.
	• Probation should participate in a formal community-wide leadership structure(s) (i.e., steering committees) where local citizens, including youth, community groups, and education, as well as other public and community based service agencies are involved.
	Opportunities Provision: The development of a variety of specific education, training, and employment programs targeting gang-involved youth.
	• Probation departments, in collaboration with partners, should coordinate existing resources through a collaborative funding approach, and develop a variety of social and economic opportunities such as educational, training, and employment programs targeted towards gang-involved youth and youth at risk of gang involvement.
	Social Intervention: Youth-serving agencies, schools, street outreach workers, grassroots groups, faith-based organizations, law enforcement agencies, and other criminal justice organizations reaching out and acting as links between gang-involved youth and their families, the conventional world, and needed services.
	• Probation should collaborate with other jurisdictions, including nearby cities, to create a network of youth-serving agencies that assist them (and their families) to adopt pro-social values and provide them with access to services that will meet their personal development, family development social, educational, and vocational needs.
	• Probation departments should support the utilization of street outreach services as an effective means of linking gang impacted youth and families to necessary services.
	Suppression: Formal and informal social control procedures, including close supervision or monitoring of gang-involved youth by criminal justice agencies as well as community-based agencies, schools, and grassroots groups.
	• Probation should utilize formal and informal social control procedures and accountability measures, including close supervision or monitoring of gang involved youth. Gang suppression efforts should be structurally

related to community-and problem-oriented policing, as well as gang enforcement and tactical units.

- Probation departments and other law enforcement agencies should regularly share aggregate-level data bearing on the gang problem and all components of the gang prevention and intervention strategy.
- All targeted enforcement operations, when and where necessary, should be consistent with program goals and coordinated with the gang prevention and intervention partners, street outreach, and service providers (as appropriate) to maximize the positive impact.

Organizational Change and Development: Development and implementation of policies and procedures that result in the most effective use of available and potential resources to better address the gang problem.

- Structured communication practices should be established between probation officers, street outreach workers, service providers and other law enforcement agencies.
- Probation should collaborate with community agencies and help to understand the multifaceted nature of gang issues as they work together to develop and implement gang reduction strategies.
- Probation should also participate in creating policies and procedures to help efficiently allocate resources within and across agencies towards gang prevention and intervention.

Refer to Table 14 for a sample of gang prevention and intervention strategies and programs.

Coordination with Other Public Agencies	Probation should collaborate with other county and public agencies in order to promote sustained positive outcomes for individuals under community supervision and to reduce rates of recidivism.[77] This collaboration should include: • Systematically sharing information with all public agencies that serve individuals under community supervision in order to reduce duplicative efforts and remove clients' barriers to success.[78]

Staffing Standards in Probation

The American Parole and Probation Association (APPA) and the American Correctional Association (ACA) provide staffing guidelines for hiring and promotional practices, including suggested educational requirements, and caseload ratios.[79] A summary of these guidelines is provided alongside research which shows that higher educational attainment is associated with increased effectiveness in working with youth;[80] that probation personnel trained in culturally competent, evidence-based, and best practices produce lower recidivism than those providing traditional probation services;[81] [82] [83] and that probation departments should focus on workload rather than caseload in determining how cases are allocated, with special attention to assessed risk and needs.[84] Professional standards state that the selection, retention, and promotion of field personnel should be based on merit, and that people who have been on parole or probation should not be categorically excluded from employment.[85] It should be noted however, that hiring standards for Peace Officers in California are governed by various statues and codes, including POST regulation 1950-1955 and Government Codes 1031 and 1029, which set strict guidelines prohibiting anyone with a felony conviction working for the department.

Table 3 below highlights best practices in these topics, maintaining focus on the following areas:

- Hiring Practices
- Promotion Practices
- Hiring and Detaining a Diverse Workforce
- Training
- Caseloads and Types of Caseloads
- Tenure and Pay Scale
- Disciplinary Practices

A summary of recommended standards around these topics gathered from reports and guidelines from the American Correctional Association (ACA), American Probation and Parole Association (APPA), Chief Probation Officers of California (CPOC), Board of State and Community Corrections (BSCC), and independent research are presented below.

Table 3. Staffing Standards in Probation

Staffing Standards in Probation Components	Best Practices
Hiring Practices	Job descriptions for probation officers generally frame supervision duties as assessing the risk and needs of clients, providing counseling, making sentencing recommendations to the court, and understanding legal processes.[86] The selection (as well as retention and promotion) of probation officers should be based on merit, competitive oral and/or written examinations, and specified qualifications demonstrably related to the skills required to perform the work.[87]

	• Probation officers should be formally educated – a vast majority of states and ACA standards require a minimum of a bachelor's degree.[88] [89]Among juvenile detention officers, a college education is associated with increased effectiveness of behavior management, and greater development of verbal skills in supervised youth.[90] • Probation officers who work with youth should have youth development backgrounds and/or formal education in childhood development.[91] • Probation departments should consider ex-clients to be potentially valuable resources, and they should not be discriminated against when seeking employment with a field agency, within the parameters of relevant statutes and regulations.[92] Job qualifications and hiring policies should be examined with the assistance of equal employment specialists from outside of the agency in order to ensure that hiring practices promote diversity in the workforce.
Promotion Practices	The promotion system must be structured to value organizational goals and reward desired performance; in other words, promotion should occur when behavior is consistent with organizational goals, individual goals are achieved, and evidence-based practices are embraced.[93] Probation departments should implement performance-driven personnel management practices which use data to track how well individuals' performance aligns with organizational goals *Please refer to Table 4 (Management Practices and Systems) and Table 5 (Collection and Use of Data) for additional information about data driven performance management.* Probation departments' performance-driven personnel management practices should promote and reward recidivism reduction. Specifically, probation personnel (both field and custody) should be assessed, rewarded, and promoted for things like: • Communication skills, problem solving skills, initiative, and commitment to mission; • Time spent targeting criminogenic needs (based on probationers' assessment results); • Consistent use of rewards systems when probationers do well and graduated sanctions when they have set-backs; and, • Eventually recidivism, based on risk-level of caseload, for field officers. [94, 95] Probation departments should put in place client-level data systems to monitor client needs, case planning, progress, and outcomes.[96] These client-level data should then feed into the performance-driven personnel management system which informs how personnel are rewarded, supported, and promoted. • Client outcome data should be disaggregated by unit, probation officer, and region to help determine if some staff need additional support, training, or re-assignment, or if some staff are demonstrating exemplary skills, which should

	be recognized through promotion.[97] • Probation departments should integrate client-level process and outcome data into individual staff performance review processes, and recognize with increased leadership roles when staff members are on track with desired practices.[98] [99]
Hiring and Retaining a Diverse Workforce	While there is little research demonstrating that a diverse workforce _alone_ will promote a more equitable justice system,[100] there are clear benefits to having a workforce that is diverse across race/ethnicity, gender, and age. In order to sustain a diverse workforce, hiring and promotion practices with probation departments should: • Recognize the value of a workforce that reflects the demographics of the jurisdiction in order to create a multicultural workforce of men and women whose values reflect the principles of reform and the reduction of racial disparities;[101] [102] • Ensure that key positions have enough bi/multilingual staff to meet the community's linguistic needs;[103] • Promote gender diversity, as women in correctional professions are found to have lower occupational stress than their male counterparts,[104] and to demonstrate skills and characteristics consistent with new recidivism-reducing approaches to probation;[105] and, • Recognize the benefits of a cross-generational workforce, including the different assets various age-groups bring to the workplace (e.g., innovation, creative problem-solving, comfort with change, and flexibility among younger staff; work ethic, collaboration, and achievement-orientation among older staff).[106] [107] Probation departments should anticipate that workers from different age groups may need different supports, accommodations, and incentives to remain engaged and do their best work.[108]
Training	Because probation officers play a vital role in maintaining public safety, all probation officers should receive training prior to supervising anyone on probation, and should continue to receive training on an ongoing basis. All staff trainings should be formally evaluated either internally or by an outside evaluator.[109] • **Probation Officers**: ACA recommends 40 hours of orientation within the first year of job assignment, and 40 hours of ongoing training annually.[110] BSCC guidelines require 196 hours of "core course" instruction within the first year of job assignment as a probation officer, and 40 hours of ongoing training annually.[111] • **Juvenile Detention Officers:** ACA recommends 160 hours for first year of employment, plus 40 hours annually thereafter.[112] BSCC requires 160 hours

initially, and 24 hours of ongoing training annually.[113]

- **Supervisor/Manager/Administrator:** BSCC requires 80 hours within the first year, and 40 hours of ongoing training annually. [114]

As noted above, the BSCC identifies two distinct types of trainings that all probation officers should receive – core trainings and annual trainings.[115]

Core trainings focus on subject matter directly related to job tasks and are designed as a pre-service training model. Although standards allow up to one year to complete core courses, participating agencies should have eligible staff complete this training before establishing an actual work assignment.[116]

Examples of core trainings include:

- Basic Peace Officer Training;
- Fundamentals of Probation Practice; and,
- Understanding and Addressing Risks and Needs.

Annual trainings include refresher courses and specialized trainings for implementing evidence based and evidence informed practices. These trainings should focus on the continuous development and the enhancement of jobs skills.[117]

Examples of specialized annual trainings include:

- Motivational Interviewing;
- Cognitive Behavioral Intervention;
- Trauma-Informed Care;
- Positive Youth Development;
- Alternative Models for Youth Camps (e.g., the Missouri Model); and,
- Effective Practices in Community Supervision.

See Table 15 *for a more detailed description of the training requirements for the Effective Practices in Community Supervision (EPICS) model.*

Research indicates that training alone is insufficient to enable employees to perform at their best. In addition to conducting trainings, the probation departments should also:

- Identify staff who are proficient in evidence-based practices and subject matter areas listed above;
- Assign these staff to mentor and coach other staff in these methods; and,
- Create an environment of appreciation and recognition of these staff.

Caseloads and Types of Caseloads	Community supervision caseloads and supervision intensity should be determined in part by the assessed risk levels of clients. This approach leads to low-, medium-, and high-risk supervision types. Below are APPA's general recommended

supervisee-to-probation officer ratios:

- **High-risk intensive supervision** - 20:1 for adult probation, 15:1 for juvenile probation (clients in this designation are at a very high risk for reoffending, but have been diverted from incarceration).
- **Moderate- and high-risk non-intensive supervision** - 50:1 for adult probation, 30:1 for juvenile probation (risk levels determined by validated risk assessment tool).
- **Low-risk** - 200:1 for adult probation, 100:1 for juvenile probation.
- **Administrative** - 1000:1 for administrative probation (very low risk, primarily telephone check-ins -- note, administrative probation is not recommended for juveniles).[118] [119][120] [1]
- **Secure juvenile facility** - 8:1 during resident waking hours and 16:1 during resident sleeping hours, except during limited and discrete exigent circumstances, which must be fully documented. Only security staff should be included in these ratios.[121]

Probation departments usually create supervision units based on risk level. Some probation departments also have specialized units. Some departments have gone to computer-based distance supervision of their low risk caseloads. Distance supervision along with early discharge from probation can be used as an incentive for people on probation to earn gradual step-down and ultimately early termination from probation.[122]

- Specialized unit types include units for clients with gang affiliations, sexual offenses, mental health issues,[123] and domestic violence cases,[124] as well as units for transitional age youth (TAY) and pre-disposition investigation caseloads.[125]
- Some counties organize juvenile probation services into specific units (e.g., diversion, out-of-home placement, etc.), and most designate between "formal" and "informal" probation.[126]

APPA advises that the allocation of cases not be guided by caseload recommendations alone, but instead should consider workload and ways to ensure most effective use of time.

The workload approach entails:

- Conducting an assessment of how many hours probation officers typically spend on various tasks (*see* Table 16 *for a brief description of findings*);
- Analyzing the extent to which hours spent on certain tasks correspond to the interventions and approaches that should be targeted (i.e., are POs spending too much time supervising low-risk clients, or could administrative task time be reduced through automated data systems or tablets that POs can bring with them to the field); and,
- Making adjustments to caseloads to and probation practices, based on

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[1] RDA recommends that low risk youth and adults not be actively supervised.

workload assessment.[127]

Statewide in California, average client to staff ratios are:

- 87:1 adult client to probation officer ratio
- 51:1 juvenile client to probation officer ratio
- 18:1 client to probation staff (all personnel) ratio[128][1291302]

Tenure and Pay Scales	Probation employee turnover is generally thought to be high as compared with other public sector jobs. High staff turnover and vacancy rates can hinder change and improvement efforts. Research on best practices for management in the workplace indicates that 75% of why employees fail in their jobs relates to poor management and supervision, and surveyed employees generally report that the primary reason they leave their job is because of their supervisor or manager. Managers and supervisors who pay little or no attention to those they are responsible for do the most damage to staff morale.[131][132] • Traumatic stress levels are directly related to the length of time working in probation, indicating that, while very high staff turnover is clearly disruptive to agency function, longer tenures without supports for job stressors and trauma may not produce a healthier agency.[133] The average tenure for probation officers in California is approximately 8-10 years, [134][135][136]and average probation salaries in California are higher than in any other state.[137] Below are the overall ranges, as well as the average base salary and the average upper limit for typical probation employees across the state: • Probation officers earn between $31,174 and $92,240 (low mean – high mean: $43,553 - $67,348). • Probation supervisors earn between $42,824 and $110,656 (low mean – high mean: $63,768 - $80,616). • Juvenile detention officers earn $23,846 and $80,049 (low mean – high mean: $37,001 - $47,869). • Juvenile detention supervisors earn $31,530 and $90,428 (low mean – high mean: $47,955 - $61,752).[138] In 2012, in California's nine largest probation departments: • Managers earned average salaries of $120, 987; • Supervisors earned average salaries of $88,295; • Senior line staff earned average salaries of $77,108;

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[2] Calculated using the CPOC 2012 report and 2013 Census county populations http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?src=bkmk. Note: because the CPOC 2012 report did not include probation staffing data for Modoc, Alpine, or Kings Counties, these population counts were removed from the statewide population-to-probation staff average calculation.

	• Journey level staff earned average salaries of $70,966; and, • Entry level staff earned average salaries of $61, 987.[139] Research indicates that 71% of juvenile probation staff who were surveyed after leaving their profession indicated favorable feelings for their profession. Sixty percent (60%) cited "lack of advancement" as their reason for leaving, and those who expressed overall dissatisfaction working for probation pointed to poor agency leadership, inappropriate funds allocation, daily job stress, and the frustration of trying to help youth within the system. Only a minority (33%) indicated that an increase in pay would have enabled them to stay longer in the job, and in general these staff earned salaries on the low end of the salaries provided above.[140]
Disciplinary Practices	Disciplinary practices vary by jurisdiction, and are defined by state law or agency policy.[141] Disciplinary practices may include: • Counseling/Admonishment • Retraining • Transfer • Suspension • Demotion • Dismissal

Management Practices and Systems

Management practices in probation include the management of both programs and personnel, as research shows that an evidence-based approach to program and personnel management, aligned with the principles of risk/need/responsivity, results in better outcomes and cost savings.[142] [143] Best practice recommends that probation departments put in place performance-driven personnel management practices that promote and reward recidivism reduction, as well as the intermediary steps required to get there (e.g., use of new tools and strategies designed to target risks and needs).[144] [145] These recommendations are provided in this section, along with useful information about span of control.

Table 4 below catalogues best practices in Management Systems and Practices across the following domains:

- Program Management
- Process Management
- Supervisor Rations: Span of Control
- Governing and Operational Structure

In each of these sections, RDA provides a summary of standards recommended in reports and guidelines coming from the National Institute of Corrections, the Bureau of Justice Assistance, the Council of State Governments Justice Center, and the California Judicial Council Administrative Office of the Courts.

Table 4. Management Systems and Practices

Management Systems Components	Best Practices
Program Management	Probation departments should manage programs by using validated risk and needs assessment tools. Risks and needs should be distinct and separate. When risks and needs are comingled, there is often a result of higher degrees of supervision than warranted by risk levels. Assessments should also include individual strengths and assets, making sure that interventions are tailored to both client needs and client strengths.[146] • Probation departments should consistently use validated screening and assessment tools to guide the allocation of supervision and service resources and strategies. • Larger probation departments should consider creating a special unit for assessment of risks and needs and protective factors – this reduces inter-rater reliability problems. • Probation may use a single tool for screening, assessment, and case planning; this reduces time spent on assessment (e.g., from 18 to 8 hours). [147] • Probation administration should use protocols and tools for monitoring program fidelity.[148]

Process Management	Probation departments seeking to implement evidence-based practices and become outcomes-driven organizations must utilize both an *outside/in* approach and an *inside/out* approach. • **Outside/In Approach:** Brings insights gleaned from external research evidence to bear on internal organizational practices. • **Inside/Out Approach:** Places increased emphasis on organizational capacity to internally measure performance and outcomes for current practices.[149] Probation management should reframe the following processes so that they all focus on the knowledge, skills, and attitudes required to reduce an client's risks and needs: • Recruit and hire for communication and problem-solving skills as well as rehabilitative orientation/belief system; • Train probation personnel in skills needed to relate to clients in respectful and constructive ways, in order to enhance intrinsic motivation in clients; [150] • Implement performance-driven personnel management practices that promote and reward recidivism reduction. • Belief in and behaviors that demonstrate commitment to being helpful, supportive and using positive development or strength-based approaches Management/supervisors should assess, reward, and promote personnel for: • Communication skills, problem solving skills, initiative, and commitment to mission; • Ability to work with clients in a community setting and to engage clients in community services, supports, and opportunities; • Time spent targeting risk and need based on assessment results; • Consistent use of rewards systems when clients do well and graduated sanctions when they have set-backs; and, • Recidivism outcomes, based on risk-level of caseload. [151, 152]
Supervisor Ratios: Span of Control and Personnel Management	The ratio of probation field officers-to-supervisors should ideally be between 5:1 and 7:1, and should not exceed 10:1, although there are factors that influence the appropriate span of control, including: • More complex tasks and more task diversity among supervised staff requires more supervision (smaller span of control); • When staff are not fully trained, or are being trained in new approaches, closer supervision is required (smaller span of control); • Effective use of information technology to improve communication, performance monitoring, and support of supervised staff can reduce the need for supervision (larger span of control); and • Harmonious work conditions, wherein all staff and supervisors are of like minds and working toward the same objectives can reduce the need for

supervision (larger span of control).[153]

In many organizations, including probation departments, supervisors are promoted into positions where they are responsible for overseeing the work of other employees without the benefit of any specialized training on human resources or supervision methods and frameworks. [154] [155]

Probation departments should:[156] [157] [158]

- Adopt a philosophical framework for supervision that emphasizes the use of coaching methods, positive reinforcement, and performance management using measureable employee goals and objectives
- Provide training and coaching to supervisors on 21st Century workforce changes and modern day human resource practices.

Supervisors should serve as advocates for staff and support their efforts to develop, continuously learn and see a career path in the Department

Supervisors should hold employees accountable. This requires that organization wide expectations regarding the role of probation officers need to be communicated.

Governing and Operational Structure	The Judicial Council's Probation Services Task Force came up with five fundamental principles for the governance and operational structure of probation in California. These principles are: - **Principle 1:** Authority over and responsibility for the conduct, support, funding, oversight, and administration of probation services, including the appointment of the chief probation officer, must be connected. - **Principle 2:** Courts and counties should develop and implement partnerships to administer probation departments and work collaboratively to ensure appropriate levels of service, support, funding, and oversight. - **Principle 3:** Probation services should be administered primarily at the local level. - **Principle 4:** Standards with measurable outcomes are necessary. - **Principle 5:** Adult and juvenile probation services should be administered in a single department.[159] While there not established based practices in governance and oversight of probation departments, it is worth nothing that these principles correspond with a consolidation of oversight functions, rather than a dispersion in oversight across a variety of bodies.

Collection and Use of Data

The systematic collection and use of data is a pivotal topic in the literature surrounding effective probation practices. Any organization concerned with the quality and impact of its services must track critical data elements over time to monitor improvements and identify areas of need.[160] Client-level data must be regularly assessed and re-assessed for improvements and changing needs on an individual level.[161] These data, when taken in the aggregate, can also provide a picture of organizational-level improvements and needs.[162] Streamlined, simplified electronic records help move a probation department toward greater efficiency and effectiveness, with automated reports and more accurate reviews of how personnel, teams, divisions, and reform efforts are doing.[163] Thorough data collection and use are essential to monitoring and tracking whether the department is producing equitable outcomes across race and ethnicity, and if its efforts to address bias and disproportionate minority confinement are succeeding.[164][165]

Maintaining focus on the topics described above, the table below lists best practices in probation's collection and use of data across the following domains:

- Information Systems
- Client-Level Data
- Agency-Level Data
- Use of Data
- Data Sharing
- Data-Driven Decision-Making and Performance Management

In each of these sections, RDA provides a summary of standards recommended in reports and guidelines from the Bureau of Justice Assistance, the National Institute of Corrections, the National Center for State Courts, the National League of Cities, and the California Child Welfare Co-Investment.

Table 5. Collection and Use of Data

Collection and Use of Data Components	Best Practices
Information Technology Systems	Ideally, probation departments should utilize a single case-management data system that can be used to maintain individual case information, as well as to create aggregate reports.[166] Probation case management data systems should track, among other data points: • Demographic information • Assessment results • Supervision activities • Dispositions

- Diversion
- Violations
- Transfers to adult court
- Recidivism (arrest, incarceration, new adjudications/convictions),
- Outcomes in "wellness" areas such as education, mental health, employment, housing, and program completions[167]

Probation departments should assemble an information technology team tasked with reducing redundant data collection processes and increasing the utilization of effective data systems.[168] Probation departments should also dedicate adequate employee time, software, and training to ensure that the data are reliable and comprehensive.

- Inaccurate data are useless and can even be misleading and dangerous.[169] One of the surest ways to help ensure accuracy of data is to continuously review it, talk about it, and have it matter in all meetings.

Probation information technology should be designed and utilized consistently so that reports on population indicators can be generated automatically, including aggregate and disaggregated reports on:

- Caseload size,
- Workload measures,
- Probation revocations, and
- Successful completions.[170]

Probation should hire and/or train staff who are adept at and committed to translating data into useful information for use by line staff and community members.[171]

Client-Level Data	Probation departments must uniformly and accurately capture client-level data to monitor client needs, case planning, progress, and outcomes, not least of which because the basic units of analysis in determining how a probation department is performing are its client-level outcomes.[172] Those client-level data should then be used to encourage clients and to inform employee performance reviews. • Every person who enters the probation system should receive an assessment that measures both static and dynamic risks and needs.[173][174] It is also essential to measure clients' strengths and protective factors that can be built on in case planning.[175] • Reassessments should be done periodically while clients are under supervision so that their incremental change can be noted and recognized.[176] • Demographic data must be captured and tied to client outcomes so that analyses can consider race and other demographic data points.[177][178]
Agency-Level	Probation departments should measure their performance on an ongoing basis to ensure that they are successfully reaching their goals of delivering high-quality

Data	probation services, advancing positive outcomes for clients, reducing likelihood of recidivism and, ultimately, improving public safety. Performance measurement relies on monitoring both process and outcome measures.
	Some process measures include:
	• Number of individuals screened for risk, needs, substance use, mental illness, or other issues;
	• Number who have attended and completed treatment or social service programs;
	• Weekly or monthly contacts each client made with an officer and/or service provider; and,
	• Court-ordered fees, fines, or child support collected.
	Outcome measures include:
	• Number and type of probation terminations/revocations;
	• Reasons for violations;
	• Rates of re-arrests, and the reasons for re-arrests; and
	• Improvements in mental health, substance use recovery, or other social service outcomes (this may require data sharing or cooperation among agencies).[179]
	Agency-level data should be transparent and reported out regularly. Best practice suggests implementing a data report that is released monthly on the department website and which includes population counts and some outcome data.[180]
Use of Data	Client and agency-level data are needed to conduct performance assessments of a probation department as a whole, and to assess the effectiveness of specific units, strategies, and staff members.[181] Probation departments should use data systems to:
	• Analyze caseload assignments and adherence to risk- and need-driven supervision strategies to identify opportunities for reallocating cases and supervision resources;
	• Use process measures to determine if actual practices are matching the protocols for the evidence-based practices that the department has instituted;
	• Analyze changes in client-level data over time, including incremental improvements in dynamic risks and needs, and reductions in probation revocations, and rearrests, to see if adoption of evidence-based strategies is having the desired impact;
	• Use client outcome data disaggregated by unit, probation officer, and region to determine if some staff need additional support, training, or reassignment;[182]
	• Integrate client-level process and outcome data into staff performance review processes, and recognize when staff members are on track with desired practices;[183][184]
	• Analyze the impact of probation practices by race, ethnicity, and gender to

	address disparities;[185] and, • Advocate for certain practices with policymakers, stakeholder groups, and the community.[186]
Data Sharing	Probation departments should enter into agreements with other agencies serving the same population to reduce redundancy, save money, and increase the chances of positive client outcomes. • Probation data systems should be linked to social service and treatment program information systems - if this is not possible, other systems for information sharing (which respect confidentiality and privacy parameters) should be put in place.[187] • Sharing data among juvenile probation, child welfare, mental health, and education agencies helps to reduce assessments, and allows case workers from each agency to better understand youths' life circumstances and their involvement with other agencies.[188][189] While data sharing raises legitimate legal concerns both in terms of the Family Educational Rights and Privacy Act (FERPA) and the Health Insurance Portability and Accountability Act (HIPAA) privacy protections and to protect clients from self-incrimination, some information can legally be shared, and the availability of this data is valuable. [190][191][192]
Data-Driven Decision-Making and Performance Management	Probation departments should systematically use data to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices in order to promote positive organizational- and client-level outcomes.[193] The probation department's executive management team should have a set of measurable goals (e.g., increased use of EBPs, reduced recidivism, reduced disproportionate contact, increased community collaboration) to collect data on, and should hold regular meetings to assess the data and decide what practices to change, maintain, and/or amend in order to meet goals.[194][195] In moving toward data-driven decision-making and performance management, probation departments should: • Identify champions who will help drive the approach among coworkers;[196] • Consider university partnerships to ensure capacity to conduct accurate and objective analyses to drive decision-making;[197] and, • Analyze outcomes by race to measure differential outcomes and monitor racial and ethnic disparities in negative contact and outcomes and identify some of the sources of bias.[198][199] Outcomes analyses should consider individuals for whom supervision was terminated as well as those remaining under supervision - comparing the two groups on risk, supervision level, and demographics. Analyzing the reasons for

| | revocation can help the department understand why people do or do not succeed under supervision, and can inform future supervision practices. |

Section 2. Adult Probation Services

In order to reduce jail and prison overcrowding and associated costs, jurisdictions across the United States have increased the use of community supervision. In 2015, approximately 3,789,800 individuals spent time under community supervision;[200] in Los Angeles County alone, there were approximately 55,265 individuals under community supervision. With growing numbers of individuals under probation supervision, a strength-based and evidence-based approach to community supervision has burgeoned to replace more punitive approaches proven less effective.

The literature on adult community supervision reflects this shifting paradigm, and has evolved over the years to begin providing the field with guidance about evidence-based policies and practices that help to reduce recidivism and support individuals in becoming productive community members. Evidence-based policies and practices reflect the highest form of empirical evidence, using objective, balanced, and responsible research on policies and practices that are most likely to produce improved outcomes for clients, victims, and communities.[201]

Research demonstrates that in order to reduce rates of recidivism, probation officers should utilize validated risk assessment and need assessment tools. These tools determine each client's risk for recidivism and supervision intensity, including static and dynamic risk factors as well as service needs to be addressed through strengths-based case management and connections with services.[202] The move toward a strengths-based case management approach which targets criminogenic needs, coupled with the utilization of validated risk assessments to guide supervision intensity and needs assessments referrals to services, has been one of the greatest shifts in community supervision.

Research also suggests that successful community supervision is highly dependent on the rapport built between POs and their clients. POs who are able to strike a balance between law enforcement and intervention roles, and who are able to establish clear roles and expectations with clients while modeling prosocial behaviors, demonstrate the most successful relationships and client outcomes.[203] More and more, probation officers are applying motivational interviewing techniques, cognitive behavioral interventions, and trauma-informed approaches in order to help build rapport with their clients and enhance their readiness for change.

In addition to shifts in case management approaches, probation officers are currently taking on additional responsibilities. Probation officers are supervising larger numbers of pretrial individuals in order to help reduce jail crowding and minimize disruption in the lives of people who pose minimal risk to public safety and have not yet been convicted of criminal offenses.[204] Probation officers are also participating in pre-release planning for individuals who do spend time in custody. This helps promote a smooth custody-to-community transition, a best practice that reduces uncertainty and apprehension upon release and, as a result, reduces recidivism.[205]

In line with emerging trends in adult probation service delivery, the sections below highlight best practices in Assessment and Case Planning; Pre-release Planning; and Pretrial Services, as identified in the literature.

Assessment and Case Planning

Conducting risk assessments and needs assessments to guide case management is an evidence-based practice that a majority of probation departments have integrated into their practices to help reduce recidivism and provide individuals under community supervision with the necessary resources to successfully reenter the community. The table below highlights best practices in probation case management, broken down across the following components:

- Assessments: Risk and Needs
- Screening: Basic Needs
- Screening: Psychosocial Needs
- Case Planning and Supervision Intensity
- Evidence-Based Practices in Case Management
- Structured Decision-Making: Incentives and Graduated Sanctions
- Referrals to Services, Supports, and Opportunities

Across each of these components RDA summarizes best practices from reports and guidelines coming from the National Institute of Corrections, the National Center for State Courts, the Council for State Governments Justice Center, and the Urban Institute, among other independent researchers.

Table 6. Assessment and Case Management

Assessments and Case Management Components	Best Practices
Assessments: Risk and Needs	Use validated risk assessment and needs assessment tools that identify static and dynamic risk factors in order to guide supervision practices (e.g., supervision intensity, referrals for services). Static risk factors do not change and include factors such as age at first arrest, gender, and previous mental health and/or substance use issues. Dynamic risk factors, also referred to as "criminogenic needs", can be addressed through intervention and lower one's assessed risk for recidivism, and as a result, their level of supervision. Examples of dynamic risk factors include: • Education level, • Marital status, • Employment status, • Housing stability, and • Enrollment in substance abuse treatment.[206] Several risk and needs assessment tools follow the risk, need, responsivity (RNR) model that identifies criminogenic risks, needs, and responsivity as key principles

for reducing recidivism.[207]

- *Risk -* Supervision and treatment levels should match risk levels
- *Needs -* Services should target a client's dynamic risk factors
- *Responsivity -* Treatments should use cognitive learning strategies and be tailored to individual characteristics of individual on probation (e.g., cognitive behavioral interventions, culturally-responsive, gender responsive programming)

During the assessment phase, probation officers should also identify the strengths of their clients in order to help build rapport and promote prosocial behaviors that can help to connect individuals back to the communities in which they committed crimes.[208]

See Table 17 *for criminogenic risk and needs assessment tools.*

Screening: Basic Needs	In addition to using criminogenic risk and needs assessments, probation officers should screen their clients for basic needs including:[209] [210] • Housing • Education • Employment • Benefits Enrollment Probation Officers should refer individuals to community-based and/or county service providers they have structure partnerships with in order to address these needs. *See* Table 18 *for list of basic needs screening tools.*
Screening: Psychosocial Needs	Probation officers should also conduct psychosocial screenings on: • Substance use disorder • Mental illness • Co-occurring substance use disorder and mental illness Probation officers should refer individuals to community-based and/or county service providers for further assessment on an as needed basis. *See* Table 19 *for list of psychosocial screening tools.*
Case Planning and Supervision Intensity	Probation officers should conduct risk and need assessments to determine supervision intensity, develop case plans and goals in consultation with clients, and make necessary referrals to county and community-based services. *Refer to the "Structured Partnerships" section in Table 2 for greater detail about the types of partnerships probation departments should have with county and*

	community-based providers in order to help clients address their identified needs. Supervision intensity should be based on each client's risk for recidivism, as indicated by a validated risk and needs assessment tool or tools: • **Low risk/administrative caseload:** Supervised on administrative or banked caseloads, which require infrequent check-ins (once every few months) and primarily involve monitoring client progress through written or verbal self-report and formal criminal record checks. • **Low risk:** Supervised to some extent with greater number of check-ins, usually monthly, with a focus on providing any necessary stabilization services (i.e., survival needs). Probation officers should avoid referring low risk individuals to services where large numbers of individuals have antisocial, pro-criminal attitudes, which includes avoiding incarceration to the greatest extent possible.[3] • **Moderate/High risk:** Supervised with frequent check-ins that are typically bi-weekly or weekly; case planning focused on stabilization and risk reduction strategies (i.e., criminogenic risk).[4] • **High risk/intensive supervision**: Supervised with frequent check-ins, with a focus on risk containment (focus on control and stabilization efforts).[211] Probation officers should reassess clients at established intervals (e.g., every six months) and after key life events (e.g., obtaining stable housing, obtaining full-time employment) in order to update case plans and adjust supervision intensity as appropriate.[212]
Length of Probation	Probation departments should shorten the length of supervision for individuals who follow the conditions of their supervision, as research indicates there are diminishing returns to supervision after fifteen months.[213] • Shortening supervision periods for lower to moderate risk clients who comply with the terms of their supervision will help reduce caseloads and allow for increased supervision intensity on the highest risk clients.[214] Probation officers should use early termination of supervision as an incentive to create positive behavioral change and compliance to supervision terms.
Evidence-based Practices in Case Management	Probation officers should utilize evidence-based and best practices in case management to ensure they implement a client-centered, strength-based approach, and to reduce the likelihood that clients recidivate.[215] Below are examples of evidence-based practices in case management that probation officers should implement to the greatest extent possible:

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[3] Case plans for these individuals should be short, outcome-focused and should allow them to "earn" their way onto distance reporting and, ultimately if their behavior warrants, early discharge.

[4] Moderate risks clients should also be able to earn their way onto distance reporting and eventually early discharge if their performance warrants.

- ***Effective Practices in Community Supervision (EPICS)***: A supervision model "designed to use a combination of monitoring, referrals, and face-to-face interactions to provide the client with a sufficient 'dosage' of treatment interventions, and make the best possible use of time to develop a collaborative working relationship."[216]
- ***Motivational Interviewing:*** A counseling style where probation officers are helpers in the change process, with the goal of eliciting self-motivational statements and behavioral change from the client as opposed to using coercive tactics to try and change behaviors.[217]
- ***Cognitive Behavioral Interventions:*** Interventions that focus on exploring relationships between a person's thoughts, feelings, and behaviors in order to replace negative thoughts by restructuring them in positive ways.[218]
- ***Trauma-Informed:*** A framework that involves understanding, recognizing, and responding to the effects of all types of trauma, helping to create a safe environment for clients, and ensuring that probation services do not re-traumatize clients.[219]
- ***Gender Responsive:*** Strategies that address the realities of women's lives through gender-responsive policy and programs.[220] When working with men, programs should explicitly address gender attitudes and promote alternative notions of masculinity.[221]

See Table 20 *for an overview of case management frameworks.*

Structured Decision-Making: Incentives and Graduated Sanctions	In order to enhance transparency and reduce bias, probation officers should implement structured decision-making processes to guide the provision of rewards/incentives and graduated sanctions. Structured Decision-Making: Incentives and Graduated Sanctions • Providing incentives and recognition to promote behavioral change rather than negative accountability methods of punishment and criticism increase the likelihood of success for individuals under community supervision.[222] • Research suggests a 4:1 reward/reinforcement to sanction ratio is ideal,[223] and that utilizing structured, incremental responses to non-compliant behavior helps promote behavioral change and reduce recidivism occurrences.[224] • Implementing a graduate response matrix matrix that accounts for infraction frequency and severity to guide decision making practices around revoking probation for non-compliant behavior brings a greater degree of consistency, reliability, and equity to the assessment and decision-making process.[225] Procedural justice theory suggests that individuals are more likely to comply with the terms of probation if they are considered fair and transparent.[226] As such, implementing a structured system of graduated sanctions that takes into account the history of each individual and the severity of their violation can help to: • Increase compliance with probation terms for all populations, and

	• Reduce racial and ethnic disparities in technical violations and revocations.
Referrals to Services, Supports, and Opportunities	Based on the needs identified through a validated assessment tool, probation officers should make referrals for clients to county providers and community-based organizations with which probation has established structured relationships. Probation officers should have information concerning the different providers in the county, and refer clients to the most effective, culturally appropriate, and gender responsive programming closest to their clients' places of residence. Probation should place emphasis on referrals to partners that provide education, employment, housing, drug treatment, mental health treatment, and mentoring services.[227] Additionally, POs should be familiar with informal community supports that provide neighborhood cohesion and support clients in their efforts to acclimate to their communities as law-abiding citizens.[228] • Bi-directional feedback and communication should exist between probation officers and all partners in order to help to reduce duplicative efforts and remove clients' barriers to success.[229] Probation offices should also regularly host service providers and other government agencies that provide these services in their waiting areas so that probation offices, particularly neighborhood offices, can serve as resource hubs for such services and supports. Secure computer terminals with references to local services and supports should be available in these hubs, as should printed schedules indicating when specific providers will be there so clients can coordinate their time in the office to be there when the resources they need will be there.[230] *Refer to the "Structured Partnerships" section in Table 2 for greater detail about the types of partnerships Probation should have with County and community-based providers.*

Pre-Release Planning

Jail and prison staff, probation staff, and other county and community-based service providers must work together to meet the needs of individuals transitioning from custody to the community in order to help reduce recidivism and improve reentry outcomes. Probation officers should provide "in reach" services to ensure there is a smooth handoff from custody to the community upon release, as well as to clarify expectations, conditions, and terms of supervision, and to establish individualized case plans and referrals to service providers. Table 7 below reviews best practices in pre-release planning across the following components:

- Screening
- Assessment and Case Management
- Custody-to-Community Transition

RDA reviewed documentation derived from the National Institute of Corrections, Urban Institute, and the National Center for State Courts to synthesize the information in the table provide below.

Table 7. Pre-Release Planning

Pre-release Planning Components	Best Practices
Screening	Best practices and the "Transition from Jail to Community" (TJC) model suggest that successful reentry planning should begin as close to intake as possible. Probation staff is not expected to participate with in-custody screenings; however, it is a best practice for jail staff to conduct screenings at intake in order to identify medium to high-risk individuals that probation officers should try to meet with prior to their release from custody. [231] Intake screenings should identify risk of re-offense as well as the following needs: • Physical health • Homelessness • Mental health • Substance use • Co-occurring disorders
Assessment and Case Management	Jail staff should refer individuals with identified physical health, mental health, and/or substance use issues to qualified professionals who can issue proper assessments and develop treatment plans while they are in custody. Individuals identified at medium or high risk for recidivism should receive in-custody case management and programming.[232] Case management should be guided by the use of validated risk and needs assessment(s). As noted above, several risk and needs assessment tools follow the risk, need, responsivity (RNR) model that identifies risk, need, and responsivity as

key principles for reducing recidivism.[233]

- *Risk -* Supervision and treatment levels should match risk levels
- *Need -* Services should target a client's dynamic risk factors
- *Responsivity -* Treatment should use cognitive learning strategies and be tailored to individual characteristics of individuals on probation (e.g., cognitive behavioral therapy, gender responsive programming)

Assessment should also help to identify individuals' talents, accomplishments, and strengths as a basis for client development.

See Table 17 *for a list of validated criminogenic risk and needs assessment tools.*

Ideally:

- The in-custody risk and need assessment tool(s) being used in custody should be the same instrument that probation uses post-release so that staff are using the same vocabulary and addressing similar criminogenic risk categories;
- One case plan should be used by all agencies interacting with the client, including the sheriff's department, probation, and community-based providers, among others; [234] and
- The risk and needs assessment tool(s) being used should be shared electronically by all involved agencies.[235]

Custody to Community Transition	Probation officers should have a larger role supporting the custody to community transition for individuals who will be under community supervision upon release. In order to help establish a smooth custody to community transition:
	
	• Probation officers should work in county jails, if resources allow;
	• Probation officers should provide "in-reach" services to individuals they will be supervising prior to their release. "In-reach" should include
	   ○ Clarifying expectations, conditions, and terms of supervision; and
	   ○ Review of individualized case plans, and establishing referrals to community-based providers.[236]
	
	To the greatest extent possible, service providers should provide in custody and community-based programming to promote continuity of care; referrals and appointments with community-based services should also be established prior to individuals being released from custody.

Pretrial Services and Court Assistance

In many jurisdictions, probation officers are currently taking on additional responsibilities, including assessing and supervising larger numbers of individuals pretrial in order to help reduce jail crowding and minimize disruption in the lives of people who pose minimal risk to public safety and have not yet been convicted of criminal offenses.[237] Table 8 below highlights best practices in pretrial services across the following components:

- Pretrial Investigations
- Pretrial Risk Assessment
- Pretrial Supervision

RDA draws on research from the Chief Probation of Officers California, California Forward, and the Arnold Foundation to identify best practices in pretrial services.

Table 8. Pretrial Services[238]

Pretrial Services and Court Assistance Components	Best Practices
Pretrial Investigations	Assigned probation officers should collaborate with the court by conducting pretrial investigations in order to help make evidence-based, informed decisions about releasing or detaining individuals pretrial.[239] Pretrial investigations typically include: • An interview with the defendant during which a validated pretrial risk assessment instrument is administered and scored; • A review of court records and other collateral information; and, • A formal report presented to court. In addition to assessing criminal history and prior failures to appear, judges may consider a number of other factors in pretrial investigations, including: • The nature of the alleged offense; • Drug and alcohol use; • Mental health; and, • Community ties.[240] As a part of the investigation evidence-based agencies conduct objective pretrial risk assessments in order to evaluate the risk of flight and re-offense.[241]
Pretrial Risk Assessment	Probation officers should conduct validated pretrial risk assessments as a part of pretrial investigations. Judges should consider the identified risk for re-offense and/or flight when making decisions about releasing or detaining

individuals rather than relying on the money bail system.[242]

Pretrial risk assessment tools consider a number of factors to determine the level of risk for re-offense and/or flight. Each factor is assigned a point value, and the total number of points for each individual translates into a risk level (typically low, moderate, or high). Some of the factors that are typically related to pretrial risk include:

- Criminal history;
- Prior failures to appear;
- Substance abuse; and,
- Transportation.

There are a number of pretrial risk assessment tools used across the United States. Research demonstrates that factors related to pretrial risk can vary across jurisdictions, and that each jurisdiction should conduct a local analysis when adopting a tool in order to determine its reliability. As such, any tool utilized should be empirically based and validated locally.

For a sample of pretrial risk assessment tools, please refer to Table 21.

The Arnold Foundation has developed the Public Safety Assessment (PSA) to assess pretrial risk for flight and re-offense without an in-person interview.[5] [243] Judges can use this tool to make determinations around pretrial release. The PSA does not require an in-person interview, and was developed and validated using data from jurisdictions across the United States. Therefore this tool can be used across jurisdictions.[244]

Pretrial Supervision	Supervision intensity of individuals released pretrial should be determined based on risk of flight or re-offense. [245] • **Low risk** individuals should receive passive supervision or no supervision at all. This might include period reviews of their terms of their release to identify changes in eligibility, such as changes in employment status. • **Moderate risk** individuals should receive active supervision and meet with probation officers less often than high risk individuals. • **High risk** individuals should receive active supervision and meet with probation officer regularly, either weekly or bi-weekly. This includes court reminders, electronic monitoring, and/or home confinement. To the extent possible, supervisors should connect individuals released pretrial to services such as employment services and medical care, but their release should not be conditioned on these services unless it can be shown that they are reasonably related to their likelihood of flight and/or re-arrest.

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[5] If this is able to reliably predict risk for flight and re-offense in LA County, it could save the Probation Department a large amount of time necessary for pretrial investigations.[5] RDA recommends diversion efforts only employ case planning for high-risk youth.

Clients who perform well under pretrial supervision should be rewarded with reduced office visits and lessened sanctions.[246]

Refer to the "Structured Partnerships" section in Table 2 for greater detail about the types of partnerships Probation should have with County and community-based providers.

Section 3. Juvenile Service Delivery

The institutional model of juvenile justice is rooted in a history that dates back 170 years, beginning with the opening of the Massachusetts Lyman School for Boys in 1846.[247] At that time, institutionalization was viewed as a humane alternative for youth living in "poorhouses" or on the street, as well as a means to control an unruly immigrant youth populace. Research indicates that the institutional model has largely been a failure, as recidivism rates for detained youth are high. In addition, in many instances, poor institutional conditions have led to youth inmate abuse and resulting in federal legal interventions and mandates to downsize or close detention facilities.[248]

Research on juvenile justice service delivery over the last 15 years has largely come in response to the failures of punitive institutional models. This research reflects a shifting juvenile justice paradigm acknowledging that youth should be diverted from formal processing to the greatest extent possible because youth on probation experience higher reoffending rates than comparable youth whose cases are diverted rather than processed in juvenile court.[249] For youth who are justice involved, the shifting paradigm maintains the overarching goal of the juvenile justice system, to promote public safety through the prosocial development of youth who become system involved, while utilizing evidence-based systems and practices informed by a youth developmental approach.

The youth developmental approach highlights key behavioral differences between youth and adults, which suggest that that the treatment and supervision of juveniles should not mimic adult criminal punishment models, but rather should maintain focus on programming and intervention. Unduly harsh interventions or treatment, and negative interactions between youth and juvenile justice system personnel, can undermine youth respect for legal authority, reinforce an "us versus them" mentality for justice involved youth, and delay or prevent a transition to prosocial adulthood which. [250] Research has verified that the brains of adolescents don't mature until young adulthood or the late twenties, and that adolescents differ from adults and children in three important ways that lead to differences in behavior:

1. Adolescents have less capacity for self-regulation in emotionally charged contexts, relative to adults;
2. Adolescents have a heightened sensitivity to proximal external influences, such as peer pressure and immediate incentives, relative to children and adults; and
3. Adolescents show less ability than adults to make judgments and decisions that require future orientation. [251]

As a result, adolescents prefer and engage in risky behaviors that have a high probability of immediate reward but can have harmful consequences. As such, adolescent therapeutic interventions need to be developmentally appropriate and responsive in order to be rehabilitative and promote improved outcomes. [252]

Diverting youth from unnecessary contact and involvement with the front-end of the juvenile justice system should be probation's first objective, as diverting youth from negative associations and influences within the juvenile justice system has been shown to reduce system involvement and

penetration. For youth who do enter the system, a therapeutic positive youth development (PYD) approach balanced by comprehensive and fully integrated treatment is an evidence-based practice. The PYD approach includes recognizing that youth have a tremendous capacity for change, and nurturing their strengths with programs designed to foster healthy development. It also includes building supportive relationships with adults and peers, and developing new skills that are valued in the community, while avoiding punitive interventions to the greatest extent possible. This evidence-based juvenile justice approach also includes structured decision-making processes; age appropriate risk, need, and strength assessments; and connections with developmentally appropriate, culturally- and gender-responsive programs and services that support prosocial development.

The sections below highlight the components of juvenile service delivery described above, and identify best practices in Pre-Adjudication Diversion, Assessment and Case Management, and Juvenile Detention and Residential Programming. Across each area, RDA summarizes best practices identified in research, and key program characteristics for probation departments to consider.

Pre-Adjudication Diversion

Across the nation, the implementation of programs diverting youth from juvenile justice system has become an emerging response to the recognition of the harm it causes. Pre-adjudication diversion programs seek to reduce recidivism, decrease crowding in detention facilities, increase family participation, and promote the use of more appropriate treatments at the community level.[253] The table below highlights best practices in pre-adjudication diversion broken down across the following components:

- Partners
- Entry Points
- Diversion at Intake by Juvenile Probation Officers
- Eligibility Considerations
- Written Agreements
- Data Collection and Program Evaluation

RDA synthesized best practices from reports and briefs issued by the Models of Change Initiative and the National League of Cities.

Table 9. Pre-Adjudication Diversion

Youth Diversion Program Components	Best Practices
Partners	Probation should collaborate with other county and community-based partners to establish juvenile justice diversion programs within the county; successful programs depend on long term involvement, commitment, and support from many key stakeholders including: • Law enforcement • Courts • District attorneys' offices • Public defenders' offices • Schools and public education agencies • Children and youth agencies • Mental health agencies • Substance use agencies • Managed care organizations • Child advocates • Victim advocates • Community-based partners Probation should consider following the Community Assessment and Referral Centers (CARC) model, where diversion programs established by interagency collaborations provide a single point of entry for crisis intervention, assessment,

	service integration, and referral of arrested youth (e.g., San Francisco's Huckleberry Center). CARC's community-wide, rehabilitative approach towards non-violent youth has effectively diverted youth from detention and formal probation. In addition to these partnerships, it is crucial for diversion programs to work with the victims and family members of high risk diverted youth in order to develop their case plans and written agreements. [254] [6]
Entry Points	Probation, in collaboration with program partners, should establish decision points for diversion; this helps to systematize the process by which youth are diverted from the juvenile justice system. [255] [256] Pre-adjudication diversion can take place at four levels: • School • Law enforcement • Magisterial district judge • Juvenile court[257] Typical decision points include: • *Initial police contact-* When a police officer first observes youth violating the law; • *Intake conference-* When youth, after apprehension, are referred for an intake conference with a juvenile PO; • *Petitioning-* When (or immediately before) the court would be petitioned to begin the process leading to adjudication. • *Pretrial probation contact-* When a court staff member or probation officer engages in pretrial interviewing of a youth and family in the course of formal processing. Probation should also work with schools to encourage the establishment of diversion practices so that individuals with disciplinary issues are able to avoid formal processing to the greatest extent possible.
Diversion at Intake by Juvenile Probation Officers	Probation officers should use intake as an opportunity to screen, identify, and divert eligible youth from entering the juvenile justice system by collecting information about the case, and balancing the interests of the youth, the victim, and the safety of the community. • Utilize a structured decision making process that establishes clear parameters for considering eligibility factors such as the following: o First youth offense[7]

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[6] RDA recommends diversion efforts only employ case planning for high-risk youth.
[7] RDA recommends consideration of all youth with relatively short offense histories

- Youth cited for misdemeanors, non-violent felonies, or status offenses
- Youth referred by magisterial district judge for failure to comply with lawful sentence in summary offense cases
- Youth between the ages of 10 and 17[8]
- Youth with mental health and/or substance use disorders.[258][259]

- If initial screening indicates that youth may have mental health and/or substance use issues, more targeted assessments should be conducted by behavioral health partners.

See Table 23 *for a list of targeted assessment tools.*

Probation officers should be aware of the range of diversion programs available as an alternative to formal processing and, to the extent possible, prioritize diverting youth into evidence-based programs, or programs implementing best practices in youth case management and service delivery.[260]

Written Agreements	"The conditions of any diversion program should be clearly and completely reflected in a formal written agreement between the youth, family, and the diversion program. The agreement should be individually tailored to a youth's specific risk factors and needs in order to maximize his/her ability to successfully complete the program requirements."[261] Diversionary agreements should be short, avoid being unnecessarily onerous, and only include requirements directly related to redressing the alleged offense. Failure to successfully complete diversion should never result in sanctions harsher than what the youth would have experienced if they hadn't been diverted.[262] All written agreements should contain the following: • Measurable objectives to be met by youth • Identification of others with specific responsibilities described in detail • A formal process for monitoring compliance • A system of rewards for compliance and consequences for failing to meet measurable objectives or comply with the terms of the agreement • Statement of definite, limited duration of agreement • Verification that victim input was sought and taken into account • Demonstrated family involvement • Informed consent for right to refuse diversion and request a hearing before a judge[263]
Data Collection and Program Evaluation	Data should be collected by all diversion programs to track outcomes and evaluate the effectiveness of diversion policies and practices. At a minimum, programs should track:

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[8] RDA recommends consideration be given to applying diversion to TAY population as well

- Demographic characteristics
- Completion rates
- Recidivism and re-arrest rates
- Victim satisfaction
- Participant satisfaction

Diversion programs should also monitor the extent to which collaboration between partners has been accomplished through memoranda of understanding, protocols, and trainings.[264]

Detention Diversion

Detention alternative programs within the juvenile justice system aim to provide highly structured and well-supervised activities for youth in pending delinquency proceedings in order to ensure court appearances and reduce the likelihood of re-arrest, while allowing youth to continue attending school without disruption and remain at home during this time period.[265] Effective programs place lower risk youth in less costly programs, while assuring the most serious individuals are appropriately supervised in a secure setting. The table below highlights best practices in detention diversion broken down across the following components:

- Collaboration
- Models of Alternative Diversion Programs
- Eligibility and Admission Practices
- Length of Stay

RDA synthesized best practices in detention diversion from reports issued by the Annie E. Casey Foundation based on results from the Juvenile Detention Alternative Initiative (JDAI) which has been implemented across over 300 counties nationwide.

Table 10. Detention Diversion

Detention Diversion Components	Best Practices
Collaboration	To be effective, a detention alternative program needs broad-based support and acceptance from juvenile justice practitioners, local government and non-profit agencies, and community members. To generate support and acceptance, probation and stakeholders should: • Develop consensus (relying heavily on data) about the narrow and explicit purpose of a secure detention; • Develop a vision of what the new system should look like; • Develop and implement a plan of action; • Understand the nature and purpose of any proposed detention alternative;[266] • Define program responsibilities and system expectations for all parties involved; • Implement a formal mandate in order to determine desired outcomes through formal appointment such as a steering or executive committee;[267] Collaborative partners should include all juvenile justice system stakeholders and additional partners including:[268] • Judiciary • Prosecution

- Defense
- Probation
- Detention
- Representatives of state agencies responsible for youth corrections
- Representatives of the county or city administration and local legislators
- Representatives from other youth-serving public systems
- Community-based providers

Probation should consider contracting community-based providers to help generate successful detention alternative programs.

- Partnerships and contracts with local community-based agencies are ideal because these organizations may have easier access to youth and can often supervise youth within their own neighborhoods. [269]

Recommended steps for developing detention alternatives include: [270]

- Organizing a stakeholders' group;
- Analyzing data on the detention population and juvenile court caseload;
- Collecting written information about alternative programs;
- Visiting model programs and reformed detention systems;
- Agreeing on target populations and program approaches;
- Developing a screening mechanism;
- Promoting the program with those who will refer cases;
- Beginning operations and carefully building to capacity; and,
- Constantly monitoring performance and making necessary adjustments

Models of Alternative Detention	Several program models have proven to be effective alternatives to detention in secure facilities. The continuum of detention alternatives generally includes three basic program models for youth held prior to a disposition hearing.[271] Probation, in partnership with local stakeholders, should establish a continuum of alternative detention programs that include the following: - ***Home or community detention alternatives:*** Home or community detention alternative programs are non-residential, non-facility-based supervision. They should be used to supervise youth who can safely reside in their own residence or with relatives. Supervision typically entails staff performing, random, unannounced, face-to-face visits at the clients' residence. Youth are also required to be on a curfew and have limited movement outside the home unless pre-authorized.[272] - ***Day or evening reporting centers:*** Day or evening reporting centers are non-residential, facility-based supervision that provide six to 12 hours of face-to-face daily supervision in the community. These centers refer youth to recreational, educational, and vocational opportunities in the community, and require daily check-ins on school attendance and curfew. These centers should provide structured activities for youth who require more intensive

oversight.

- ***Shelter or foster care:*** Shelter or foster care is non-secure residential placement that provides an alternative for youth that either need 24-hour residential supervision to be considered for release from secure detention, or for youth who have no suitable or safe home or relative placement available. Shelter programs provide time-limited housing where youth are typically supervised by staff 24 hours a day, seven days a week and are provided consistent and structured activities, typically including both educational and recreational activities. Foster care placement can supplement non-residential programs as they can host younger children, sexually exploited youth, lower-risk cases or other youth who may not be suitable for placement in a shelter. Length of stay in these programs should not exceed 30 days.[273]

Each model may have a range of supervision levels.

Eligibility and Admission Practices	Probation or detention alternative program staff should use an age appropriate validated risk assessment tool, such as the Detention Assessment Instrument (DAI), to identify cases that are low to medium risk and diversion eligible to determine overall eligibility of youth placement in alternative programs. Youth should be placed in the appropriate level of restriction based on their likelihood of flight and potential danger to the community.[274] Eligibility decisions should: • Be data-driven; • Use objective standards and structured decision-making processes; and • Be monitored regularly to track consistency of intake decisions and accuracy of assessments.
Length of Stay	Alternative detention programs are designed to provide a time-limited form of detention supervision and not longer-term treatment. Probation, in collaboration with partners, need to emphasize the capped length of stay in detention alternative programs to avoid negative consequences. Extensive lengths of stay in detention alternative programs: • Increase the likelihood of youth violating program rules; youth who do violate program rules are then often automatically placed in secure detention. • Lead to waiting lists; longer lengths of stay may result in detention alternatives quickly reaching full capacity. Youth should be discharged from detention alternatives when their cases are adjudicated and the court decides upon a disposition.[275]

Assessment and Case Management

Juvenile probation officers working with youth should implement a strength-based, positive youth developmental case management approach, in addition to conducting risk and needs assessments and identifying the strengths of youth to guide their case management practices.[276] The table below highlights best practices in juvenile probation case management, broken down across the following components:

- Training
- Risk and Needs Assessments
- Case Planning
- Case Management
- Length of Probation
- Evidence-Based Practices
- Structured Decision-Making: Graduated Response Approach
- Connections to Developmentally Appropriate Services, Supports and Opportunities
- Legal Support
- Reentry Planning

In each of these components, RDA provides a summary of best practices recommended in reports and guidelines issued by the National Institute of Justice, Annie E. Casey Foundation, Council of State Governments (CSG) Justice Center, Bureau of Justice Assistance and the Council of State Governments Justice, and the National Council on Crime and Delinquency.

Table 10. Assessment and Case Management

Assessment and Case Management Components	Best Practices
Training	All probation officers working with the juvenile population should receive specialized training to better understand the psychosocial development and social contexts of youth. [277] [278] Some relevant areas of training include: • Brain development • Moral decision-making • Impulsivity • Trauma-informed care Probation staff should also be trained in other evidence-based approaches including: • Positive youth development • Cognitive based interventions

	• Motivational interviewing
Risk and Needs Assessments	Probation officers should conduct validated youth risk and needs assessments in order to identify individuals' risk for re-offending as well as their criminogenic risks and needs, including stability needs. Implementing a comprehensive youth risk and needs assessment helps guide case planning and can contribute to positive outcomes including:[279] • Minimizing bias in assigning risk levels to youth; • Providing a common language between agencies; • Reducing costs by decreasing use of intensive supervision, over-use of incarceration, and provision of services to youth who do not need them; • Improving the targeting of services; • Reducing unnecessarily restrictive supervision and attendant probation violations for less risky clients; • Providing a means of data collection on the problem areas of youth; and, • Reducing rates of re-offense. Juvenile probation officers should conduct assessments every six months in order to determine changes in risks and needs. *See Table 22 for a list of validated youth risk and needs assessments* • Trauma, mental health, and substance use screenings are included in assessment protocols. Youth with identified needs in these areas should be referred to specialists to conduct more thorough assessments. *See* Table 23 *for a list of targeted mental health and substance use assessments*
Case Planning	Probation officers should develop individualized case plans with youth and their families. Numerous systems such as child welfare, education, and juvenile justice, have effectively applied structured family group conferencing strategies to case planning processes. Such team decision-making processes have been shown to produce positive outcomes and high rates of compliance for clients. [280] Family group conferencing should: • Engage families in the case work process and be family-centered; • Ensure case managers attend conferences, especially at the initial case planning stage;[281] • Include strength-based approaches to making decisions, setting goals, and achieving desired outcomes for children and families;[282] • Employ supportive behaviors, institute family team models, use motivational interviewing, and integrate cultural competence;[283] Individualized case plans should be tailored for each youth and address the risk and needs identified during assessments. Ultimately, case plans should be:

	• Developed with each youth and their family; • Structured around small, achievable goals that build up to larger goals; • Built to withstand relapses into destructive behaviors, because this is a natural occurrence during the developmental and maturation process. Plans developed during family group conferencing should be presented to the court and implemented.[284] Individualized case plans should also clearly identify community-based programs and services youth will work with to address criminogenic risks and needs, as well as be flexible to reflect changes in risk and needs and document progress made towards goals.
Case Management	Probation officers should implement a positive youth development (PYD) approach in their work with youth. A PYD approach includes: • Recognizing that youth have a tremendous capacity for change; • Nurturing the strengths of youth with programs designed to foster healthy development, build supportive relationships with adults and peers, and develop new skills that are valued in the community; • To the greatest extent possible, avoiding punitive interventions that lead to building a negative self-identity and social patterns that may result in criminal behavioral. Implementing a PYD strategy requires significant changes to how staff and communities work with youth, and will require a culture shift in organizations with traditional deficit-based approaches. In addition to implementing a PYD approach, probation officers should: • Consistently provide youth with feedback addressing their risk and needs, as well as the extent to which they have reached defined goals; • Seek to provide greater amounts of positive than negative reinforcement (4:1 ratio); and, • Use infractions and/or violations as teachable moments and opportunities to enhance motivation and growth. As noted above, probation officers should utilize individual case plans as tools to improve case management practices and client outcomes. Individual plans such as New York City's Supervision Individual Achievement Plan (IAP) restructure and improve the way probation officers and clients interact by emphasizing progress and goal achievement.[285] Probation officers should work together with the client to identify focus areas for improvement during the time the client will be on probation, such as employment, positive peer interaction, and remaining crime free. Case management utilizing individual plans should include: • Goal setting within focus areas; • Agreements on how probation officers will help support the client in achieving these goals;

	• Agreements on how the client will participate in selected services to achieve set goals; • Meetings between probation officers and youth that focus primarily on discussing progress, challenges, and needs related to the goals in the focus areas; and, • Updating and revising the plan as needed (when new challenges arise, a goal is met, etc.).[286]
Length of Probation	Probation should minimize the length of formal supervision, as youth placed on probation experience significantly higher reoffending rates than comparable youth whose cases were not processed in juvenile court and are instead placed in diversion programs.[287] Probation should adopt a developmentally appropriate approach towards supervision[288] and avoid using a fixed term of supervision.[289] • Probation should minimize supervision for youth who are at a low risk of reoffending.[290] • Probation supervision terms should be based on a youth's risk of reoffending and the severity of offense while allowing those who need additional support services to receive them.[291] • Early termination of supervision should be used as an incentive.
Evidence-Based Practices	As noted in the "Adult Probation Services: Assessment and Case Planning" section, there are a number of additional evidence-based case management approaches that juvenile probation officers should integrate into their case management practices. Some of these evidence-based approaches include: • *Motivational Interviewing:* A counseling style where probation officers are helpers in the change process, with the goal of eliciting self-motivational statements and behavioral change from the client as opposed to using coercive tactics to try and change behaviors.[292] • *Cognitive Behavioral Interventions:* Interventions which focus on exploring relationships between a person's thoughts, feelings, and behaviors in order to replace negative or false thoughts by restructuring them in positive ways.[293] • *Trauma-Informed:* A framework that involves understanding, recognizing, and responding to the effects of all types of trauma, helping to create a safe environment for clients, and ensuring that probation services do not re-traumatize clients.[294] • *Gender Responsive:* Strategies that address the realities of women's lives through gender-responsive policy and programs.[295] When working with men, programs should explicitly address gender attitudes and promote alternative notions of masculinity.[296] • *Positive Youth Development/Justice:* Building on youth assets as a vehicle to promote behavior change, rather than merely trying to extinguish their deficits.[297]

Structured Decision-Making: Graduated Response Approach	In order to enhance transparency and reduce bias in decision-making, juvenile probation officers should implement a structured decision-making model to guide the provision of rewards/incentives and graduated sanctions.
	Graduated Response Approach:
	• "A graduated response approach uses research in adolescent brain development and behavior modification to guide probation officers and case managers on appropriate and available sanctions and rewards for youth currently being supervised in the community."[298]
	Disposition Matrix:
	• A tool to organize sanctions and programs by risk level and offense severity, placing youth along a continuum of disposition options, typically including secure out-of-home placements, placement alternative programs, probation, intensive services, and other community options.
	Incentives and Recognition:
	• Incentives and recognition to promote behavioral change rather than negative accountability methods of punishment and criticism increase the likelihood of success for individuals under community supervision.[299] Research suggests a 4:1 reward/reinforcement to sanction ratio is ideal.[300]
	See Table 24 *for a description of the NCCD's Structured Decision-Making Model and the Center for Children's Law and Policy's Graduated Response Toolkit.*
Connections to Developmentally Appropriate Services, Supports, and Opportunities	Based on the needs identified through a validated, age-appropriate needs assessment tool, juvenile probation officers should connect youth with therapeutic interventions, supports, and opportunities that are effective, developmentally and culturally appropriate, and gender responsive in order to improve probationary service outcomes and reduce the likelihood of recidivism. [301]
	• Probation should prioritize establishing partnerships with service providers who are in geographic regions that individuals under juvenile probation live, and who are implementing evidence-based services.
	Some services that are age-appropriate for youth are:
	• Mentoring • Family support • Peer associations • Skills supports • Civic engagement • Education/educational assistance • Employment readiness training/workforce development

	• Positive arts, sports, and recreational opportunities As noted above, bi-directional feedback and communication should exist between juvenile probation officers and all partners to help reduce duplicative efforts and remove barriers to success for clients under community supervision.[302] *Refer to the "Structured Partnerships" section in Table 2 above for greater detail about the types of partnerships probation should have with county and community-based providers.*
Legal Support	Probation personnel should brief all youth on their rights as specified in Assembly Bill (AB) 1843, including that: • An adjudication by a juvenile court is not a "conviction" which has implications for future employment and • Employers may not consider any arrest or detention that did not result in a conviction, a referral to or participation in any pretrial or post-trial diversion program, or any conviction that has been judicially dismissed or ordered sealed.[303] It is a legal requirement in California that county probation inform juveniles of their rights and procedures for sealing and expunging their records (California Welfare & Institution Code, § 781.).[304] [9] Youth should also be informed of the procedures required to expunge their juvenile records, and probation officers should work with youth to fill out and file expungement applications. Once records are expunged, the individual has the legal right to tell potential landlords, employers, licensing agencies, and others that they were never arrested or adjudicated as a juvenile. While the ultimate decision to try a youth as an adult does not rest with probation, when probation officer recommendations are sought, in the interests of public safety, probation should attempt to keep juveniles within juvenile courts and facilities. Probation departments should not advocate for the transfer of juveniles to the adult court system, as research shows such transfers increase their risk of violence and recidivism, and severely decrease the likelihood that they will receive the education and mental health services to which they are legally entitled[305]
Reentry Planning	Juvenile probation officers should participate in discharge planning for youth who have been detained. This should include conducting validated and age-appropriate risk, need, and strengths assessments in order to guide the case planning and management process, described in greater detail in the components above. • Reentry planning should including continuity of medication and support youth access to health insurance coverage upon release.[306]

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[9] If records are to be expunged while youth are on probation or when they are about to terminate, RDA recommends probation officers should be required to routinely work with youth with the process such as filling out and filing expungement applications for them.

Juvenile Detention and Placement Facilities

Best practices in juvenile detention and placement are described in Table 11 below. The table highlights best practices in a number of areas including:

- Intake
- Safe and Developmentally Appropriate Juvenile Detention Facilities
- Community-Based Detention Sites
- Programming in Custody
- Education in Custody
- Safety in Custody: Trauma-Informed Care Climate
- Safety in Custody: Staff Disciplinary Practices and Conduct
- Cultivating a Positive Climate

In each of these sections RDA provides a summary of standards and recommendations from reports and guidelines coming out of the Annie E. Casey Foundation's Juvenile Detentions Alternatives Initiative, the National Center for Mental Health and Juvenile Justice, the National Association of State Directors of Special Education, the Juvenile Law Center, the Vera Institute of Justice, and independent researchers.

Table 11. Juvenile Detention and Placement Facilities

Custody Topic	Best Practices
Intake	Probation departments should create and adhere to admissions policies and practices that minimize the use of involuntary confinement to avoid exposing lower-risk youth to additional criminogenic risk, and to prevent over-crowding. Classification systems should ensure that high-risk and low-risk youth are not housed together, and that the needs of youth are identified and met during detention.[307] Intake and admissions staff should not detain: • Children under the age of 12; • Youth who have not committed a delinquent or criminal act (being undocumented does not constitute such an act); • Youth with status offense without a valid violation of a court order and due process (as specified in the Juvenile Justice and Delinquency Prevention Act, 28 CFR § 31.303(f)); or, • On the grounds that there is no other place to put them (e.g., if a parent refuses to take the youth home). [308] Intake and admission staff should: • Only admit youth transferred from or cleared by outside medical or mental health facilities if the detention center has the capacity to provide appropriate ongoing care;

- Use a race- and gender-appropriate validated youth risk assessment instrument (RAI) to determine the appropriate pre-dispositional placement or status necessary to accomplish the purposes of detention;
- Place eligible youth in the least restrictive detention alternative needed to accomplish those purposes (e.g., a non-secure setting, home supervision, evening reporting centers, home electronic monitoring); and,
- Gather information necessary to make housing and programming decisions for special populations including limited English proficient (LEP) youth; youth with physical or intellectual disabilities; youth at risk of sexual victimization; youth at risk of victimizing other youth; and youth who are or are perceived to be lesbian, gay, bisexual, transgender or gender non-conforming, questioning, or intersex (LGBTQI); [309]

Medical Evaluation:

A qualified medical professional should conduct a medical screening designed to detect any urgent health needs or ongoing health concerns that require immediate attention. This screening should be conducted in a confidential setting immediately upon the youth's admission. Female health professionals should be available to conduct the screening for girls.[310]

Safe and Developmentally Appropriate Juvenile Detention and Placement Facilities	Juvenile detention and placement facilities should be clean; meet fire and safety codes; have properly functioning temperature controls, light, and ventilation; and offer youth appropriate living conditions. Every effort should be made to ensure that the facilities do not look like or operate as jails, but rather as developmentally-appropriate environments conducive to the rehabilitate goals of the probation department. [311] Detention and placement facilities should be physically reconfigured into welcome physical spaces at enables both staff and youth to feel safe and promotes behavioral and cognitive change.[312] Key features to include: • Small group living in residential cottages with open, dormitory-style housing to accommodate "core groups" of 8-12 youths;[313] [314] • Cottages furnished with comfortable beds, amenities, and ample natural light and fresh air;[315] • Living room areas and private restrooms; • Strong emphasis on a holistic Integrated Treatment Model; and, • Close proximity to youth's communities.[316] Collaborative, data-driven efforts should be made to reduce lengths of stay in detention and placement facilities. System-wide efforts probation should consider to reduce the length of stay in placement include: • Implement weekly detention case reviews where department staff and supervisors gather to review the status of each youth being held. If a case

	change is reported, action should be taken. [317] • Create a position dedicated to tracking all cases in the system and expediting those suitable for earlier scheduling and release. • Reduce detention admissions resulting from probation violations and placement failures.[318] Probation should also consider case processing reforms that expedite the flow of cases through the system, reduce lengths of stay in detention, expand the availability of non-secure program slots and ensure that interventions with youth are timely and appropriate. Probation should ultimately minimize youth placement in a secure pretrial detention facility, as research has shown that such placement has a negative impact on ultimate case outcomes.[319]
Post-Adjudication Placement	To the greatest extent possible, juvenile placement facilities should be located in close proximity to youths' prosocial supports (parents, other supportive family members, and mentors) in order to ensure ongoing connection to positive social influences during confinement. Frequent family visits are associated with good behavior and improved school performance for youth who are incarcerated.[320] [321] **The Missouri Model:** The Missouri model is associated with substantially lower recidivism rates compared to conventional juvenile custody practices. The model includes creating a homelike and non-correctional environment with programming and staffing inside the facility, as well as parent-family engagement bridging the facility and the community. Treatment and developmental programming are trauma-informed; delivered by well-trained, well-supervised, and well-supported staff; and address prosocial skill development, academic or vocational instruction, work readiness, and work experience. Facilities in the Missouri model are characterized by: • Carpeted, warmly appointed dorm rooms containing 10-12 beds, with a dresser and closet space for each youth; • Pods containing living rooms, couches, and coffee tables; and, • Policies that allow youth to dress in their own clothes rather than uniforms, and keep personal mementos in their rooms.[322] Key tenets of the Missouri Model are: • Continuous case management; • Decentralized residential facilities; • Small-group, peer-led services; • Restorative, rehabilitation-centered treatment environment; • Strong organizational leadership; • An organizational culture shift from providing services under the court and correctional system to using the department of social services as the primary service provider, and ensuring that staff are both highly qualified and highly

	trained; • Highly effective treatment strategies and approaches and ensuring that the program consistency reflects on, improves, and discards any ineffective initiatives; and, • Larger constituency and increased buy-in from stakeholders.
Programming	Facilities should ensure that youth receive medical care, mental health treatment, translation services, and access to religious services, as needed and required by law.[323] • Youth must have access to any medical or mental health care that they require; if the facility is for any reason not able to ensure that each detainee receives the care he/she needs, accommodations must be made to move youth to a setting where such care can be delivered. • Translation services should be readily available for youth and families with limited English proficiency. • Youth must have access and opportunity to attend optional religious services and practice their faiths – youth who do not choose to participate may not be confined during religious programs. [324] Facilities should provide programming that is consistent with what research shows is most likely to improve detainees' ability to succeed following release, including substance abuse services among other services noted above.[325] Additionally, custody programming should: • Teach detainees skills around self-awareness, communication, emotional regulation, and problem-solving;[326] • Target criminogenic needs;[327] • Include gender-specific programs to help ensure that gender-specific pathways to offending are addressed – for both girls[328] and for boys;[329] • Be culturally-responsive and delivered by individuals who have received training in cultural competency;[330] and, • Include field trips and community service projects for as many youth as possible (Missouri model includes moderate-to-higher risk youth).[331] All in custody programs should be regularly evaluated, whether they are run by the probation department or by community-based partners. Evaluations should include: • Program quality measures; • Client satisfaction measures; • Measures to assess changes to clients' criminogenic risk; and • Methods to assess any reduction of recidivism as a result of program.[332]
Education in	Every effort should be made to ensure that juvenile detainees receive high-quality education while in residential care or detention, so that their involvement

Custody	with the juvenile justice system does not increase their criminogenic risk by disrupting their academic path.[333] While probation departments are not usually directly responsible for educating detainees, they partner with county offices of education and local school districts, as well as nearby community colleges to ensure that education is delivered.

In these partnerships, probation departments should advocate strenuously that the following best practices be employed:

• Education should be delivered to students in custody for approximately six hours a day, five days a week.[334] [335]
• Students in juvenile justice facilities should never be denied school time as punishment for misbehavior inside or outside of the classroom.[336]
• In custody education should include individualized student success plans implemented and monitored by school personnel. [337] [338]
• Students should be screened for special education needs, and information on Individualized Education Plans (IEPs) should be obtained from each student's school. IEPs should be created, followed, and updated for students with identified special needs who do not have IEPs in place. All in custody schools should have Special Education Resource Specialists.[339] [340]
• Youth in detention should not simply be given "busy work." Lessons should all have stated educational goals that include advancing critical thinking and align with state standards.[341]
• Students should be grouped by age and ability, not residential unit, taught by single-subject credentialed teachers in the subject of their expertise, and assigned standards-based credit-bearing school work that can be easily transferred to their destination school.[342]
• If the detention facility school has high teacher/administrator turnover, or teachers consistently assessed as poor quality, an agreement should be reached with the district or county office of education to designate the site(s) as hard-to-staff sites, and to provide high quality teachers with extra incentives to work and persist in these positions.[343] [344]
• Teachers should be trained in culturally responsive pedagogy, trauma-informed de-escalation and classroom management techniques, restorative practices (community circles and harm circles), and basic mental health.[345]
• Youth should be connected with the most appropriate educational institution immediately upon release.[346] To the greatest extent possible, youth should be returned to a comprehensive high school, rather than to an alternative/continuation school.[347]
• Juvenile facilities should also partner with local community colleges to provide college courses. Courses should be targeted at inspiring students to attend college or develop a career after they leave custody, and focus on time management, career assessment, and career development that includes aptitude testing.[348]
• Rigorous efforts should be made to assure a smooth "hand-off" between the in custody schooling and the community school so that credits and work are transferred and youth make a successful transition to their next educational |

	environment.[349] Probation should seek support from the Center for Educational Excellence in Alternative Settings (CEEAS) in order to implement the blended learning initiative. The goal of the initiative is to implement comprehensive blended learning models, which combine face-to-face teaching with online instruction to improve student engagement and learning at schools operating in long-term secure juvenile facilities.
Safety in Custody: Trauma-Informed Care	Institutional staff should create a safe environment by providing sufficient staffing and supervision, as well as safeguarding against triggers that are likely to result in conflicts, violence, and injury. All staff working in detention facilities and camps should receive trauma training to reduce their likelihood of triggering a trauma response, or inadvertently escalating youth who are dysregulated because of trauma histories. Trauma training should cover (at minimum): • Knowledge and skills around creating trauma-informed environments; • The impact of trauma on youth development, behavior, and delinquency; • Common trauma triggers and how to avoid them; • Recognizing signs of trauma reactions; • Safety planning and de-escalation strategies; • Working with traumatized youth; and • Vicarious trauma.[350] Trauma screening is recommended for all youth *only if there are legal protections in place* to ensure that information disclosed during the screening/assessment will not be used against them by probation or the courts.[351]
Safety in Custody: Staff Disciplinary Practices and Conduct	Youth should be supervised closely to ensure any detainee-on-detainee conflicts are resolved safely and that injury is prevented.[352] • Staff should not ever use room confinement for discipline, punishment, administrative convenience, retaliation, staffing shortages, or reasons other than a temporary response to behavior that threatens immediate harm to a youth or others. • Staff may use room confinement when a youth is engaging in property destruction that threatens immediate harm to youth or others.[353] • Frequent room checks should be made by staff while youth are in custody and youth in room confinement should not be needlessly deprived of access to programming and education. The department should establish threshold lengths of time in room confinement beyond which escalating levels of supervisorial approvals are required.[354]

	Allegations of staff abuse of detainees should be investigated thoroughly by an independent unit.[355] As allegations of abuse are being investigated, alleged victim(s) should be protected from harm and kept separate from alleged perpetrator(s).[356] [357] Termination is the presumptive consequence for substantiated cases of abuse and neglect. (Additional detail on PREA compliance at 28 CFR §§ 115.376, 115.377).[358]
Cultivating a Positive Climate	Implementing system-wide positive behavior supports drastically reduces behavioral infractions among detained youth.[359] To implement positive behavior supports, institutional staff and educators must: • Establish 3-5 clear behavior expectations that are positively stated (e.g., "everyone treats everyone else with respect," or "we all support each other to be our best selves"); • Consistently teach and model these behavior expectations; • Formally, regularly, and positively acknowledge youth when they display desired behavioral expectations and engage in established routines;[360] and, • Form and sustain supportive rather than coercive relationships with youth.[361] Staff must also examine and shift their own attitudes about "positive" supports.[362] Probation staff, particularly those working inside detention facilities, may have difficulty adjusting from a punitive frame to one oriented toward positive behavior, as punishment is an assumed function of juvenile detention for many institutional staff.[363] Changes in policy and practice can, however, result in less punitive attitudes among juvenile detention personnel.[364]
Assessment	Every 2 years, detention and placement facilities should assess their conditions and practices against the Juvenile Detention Alternatives Initiative detention facility standards (revised in 2014). These standards were developed and refined by juvenile facility mangers and experts, and are informed by best practices in: • Maintaining safety; • Assessing and grouping youth according to validated risk assessment; • Providing gender- and culturally-responsive housing environments; and, • Ensuring detainees experience the least restrictive settings and conditions possible within legal and safety requirements.[365]

Section 4. Transition Aged Youth

Young adulthood is a transitional period that can range from age 18 to 25. Recently, neurological research has verified that young adults are developmentally distinct from older adults and more similar to their younger counterparts. Studies have shown that significant brain development continues well into the 20s, particularly in the prefrontal cortex region, which regulates impulse control and reasoning.[366] During this period of substantial growth and change, young adults exhibit clear developmental differences from older adults. Young adults are developmentally distinct from older adults in that they demonstrate heightened risk taking and poor decision-making. However, the social contexts that young adults operate within are different from those of juveniles; young adults are more likely to be influenced by peer groups, have different sets of social expectations, develop a greater degree of independence from family, and have greater access to employment opportunities as well as alcohol or other controlled substances.[367]

The transition to adulthood is especially challenging for justice-system-involved young adults, as they are more likely to have personal histories that can further disrupt psychosocial development.[368] In fact, crime-involved young adults have a higher likelihood of parental incarceration, poverty, foster care, substance abuse, mental health needs and learning disabilities, all of which have been linked to impeding psychosocial maturity.[369]

As a group, young adults comprise a disproportionately high percentage of arrests and prison admissions, and about half of all young adults return to prison within three years following release.[370] Current systems are not effectively reducing future criminality among this age group, and the unique needs of young adults are not being met in either the juvenile or adult justice systems. Studies suggest that incarceration creates additional barriers to educational attainment, stable employment, housing, health care, and relationships. The multiple disadvantages that these young adults face suggest that correctional programming, both in secure facilities and in the community, must include more robust options than skills training alone. Young adults must also build the prosocial skills to succeed in adult roles — exercising impulse control, emotional self-regulation, and better interpreting others' intentions — in addition to the technical skills of their work.[371]

When someone between the ages of 18 and 24 commits a crime, neither the juvenile nor the adult criminal justice system is exclusively responsible for providing services and supervision to this individual. The table below highlights considerations and best practices for transition aged youth (TAY) across criminal and juvenile justice systems.

Table 12. Transitional Age Youth

Transitional Age Youth Components	Best Practices
Case Planning and Management	Research supports that 18 to 25 year olds are less successful than their older counterparts in complying with their court ordered terms and conditions; these individuals should receive enhanced and motivational case management services to assist them while on probation.[372] Similar to case planning for youth, case planning for young adults should be individualized, developed in collaboration with the client, and structured around achievable goals. Setting small, achievable goals helps young adults gain confidence and optimism about their own abilities. In order to work with the TAY population effectively, probation officers should: • Be trained to understand the psycho-social development and social contexts of young adults, as well as in facilitating evidence-based practices; and, • Be granted broader discretion so that they can create and amend supervision conditions, shorten supervision terms for good behavior, and divert cases to community services or treatment, where appropriate, based on young adults risk and needs assessment or progress toward prosocial goals.[373] Case planning strategies with the TAY population should: • Utilize techniques that employ sequential direction. Breaking down the court's orders into individual tasks and directing the 18 to 25 year old client to complete one task at a time will be more effective than requiring all to be managed simultaneously.[374] • Anticipate and incentivize positive growth and behavior. Plans should be structured to allow for frequent and tangible rewards for positive behavior (e.g., decreased reporting frequency, shortened supervision terms, or possible expungement of records). • Anticipate and withstand relapse into previous destructive behaviors, and recognize this as a natural occurrence within the process of maturation and behavioral change for justice involved young adults.[375] • Assist young adults in thinking strategically about how to use their time, especially if they are transitioning out of a highly structured incarceration environment.[376] An additional tool that can assist probation officers developing case plans for clients between the ages of 18 to 25 is the Search Institute's "40 Developmental Assets" which outlines internal and external youth characteristics that help to identify risk and resiliency factors. Assets are identified in eight categories: support, empowerment, boundaries and expectations, constructive use of time, commitment to learning, positive values, social competencies, and positive

identity).

Ultimately, the community supervision approach taken with the TAY population should shift from a law enforcement-oriented approach to a strength-based approach where practitioners engage in behavior-change work with the person on supervision.[377]

Supervision strategies for TAY should include those used with youth, including:

- Positive youth development; [378]
- Motivational interviewing;
- Cognitive behavioral approaches to address criminal thinking and anti-social behavior;
- Shorter periods of community supervision; and, [379]
- Expectations that are compatible with prosocial goals and adapt to work, school, and family schedules of supervised young adults.

See Table 26 for a list of TAY-specific programs that have been effective for serving this population.

Substance Abuse & Mental Health Treatment	Traditional substance abuse and mental health treatment approaches can be less effective with the TAY population. Recommendations for working with this population include:[380] - At least one year of treatment provided, with the potential for ongoing treatment; - More extensive assessment provided; - Greater emphasis on psychoeducational and supportive approaches; - Use of the Seven Challenges Model; and, - Cognitive-behavioral treatment approaches. *See Table 25 for a description of Multisystemic Therapy for Emerging Adults, an adaptation of the MST evidence-based treatment with decades of research supporting its effectiveness.*
Linkage to Community-based Services, Supports, and Opportunities	Based on identified needs, probation officers should refer TAY clients to appropriate services with which the department has structured partnerships. Priority should be placed on keeping young adults in the community whenever possible, where they are able to maintain and build prosocial relationships through education, housing, family, and employment.[381] Probation officers should also connect TAY clients to life skills training to ensure that young adults are ready to transition to independence.
Training	Probation should expand the training offered to their staff to focus on the specific developmental needs of emerging adults and effective interventions. Specific training should be provided to all professionals who will be working with

	emerging adults, including police, judges, probation officers, staff in residential facilities, prosecutors, defense attorneys, and providers. Probation should adopt trainings for officers working with TAY clients similar to those provided for juvenile probation officers, listed below: • Brain development • Moral decision-making • Impulsivity • Trauma-informed care • Positive youth development • Cognitive-based interventions[382]
Facilities	Special considerations for young adults in jail facilities include the development of a special correctional unit or facility designed for emerging or young adults with targeted programming for the needs of this age group.[383] Detained young adults should be housed separately from older, more sophisticated inmates whenever possible.

Appendix of Tools, Practices, Programs, and Approaches Referenced in Document

Table 13. William Bridges Stages of Organizational Transition[384]

Ending	Neutral Zone	New Beginning
• Grieving loss due to change • May see overreaction to change • Acknowledge losses – get them out in the open	• Anxiety rises and motivation falls • People may feel overwhelmed, disoriented, self-doubting • People are divided – some want to move forward, others stay the same	• Involves new understandings, new values, and new ways to think about yourself • Need to be nurtured like a plant would be • Clarify and communicate the purpose

Table 14. Sample of Gang Prevention and Intervention Strategies and Programs

Strategy/Program Type	Description
The Comprehensive Community-Wide Approach to Gang Prevention, Intervention, and Suppression	Comprehensive approaches to gang problems implement from the perspective that street gangs are by-products of partially incapacitated communities. The OJJDP's Comprehensive Gang Model is highlighted in the Collaboration, Partnerships, and Linkages table, Table 2, above. This model has been replicated in whole or in part in locations such as Bloomington, IL; Tucson, AZ; San Antonio, TX; Riverside, CA; Los Angeles, CA; San Jose, CA; and, Mesa, AZ. [385]
Street Outreach Services	Street outreach in the OJJDP Comprehensive Gang Model occurs inside the framework of a cooperative relationship with other agencies, including probation, law enforcement, social services, and schools. Street outreach worker responsibilities in this model include: 1) Building relationships with clients and other gang members, 2) Recruiting gang members, 3) Serving as intervention teams' eyes, ears, hands, and feet on the street, 4) Linking clients to necessary services and support their participation, 5) Providing quality interaction with clients, 6) Acting as a liaison between project clients and service providers, 7) Working with clients on employability skills, 8) Recognizing and reinforcing positive behavior, 9) Resolving difficulties between clients, their families, other youth, and/or agencies, 10) Providing appropriate crisis responses in conjunction with other agencies following a violent incident, 11) Assisting families in distress, and 12) Documenting their activities.[386]

Hospital-based Violence Intervention Programs	Hospital-based Violence Intervention Programs (HVIPs) combine the efforts of medical staff and community-based partners to intervene with violently injured young people as soon as possible after hospitalization. HVIPs reach those caught in the cycle of violence immediately after they have been hospitalized. At this critical moment, this vulnerable population is at a crossroads; they can either encourage retaliation for the violence committed against them, or they can turn their traumatic experience into a reason to take themselves out of "the game." Breaking the cycle of violence means that each patient can begin working with a highly trained "Intervention Specialist" who provides crisis intervention, long-term case management, linkages to community-based services, mentoring, home visits, and follow-up assistance designed to promote health, including mental and physical recovery from trauma. Several studies have demonstrated the effectiveness of interventions at these moments.[387]
School-Based Programs	Students bring preexisting gang conflicts to the school setting and new conflicts are created when opposing gang members come into contact with one another. Goldstein and Kodluboy (1998) suggest that programs in school settings must, at a minimum, include three types of strategies: 1) In-school safety and control procedures (see also Trump, 1998), 2) In-school enrichment procedures that make the school experience more meaningful, effective, and enjoyable (see also Howell and Hawkins, 1998), and 3) Formal links to community-based programs.[388]
CeaseFire Programs	CeaseFire is a comprehensive violence reduction strategy. Ceasefire uses a data driven process to identify the individuals and groups at the very highest risk of gun violence in a city and engages those individuals in direct communication to inform them of their risks and offer them support. The individuals are then enrolled in services, supports, and opportunities and also receive heightened law enforcement attention if they continue to engage in violence. Ceasefire is a harm-reduction model that first focuses on short-term reductions of gang/group related gun violence. Core components include: 1) A data-driven strategy, 2) Direct Communication to the Highest Risk Groups and Individuals, 3) Services, Supports, & Opportunities, 4) Supervision and Focused Enforcement.[389]
Gang Prevention Through Targeted Outreach, operated by Boys & Girls Clubs of America	Gang Prevention Through Targeted Outreach, operated by Boys & Girls Clubs of America (BGCA), is a communitywide gang prevention program that incorporates four objectives: community mobilization, recruitment, mainstreaming/programming, and case management. Police departments, schools, social service agencies, and community

	organizations recruit at-risk youth into club programs in a non-stigmatizing way through direct outreach efforts and a referral network that links local clubs with courts. Programs are offered in five core areas: character and leadership development; education and career development; health and life skills; the arts; and, sports, fitness, and recreation. [390]
Albuquerque's Youth Development Inc. (YDI)	Albuquerque's Youth Development, Inc. (YDI) provides comprehensive services for at-risk youth and others involved in the juvenile justice system. YDI's Gang Prevention and Intervention Program is directed toward preventing initial gang involvement among younger teenagers and providing constructive, nonviolent activities for cur-rent gang members. In a structured 7-week program, gang members become involved in community service, learn nonviolent conflict resolution skills, obtain employment and legal assistance, and receive counseling with family members. [391]
Inner-City Games (ICG)	Inner-City Games (ICG) is an urban program that provides alternatives to gang life. Licensed by the National Inner-City Games Foundation, ICG provides opportunities for inner-city youth to participate in athletic, educational, cultural, and community-enrichment programs. The program enables youth to build confidence and self-esteem and encourages them to say "no" to gangs, drugs, and violence and "yes" to hope, learning, and life. Originally assisting youth only in East Los Angeles, ICG expanded to 15 cities, serving more than 1 million young people. [392]
Home Boy Industries/Jobs for a Future	Homeboy Industries and Jobs for a Future provide alternatives to gang life for gang members; they provide access to jobs that can give them an escape from gangs. Jobs for a Future place some 200 gang members in jobs in the community each year. Homeboy Industries merchandises T-shirts and silkscreens and operates Homeboy Bakeries, which sells baked bread to a commercial baker. Both enterprises successfully employ rival gang members. Proceeds from these ventures fund a daycare center, a homeless shelter, an alternative school for gang members, and a tattoo-removal service. [393]
Los Angeles Gang Reduction and Youth Development (GRYD)	Intervention agencies that are contracted with the City of Los Angeles Mayor's Office of Gang Reduction and Youth Development to provide intervention services to gang-involved youth and young adults, ages 14-25, (clients) and their families who have a presence in the GRYD Targeted Service Zone using the GRYD Intervention Family Case Management Model. Contract agencies also provide Incident Response and Proactive Peacekeeping in and around the zone to preempt, reduce, and respond to gang-related violence. Proactive Peacekeeping efforts

take place on an ongoing basis, through engaging potential perpetrators and victims of gang violence, as well as engaging the broader community in an effort to quell surges in violence. Contract agencies ensure that all staff, including program directors/coordinators and subcontractors, participate in on-going training and debriefing sessions/meetings.[394]

Table 15. Probation Officer Training for EPICS

Type of Training	Description	Dosage
Effective Practices in Community Supervision	Covers risks, needs, and responsivity principles and core correctional skills including how to do anti-criminal modeling, effective reinforcement, effective disapproval, effective use of authority, structured learning, problem solving, cognitive restructuring, and supporting the development of relationship skills. The EPICS model ensures that community supervision officers focus on higher-risk clients, treat criminogenic needs, and use treatment strategies that match the learning styles and motivations of clients.	3-4 day training session and 24 coaching sessions through UCCI

Table 16. APPA workload Study Findings

Activity	Hours Per Month
Administrative tasks	36
Home visits	20
Motivational interviewing	18
Pre-sentence investigation	14
Court appearances	13
Processing technical violations	13
Verifying collateral contacts	10
Substitute coverage	8

Drug tests	6
Verifying employment	5
Receiving training	4

Table 17. Validated Criminogenic Risk and Needs Assessment Tools

Tool
Correctional Assessment and Intervention System (CAIS)
Correctional Offender Management Profile for Alternative Sanctions (COMPAS)
Level of Service Inventory-Revised (LSI-R) and Level of Service/Case Management Inventory (LS/CMI)
Static Risk and Offender Needs Guide (STRONG)
Offender Screening Tool (OST)
Ohio Risk Assessment System (ORAS)

Table 18. Basic Needs Screening Tools[395]

Tool	Purpose
New York City Department of Health Homeless Checklist	Brief homeless screening tool used to identify the living situation of individuals immediately prior to arrest
Texas Uniform Health Status Update	An easy to use medical screening tool that comes with easy to use instructions
PS Plus Assessment	Employment screening tool that surveys for vocational interests, skills, and history; educational levels and qualifications; and, barriers to employment such as driver's license suspension.
The Maryland Correctional Education Program Employment Screen	A 49 question tool intended to identify potential challenges job seekers may face that groups issues by the following six categories: education/training, personal/health, attitude, support, and job search.

Table 19. Psychosocial Screening Tools[396]

Tool	Purpose
TCU Drug Screen II	A 15-item substance use screen that identifies individuals with serious substance abuse histories and takes five to ten minutes to administer.
GAINS Brief Jail Mental Health Screen	An eight question mental health screening that takes less than three minutes to administer.
Mental Health Screening Form	A two-page, 17-item mental health screen that because it is longer can help identify symptoms of specific mental health disorders.

Table 20. Case Management Frameworks

Case Management Approach	Purpose
Integrated Case Management	A case management approach that seeks to integrate the following: • The process of reentry—considering, as one process, all that happens from the time of admission to time in prison to discharge from supervision into the community. • The goals of community safety and successful reentry, recognizing that they are mutually reinforcing. • Custody, control, and monitoring strategies with targeted intervention and enhanced motivational strategies to reduce the likelihood of future recidivism. • Prison-based and community-based efforts. • Staff and public-private partnerships into a case management team. • Efforts of correctional agencies with those of non-corrections stakeholders to manage the individual's reentry process more effectively. • The principles of evidence-based practice with case management efforts. • Efforts of case managers and other staff with the efforts of clients themselves. Georgia, Indiana, Michigan, Missouri, New York, North Dakota, Oregon, and Rhode Island have implemented the Transition from Prison to the Community (TPC) model that utilizes the Integrated Case Management Approach.

Strength-based case management (SBCM)	A client centered case management approach that emphasizes people strengths, viewing clients as resources and resilient to adversity.[397] SBCM focuses on future outcomes and strengths that people bring to a problem or crisis.[398]
Forensic Assertive Community Treatment	Forensic Assertive Community Treatment (FACT) is and adaptation of ACT, an evidence-based behavioral health treatment model for people with serious mental illness who are at-risk of or would otherwise be served in institutional settings (e.g. hospitals, jails/prisons) or experience homelessness.

The ACT model is a comprehensive community-based model of treatment, support, and rehabilitation for individuals who have serious and persistent mental illness, and who do not seek-out support and/or have trouble engaging in traditional office-based programming. ACT is often referred to as a "hospital without walls" in which the ACT team itself provides the community support.

Teams members in the FACT model include:

- Probation officer
- Psychiatrist
- Social workers
- Nurses
- Substance abuse specialists
- Vocational rehabilitation specialists
- Occupational therapists
- Service coordinators
- Peer support specialists (individuals who have had personal, successful experience with the recovery process) |
| **Intensive case management (ICM)** | Intensive Case Management (ICM) is another behavioral health treatment model that provides a community-based package of care, aiming to provide long term care for severely mentally ill. ICM falls somewhere between typical case management and the ACT model described above and highlights the importance of small caseload (less than 20) and high intensity input. |

Table 21. Sample of Pretrial Risk Assessment Tool[399]

Tool
Federal Pretrial Risk Assessment Instrument
Coconino County Pretrial Risk Assessment Tool
Colorado Pretrial Assessment Tool

Florida Pretrial Risk Assessment Instrument
Kentucky Pretrial Risk Assessment Instrument
Indiana Risk Assessment System
Correctional Offender Management Profile for Alternative Sanctions
Ohio Risk Assessment System: Pretrial Assessment Tool
Virginia Pretrial Risk Assessment Instrument

Table 22. Evidence-Based Youth Risk and Needs Assessment Tools

Validated Youth Risk Assessments
Juvenile Assessment and Intervention System (JAIS)
Ohio Youth Assessment System (OYAS)
Positive Achievement Change Tool (PACT)
Risk & Resiliency Checkup (RRC)
Structured Assessment of Violence Risk in Youth (SAVRY)
Washington State Juvenile Court Assessment
Youth Level of Service/Case Management Inventory (YLS/CMI)

Table 23. Youth Mental Health and Substance Abuse Assessment Tools

Mental Health and Substance Use, Youth Risk Assessments
Carlson Psychological Survey (CPS)
Comprehensive Addiction Severity Index for Adolescents (CASI–A)
Jesness Inventory – Revised (JI-R)
Massachusetts Youth Screening Instrument—Version 2

Table 24. Structured Decision-Making and Graduated Response

Tools	Summary
Graduated Response Toolkit[400]	The Graduate Response Toolkit contains: • An overview of graduated responses, including research and their use; • A step-by-step roadmap for creating or enhancing a graduated response system; • Guidance on gathering and using data; • Staff training materials and hands-on scenarios; • Guidance on integrating graduated responses into case plans; • Tools to engage stakeholders; and, • Contact from the field.
Structured Decision-making Model in Juvenile Justice[401]	"The Structured Decision-making model for juvenile justice is an evidence- and research-based system that identifies the key points in the life of a juvenile justice case and uses structured assessments that are valid, reliable, equitable, and useful. The model includes the following: • **Detention screening instruments** identify the likelihood of a youth committing a future offense during a specific and short period of time: before the adjudication hearing. This information helps determine whether a secure setting should be considered while a youth awaits an initial custody hearing. • **Actuarial risk assessments** structure decision points, helping agencies know where to allocate resources and target interventions. NCCD works with jurisdictions to design and implement actuarial risk assessment instruments to help make decisions about juvenile cases following adjudication. These decisions involve determining the disposition of a case and whether a youth can be safely diverted from the juvenile justice system. • A **disposition matrix** is used to promote consistency and equity in dispositional recommendations according to the severity of the current offense and risk of future offending. This ensures that youth in similar situations will have similar and appropriate decisions at their case disposition. • Once appropriate sanctions and programs have been determined, **post-disposition decisions and case management tools** are used to inform ongoing supervision and decisions relevant to the care and well being of juvenile justice system-involved youth. Examples of post-disposition decisions and case management tools can include the following: a **response matrix**, which guides probation and/or parole officers on available sanctions and rewards for youth currently being supervised in the community; and a **custody and housing assessment** that helps staff decide how to group youth to ensure the protection of all detained youth and helps to alert staff to any special needs youth may have." [402]

Table 25. Multisystemic Therapy for Emerging Adults

Tools	
Multisystemic Therapy for Emerging Adults	Multisystemic Therapy for Emerging Adults (MST-EA) is an adaptation of MST—an evidence-based intervention that has been effective in reducing reoffending among juveniles—that is specifically tailored to the distinct needs of young adults ages 17 to 21 Multisystemic Therapy for Emerging Adults (MST-EA) was designed for young people aged 17-26 at the highest risk for negative long-term outcomes -- those with multiple co-occurring problems and extensive systems involvement. MST-EA is an adaptation of standard MST, an evidence-based treatment with decades of research supporting its effectiveness with juvenile justice populations. MST-EA has been tested thus far with young adults who have justice involvement and co-occurring behavioral health disorders (including mood, anxiety, trauma, psychotic, and/or substance abuse disorders). These young adults present extraordinarily high rates of recidivism and are at elevated risk for expensive placements. MST-EA addresses factors that are the most likely causes of offending and behavioral health problems in emerging adults. Further, MST-EA directly supports the developmentally appropriate life goals (e.g., education, employment, housing) of emerging adults and also helps them build an effective social network, while retaining the underlying principles, processes, and service delivery model of standard MST[403].

Table 26. TAY Dedicated Programs[404]

Dedicated TAY Programs	
San Francisco's Transitional Age Unit	"Relies on uniquely trained staff, intensive community collaboration, and a deep understanding of the problems affecting justice- involved young adults. This unit has a dedicated supervisor as well as seven officers who collectively handle 500 cases per year. TAY unit selects officers based not only on their skills for creating professional alliances but also on their demonstrated passion to provide support for this age group. Officers are trained in cultural competency for this age group."
Young Adult Court, Idaho, Jurisdiction: Bonneville	"The Young Adult Court in Bonneville County, Idaho serves young adults 18 to 24 years old who have misdemeanor or felony charges and are involved in the drug court system. Representatives from felony probation, juvenile probation, and misdemeanor probation departments are involved in the program, as well as the Public Defender, Prosecutor, and Trial Court Administrator, and Administrative

County, Idaho	Judge. Participants are referred through the drug court system. Many participants have multi-generational substance abuse issues. A local substance abuse treatment provider utilizes an adaptation of the Seven Challenges model, a SAMHSA recognized evidence-based program for adolescents with drug problems. The program works with clients to address their drug problems as well as co-occurring life skills deficits, situational problems, and psychological problems. Participants undergo regular drug testing as part of the program. A case manager works with the participants to secure housing and access community services. Communication with participants includes coaching and technology such as texting to promote engagement in the treatment program."
Young Adult Court (YAC), San Francisco, California	"The Young Adult Court (YAC) is a collaborative justice court program for transitional aged youth (ages 18-25). The program began in July 2015 and is a partnership among the Superior Court of California; Office of the Public Defender; Office of the District Attorney; Adult Probation Department; Family Services Agency (Felton Institute); Goodwill Industries; Department of Children, Youth and Their Families; Sheriff's Department; Jail Reentry Services; and the Department of Public Health. Persons involved in misdemeanor and felony cases are eligible, with priority given to serious felony cases. Referrals can be made by criminal justice stakeholders on a pre-plea basis; individuals can participate on a pre-plea, deferred entry of judgment (DEJ) or probation basis, depending on the charges All misdemeanor cases are eligible with the exception of those involving drunk driving, gang allegations, hate crimes, domestic violence, elder abuse or crimes against children, potential sex offender registry, and gun cases. Participants must be motivated and willing to participate in program activities, which are designed to provide developmentally aligned, trauma-informed services. This includes intensive clinical case management; individual, group, and family counseling; dialectical behavior therapy; drug monitoring; and referrals for substance abuse treatment, housing, parenting, academic and vocational support provided through linkages in the community. Participants are given an opportunity to engage in a therapeutic process to learn new skills, to reduce and recover from alcohol and/or drug (AOD) addiction and to promote physical, mental and emotional well-being. Participants receive legal advice and assistance with civil legal remedies including reinstatement of suspended driver's license and expungement/sealing of prior arrests and convictions. Participants may be offered plea or probation reductions including the dismissal of the case and sealing of arrest records, reduction from a felony to a misdemeanor charge, reduction of the length of probation, or dismissal of fines. Most participants are involved in the program for one year or longer."
Young Adult Diversion Court- Kalamazoo County, Michigan	"Young Adult Diversion Court (YADC) was designed to establish the foundation for and perpetuate the diversion of young adult first-time offenders toward healthy, positive choices and community engagement through therapeutic justice and innovative collaboration with the community. YADC is an 8-24 month program that works with probationers in Kalamazoo County Michigan between 17 and 20 years old who have been sentenced to probation on a misdemeanor charge under a diversion statute and who are at risk of losing the diversion status, resulting in a

	conviction of the criminal charge and a criminal record. The program is based on the standard Drug Court model. Participants are referred by the probation officer or judge for intensive case management through the YADC program. This includes mental health and substance abuse counseling as needed, weekly programming, and biweekly court review sessions. A Program Coordinator facilitates interactive, educational, weekly group discussions and activities focused on life skills, leadership development, and self-esteem growth opportunities. Community service is a requirement of the program. Several community agencies were involved in the development of the program and partner with the YADC program to provide services and support to participants. Graduates of YADC are discharged from probation and have their charge dismissed."
Lockport Young Adult Court (LYAC), Lockport City, New York	"The Lockport Young Adult Court (LYAC) Program seeks to diminish criminal propensity and recidivism of young adults through intense supervision, education, treatment, and judicial monitoring of Court participants. This program works to break the pattern of behaviors that have caused these young adults to become involved in the criminal justice system. The focus is directed on instilling values of accountability and responsibility by improving the personal and social aspects of each participant. This goal will be accomplished through mandating and overseeing linkages to appropriate programs, including: family counseling, educational and vocational training, anger management, substance abuse counseling, mental health counseling, first offender type programs, and many other programs. The primary impact of the LYAC Program will be on participants becoming productive, responsible, adult members of the community, by teaching them the skills necessary to conquer the issues which led them into the criminal justice system, and ultimately bringing an end to their criminal activity."
Manhattan Young Adult Court, New York, New York	"Based at the Midtown Community Court, the Manhattan Young Adult Court serves 18-to 20-year olds and operates once a week. Using risk-needs assessment tools and evidence-based practices, the initiative features a range of age-appropriate interventions, including individual and group counseling, substance abuse treatment, mental health and trauma services, and educational and vocational services, as well as referrals to local agencies and service providers. Moving forward, the Center for Court Innovation and the Manhattan District Attorney's Office have partnered to pilot a program, called Stay on Track, to reduce pretrial detention and incarceration for young adults charged with felonies."
Youthful Offender Program, Des Moines, Iowa serving Polk County	"The Youthful Offender Program is a pretrial release program serving 16 to 22 year old offenders. Participants must be first-time felony offenders and have no current or prior gang involvement. Successful completion of the program results in the felony being lowered to a misdemeanor offense with the felony removed from their record. The county attorney refers young men and women to the program. Three probation officers and the county attorney meet weekly to discuss referrals and determine suitability for program participation. The program includes cognitive thinking classes, reconciliation, restitution, GED or high school completion (if

	needed), life skills courses, and employment. The program uses evidenced-based practices in the delivery of services. Participants start with weekly supervision, which is gradually decreased to monthly supervision over a period of one to four years, depending on progress and successful completion of program requirements. A partnership with a local community college provides no-cost vocational training, education, and job placement (supported through a federal grant). Participants may be placed in a residential facility for a short period of time if there is a substance abuse relapse or failure to comply with program requirements."
Young Adult Initiative, District of Columbia-Court Services and Offender Supervision Agency for the District of Columbia (CSOSA)	"CSOSA's Young Adult Initiative (YAI) provides supervision and intervention for young adult offenders age 25 years and under by providing wraparound support, guidance and case management. YAI emphasizes early engagement and interventions, specialized programming, and team based supervision. CSOSA engages young adults in meaningful dialogue (motivational interviewing, cognitive behavioral interventions etc.), treatment, job readiness and education programming. Partnerships with community and faith-based organizations provide additional services and community service opportunities for participants. Two Young Adult Teams (YAT) provide services to all males age 18-25 years, except those living in transitional housing or supervised in the sex offender unit. Each young adult (YA) is assigned a primary Community Supervision Officer (CSO), vocational counselor, and a treatment specialist. Young adults (YA) meet with the complete team on each visit to the probation office, either individually or as a group. If not in school or working, participants remain at the CSOSA office for extended hours and receive services (vocational assessment and training, physical and mental assessment, personal and family development). Participants are supervised under a daycare or day reporting model where services are provided in house."
Intensive Supervision Service (ISS)- South Carolina Department of Corrections	"The Division of Young Offender Parole and Reentry Services (YOPRS) encompasses institutional and community-based programs for males and females sentenced under the Youthful Offender Act (YOA). Eligibility requirements for the programs include young adults who have no previous convictions and are under the age of 25 years. The program is limited to nonviolent, Class D felonies or lesser offenses, carrying maximum penalties of 15 years imprisonment or less. The youth may apply to have their record expunged if they have no other convictions during the five year period following completion of their sentence. The recidivism rate for Youthful Offenders released from South Carolina Department of Corrections in FY 2010-2011 was over 50%. Because this population was the most challenging and least successful under parole supervision, a community supervision service (Intensive Supervision or ISS) was implemented. This Intensive Aftercare Program (IAP) Model uses evidence-based practices proven to reduce recidivism, improve family and individual functioning, and ensure community safety. An Intensive Supervision Officer (ISO) works in the community and is assigned to each Youthful Offender upon admission at the South Carolina Department of Corrections. The ISO differs from a traditional parole officer by acting in a proactive manner in the life of each

	young adult. Parole officers."
Arches: A Transformative Mentoring Program- NYC	"Arches is a group mentoring program that works with justice-involved young adults to transform attitudes and behaviors that led to criminal activity. The program serves young adults on probation between the ages of 16 and 24 years. The program helps participants to get out of the justice system by strengthening their attachment to education, work, and the community. The program includes group support activities, a curriculum delivered by culturally appropriate mentors, and a setting of positive values and practices. The group process is the core component of Arches. Mentors are paid for working with participants and mentees receive stipends for each group session completed. Arches connects participants to educational, vocational, and therapeutic programs when needed. The Arches program is part of the New York City Young Men's Initiative."

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Attachment C. LA Probation Department Assessment

LA Probation Governance Study

LA Probation Department Assessment

Prepared by:

Resource Development Associates

August 18, 2017

LA Probation Governance Study

Probation Assessment

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About Resource Development Associates

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other states. Our mission is to strengthen public and non-profit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to planning, grant-writing, organizational development, and evaluation.

Acknowledgements

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Executive Summary

This report provides an in-depth, comprehensive study of the Los Angeles County Probation Department (the Department), documenting its structure and practices, and highlighting factors that influence departmental performance and outcomes. The report employs an organizational assessment framework that recognizes the significant role and impact of organizational elements, such as culture and infrastructure. In addition to examining the Department in its totality, this assessment focuses on four specific functions: staffing, hiring, and training; client service delivery; juvenile facilities; and fiscal operations.

This report, and the larger project of which it is a part, was commissioned to assess and make recommendations to remediate widely expressed concerns about the Department and its operations; therefore, many of the findings presented here are critical. At the same time, there are a number of important strengths that are evidenced throughout this report, as well as some key changes that are currently in process. Recently appointed Chief Probation Officer Terri McDonald and her team have inspired confidence that the Department is on the path toward significant improvement, with a greater focus on client well-being, administrative efficiency, and Department-wide accountability. Key findings from this report are highlighted below.

Organizational Assessment

Regular transitions in the Chief Probation Officer position, limited succession planning, and insufficient leadership development have resulted in low morale and a "head's down" approach among many staff across organizational hierarchy. Staff do not report being organized around a common mission or purpose. This is exacerbated by frequent criticism by the Board of Supervisors, media, and advocates. There is, however, significant enthusiasm and optimism about the new leadership and perceived new direction.

The Department's organizational structure does not support clear accountability, communication, fiscal administration, or roles and responsibilities. The Bureau model, which combines countywide ad geographically specific functions as well as both vertical and horizontal responsibilities, is particularly challenging. The move toward an agency model, with one Assistant Chief overseeing juvenile operations and one Assistant Chief overseeing adult operations, is a step in the right direction and should be extended downward throughout the Department.

The Department's outdated IT infrastructure and limited data capacity is a major barrier to data driven decision-making and accountability. Significant investment is needed in IT as well as in data and evaluation functions.

Hiring, Staffing, and Training

There are a number of factors that inhibit effective staff recruitment, including insufficient dedicated resources and the need to clearly define who the Department wants to hire and develop job descriptions that can attract appropriate candidates. The Department also loses many high quality

candidates due to a lengthy and sometimes poorly coordinated hiring process. County Human Resources, Department Human Resources, executive management, and line staff all agree that the Department is losing qualified candidates due an unnecessarily extensive background check process and an extremely lengthy hiring process, as well as insufficient communication with job candidates during the process.

Figure 1. The background check process for sworn staff is lengthy, contributing to a slow hiring process.

(Process for non-sworn staff does not include social media review or polygraph)
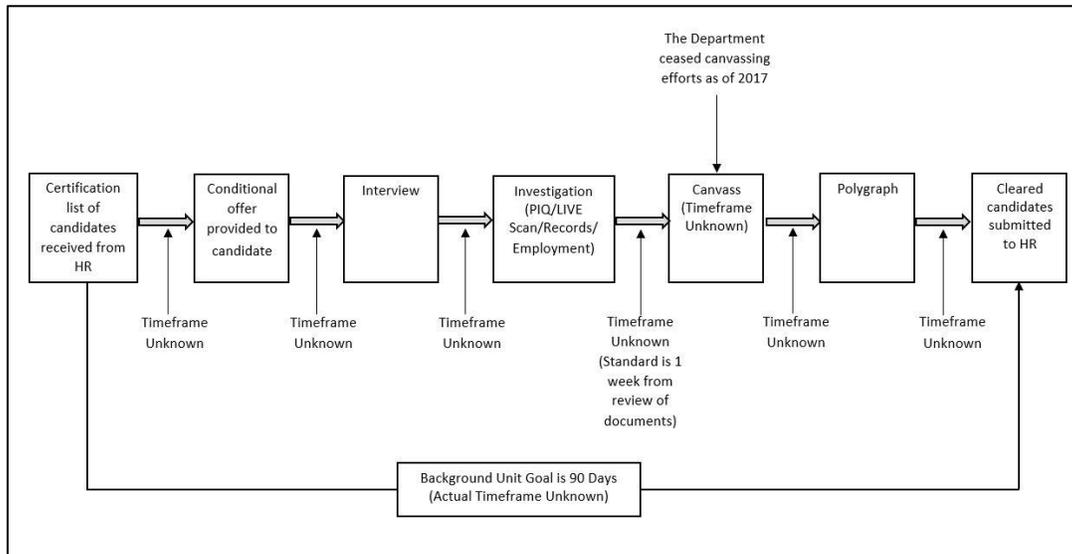
There is very low overall turnover or vacancies in staffing. Transfers to new positions or uneven workload distribution, rather than too few staff within the Department, create staffing gaps. There does appear to be uneven distribution in staffing; for example, many administrative and operational functions, such as IT and HR are under-resourced, while sizeable declines in client populations have not resulted in comparable declines in sworn staff. In addition, the Department does not have metrics for assessing workload distribution or mechanics to track those metrics.

The vast majority of staff achieve required training both when they join the Department and on an ongoing basis, and training is consistent with state mandates for their respective positions. While the Department offers a wide range of ongoing training in mandated areas and elective areas, more training is needed for staff who transfer between positions. In addition, more training is needed both in technical functions, such as data systems and writing court reports, as well as in topics related to client wellbeing and supervision, such as mental health, trauma-informed care, and positive youth development.

Figure 2. Custodial and logistic services represent the highest percentage of non-core training hours for field and facilities staff.
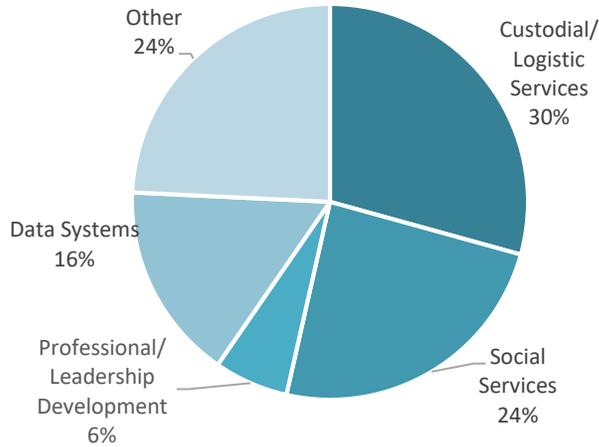
Client Service Delivery

The Department is moving toward greater use of structured decision-making based on validated assessments and evidence-based practices. However, much work is needed to fully implement these processes. Challenges with data systems and insufficient training in structured decision-making, assessments, and case management must be addressed to support a more systematic approach to client services. In addition, too many low risk clients are currently supervised, including youth who are not court involved but work with Probation Officers pursuant to Welfare and Institutions Code section 236.

Clients, providers, and Department staff agree that there are not enough services funded to meet the needs of the client population, and that accessing the services that are funded is challenging due to insufficient information about these services, geographic distribution of services that does not align with clients' communities, and communication gaps within the Department and between the Department and providers.

Interviews and focus groups with clients indicate that their relationships with their probation officers vary greatly based on the individual probation officer. Focus groups with DPOs corroborate that different probation officers – and different probation units – have very inconsistent approaches to working with clients. Some officers are clearly rooted in a positive development and social work approach, while others are much more concerned with compliance issues.

The Probation Department has strong partnerships with other county departments and public agencies to support client service delivery, including extensive collaboration with the Department of Mental Health and the LA County Office of Education to support youth in custody and a strong partnership with the Office of Diversion and Reentry (ODR) to provide an array of services to adults on probation. Because ODR is a new Office with a still evolving mission, there is much work ahead to develop a full system of care. In addition, the Department's strong relationships with other county departments is

contrasted by very poor relationships overall with community-based organizations (CBOs). Despite wanting more services for their clients, many DPOs express very little confidence in the efficacy or quality of CBO services. Conversely, many CBO staff convey limited confidence that DPOs are committed to client wellbeing. In addition, CBO leadership expresses great frustration with a lengthy contracting process and arduous monitoring process. More formal opportunities for Department staff and CBO staff to partner at the management level and at the client service level would help improve these tensions.

Juvenile Facilities

Since 2012, the juvenile population has decreased by 50% in juvenile halls and 60% in camps, declines that have been driven both by reductions in juvenile crime and by changes to Department decision-making and processes related to detention and placement recommendations. As a result, the Department has reduced the total number of juvenile facilities from 19 to the 16 currently operated, and there are plans to reduce them further. Facilities are spread throughout the county. While the juvenile halls are located in the county's urban core and in the western part near Sylmar, the majority of camps are located on the outer edges in less populated areas.

Figure 3. Juvenile probation facilities are spread throughout the county and tend to be far from where most youth on probation live.
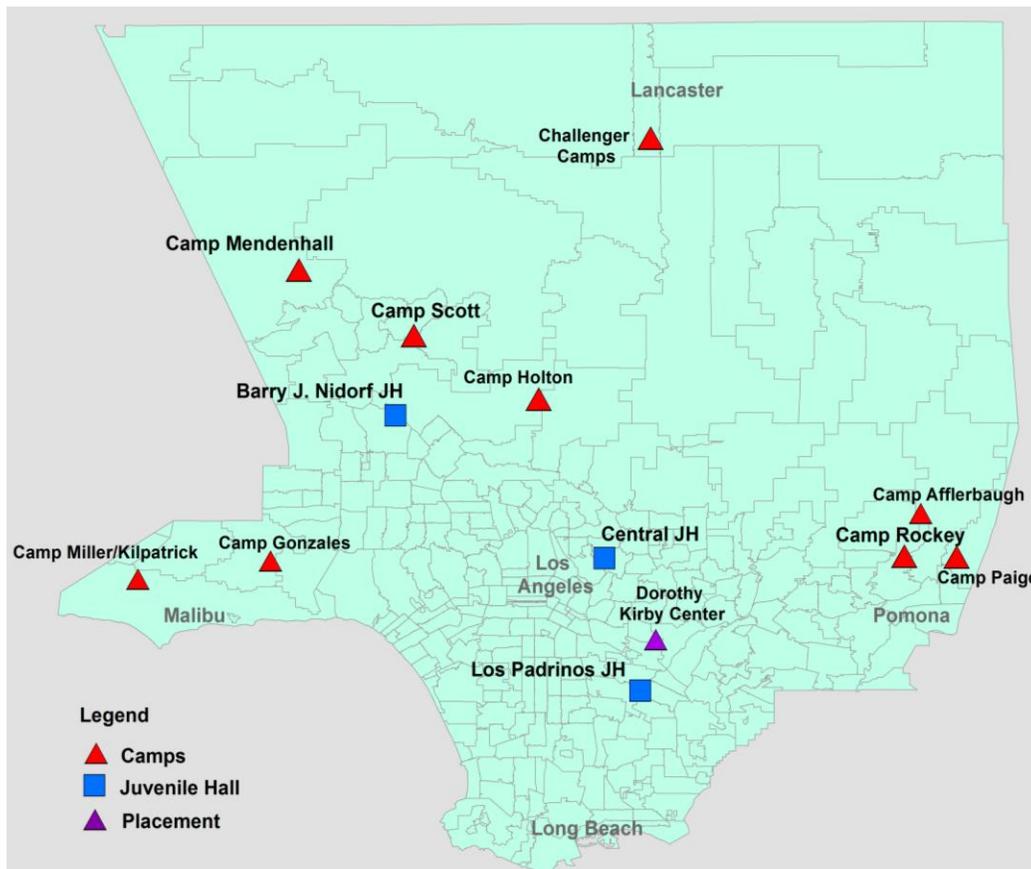
There is wide variation in the physical infrastructure of different juvenile facilities as well as in the programs and services available. Juvenile halls, in particular, are run down, and many halls and camps are organized in barracks styles that are not consistent with best practices. Youth speak of "prison-like" conditions in many county facilities. Staff in many facilities report very low morale, which impedes their ability to work effectively with young people.

Figure 4. Central Juvenile Hall is in need of extensive repair and renovation. Its layout and conditions do not support a rehabilitative approach or align with best practices.

Recently opened Campus Kilpatrick is a strong indicator of the Department's interest in improving the layout, approach, and services in its juvenile facilities, and the camp closure plan also indicates a commitment to shift resources to community-based services.

Fiscal Operations

The Department's budget has grown by $75 million between 2012/13 and 2015/16, while several grant-specific fund balances have increased dramatically within that timeframe. The inability to draw down certain funds appears to be at least in part due to limited collaboration between the functions within the Fiscal Service Division, as well as siloes between Fiscal Services functions, program or operational divisions, and the Contracts and Grants Management Division.

The Financial Services Division has separate teams for Budget, Fiscal, and Procurement, and the Contracts Section is within the separate Contracts and Grants Management Division. Each section or team demonstrates ownership and pride over their "piece" in the process, but at the same time line-level staff feel that the "whole" is both opaque and inaccessible to them. While Fiscal Management and Contracts and Grants Management report directly to the Administrative Deputy, and while these teams' leaders attend monthly manager meetings to establish clearer lines of communication, this information sharing is not adequately filtering down to mid-level managers or line staff. While fiscal and budget staff

offer birds-eye-view reporting across juvenile, adult, and administrative operations, neither one delivers program-specific reporting to individual operations within adult and juvenile services.

The separation of budgeting, procurement, contracting, fiscal management, and other administrative functions inhibit the Department's ability to effectively contract for services in the community. Program requests to Budget, Procurement, or Contracts filter up through the chain of command rather than through inclusive and transparent conversations with executive decision-makers. Program directors that are responsible for implementing client-based services, for example, often do not have updated information from the Budget Section, and cannot, therefore, make informed decisions about what services to request through the Contracts Section. There is a wide communication gap between program operations and Contracts, and no effective processes by which fiscal functions collaborate on the back end to deliver client-oriented administrative services. As a result, significant administrative delays and bottlenecks prevent Probation from getting allocated community funds into service contracts. Firewalls between each fiscal area create an environment of dysfunction and bureaucratic loops for employees from every corner of Probation.

Conclusion

The LA County Probation Department has been the subject of significant scrutiny over the past several years and, as indicated throughout this report, there is still much work to be done to align Department operations with best practices in community corrections, as well as in organizational management more broadly. Moreover, as this assessment demonstrates, challenges in one area of Department operations are not distinct from challenges in others: lack of clarity in organizational mission impacts staff morale, recruitment and hiring efforts, client services, fiscal operations; and limitations in data/IT infrastructure affect accountability, communication, approaches to client services, among others. These issues thus require complex and interrelated strategies to address.

At the same time, it is important not to understate or overlook the efforts currently underway to address these challenges, or that good work that is happening amid them. The Department's SB 678 CORE plan and partnership with ODR indicate a clear commitment to best practices, structured decision-making, community-based services, and partnerships with other organizations. Similarly, Campus Kilpatrick, the new JJCC Community Advisory Body, and the camp closure plan convey a commitment to working with county and community partners to provide the appropriate array of services to the appropriate youth in the appropriate setting.

Subsequent analyses as part of this study will seek to further support this effort by cross-walking the LA Probation Department's practices with those delineated in the research and policy literature as well as those practices in implementation in other jurisdictions in California and the United States.

Introduction

This report provides an in-depth, comprehensive study of the Los Angeles County Probation Department (the Department), documenting its structure and practices and highlighting factors that influence departmental performance and outcomes. The report employs an organizational assessment framework that recognizes the significant role and impact of organizational elements, such as culture and infrastructure. In addition to examining the Department in its totality, this report focuses on four specific functions: staffing, hiring, and training; client service delivery; juvenile facilities; and fiscal operations.

An upcoming report will compare the Department's overall needs, strengths, and gaps to findings from research to cross-walk best practices knowledge with what is happening on the ground in LA County.

This report, and the larger project of which it is a part, was commissioned to assess and begin to remediate widely expressed concerns about the Department and its operations; therefore, many of the findings in this report are critical. The Los Angeles Board of Supervisors have acknowledged the numerous challenges the Department has faced over the years and the reason Resource Development Associates (RDA) is conducting this governance study is to help the County and the Department make needed improvements. Although the findings in this report can be interpreted as critical, RDA does want to highlight the very promising new direction in which the Department is headed. Recently appointed Chief Probation Officer Terri McDonald and her team have inspired confidence that the Department is on the path toward significant improvement.

The Department recently opened its state-of-the-art youth facility, Campus Kilpatrick. The new campus launches the much-anticipated LA Model, based on a rehabilitation and therapeutic approach. The Department has also developed a Camp Consolidation Plan that proposes closing unnecessary juvenile facilities. This follows a huge decrease in the percentage of youth that the Department decides to detain who are brought to juvenile hall by law enforcement. As referenced in this report, the Department has safely and responsibly reduced the percentage of youth it detains from 90% in 2014 to 29% in 2016.

On the adult side, the Department has developed a SB 678 plan that calls for an increase in community services and a greater focus on higher risk clients. The Department has new partnerships with community-based organizations (CBOs) to provide innovative housing programs for adults on probation as well as an exciting proposal to open a residential fire camp to prepare young adults on probation for employment as fire fighters and paramedics.

The above is a sampling of the many promising initiatives led by the new administration of the Probation Department. While this report details the long-standing, entrenched challenges of the Department, the new leadership provides encouragement that in-depth reform is underway.

Methods

To gain a comprehensive understanding of the Department's operations and incorporate the on-the-ground experiences of the multitude of stakeholders, the RDA Project Team took a multi-disciplinary, cross-sectional approach to data collection. We employed mixed-methods research of quantitative and qualitative data to maximize validity and triangulate findings across data sources, which included focus groups and interviews with a broad swath of stakeholders and Department case management, hiring, training, and fiscal data.

We conducted face-to-face interviews and focus groups with 384 Department stakeholders. Approximately 70% of interviews and focus groups were with Department staff and 30% were with agencies that work with Probation (e.g., LA County Department of Mental Health, LA County Office of Education, LA County Office of Diversion and Reentry), CBOs and advocates, and clients. See

Table 1 for a catalogue of stakeholders interviewed. (Please see Appendix A for greater detail on the process for coding and analyzing qualitative data.)

Table 1. A wide variety of individuals and/or stakeholder groups participated in interviews or focus groups.

Stakeholder Group	Meeting Participants
County Leadership	Board of Supervisors Offices
	Chief Executive Office
Probation Department Management	Interim Chief Probation Officer
	Chief Deputy
	Deputy Chief
	Bureau Chief
	Administrative Deputy
	Chief Information Officer
	Acting Public Information Officer
	Executive Assistant
	Departmental Finance Manager
	Human Resources Manager
	Information Technology Manager
	Administrative Services Manager
	Consultant
	Senior Probation Director
	Director
Probation Staff	Non-Sworn (Secretary, Analyst, Clerk)
	DSO
	DPO I and II
	Supervisor

Clients[1]	Adults
	Youth
Unions Representing Probation Department Staff	AFSCME Local 685
	AFSCME Local 1967
	SEUI Local 721
	SEUI Local 721/BU 702
Legal System Agencies	Presiding Judges, Supervising Judges, Court Executive Officers
	Alternative Public Defender's Office
	District Attorney's Office
	Public Defender's Office
Partner Public Departments	City of LA Gang Reduction Youth Development Program (GRYD)
	County Department of Human Resources
	County Office of Child Protection
	County Department of Children & Family Services
	County Office of Diversion and Reentry
	County Office of Education
	County Department of Health Services
	County Department of Mental Health
	County Sheriff's Department
Community-Based Organizations & Service Providers	Anti-Recidivism Coalition
	Arts for Incarcerated Youth Network
	Centinela Youth Services
	HealthRIGHT 360
	Homeboy Industries
	Los Angeles Regional Reentry Partnership
	United Healthcare Housing Partners
Justice Reform Advocates	ACLU of Southern California
	Children's Defense Fund – California
	Urban Peace Institute
	Youth Justice Coalition
	Other
Research Partners	California State University, Los Angeles
	Children's Data Network
	County Executive's Office's Research and Evaluation Services

[1] To recruit current or recent juvenile and adult probation clients for focus groups, RDA worked with five CBOs that serve a large number of probation clients: HealthRIGHT 360, Anti-Recidivism Coalition, A New Way of Life, Homeboy Industries, and Youth Justice Coalition. The RDA project team worked with staff at each organization to recruit a convenience sample of clients who were on probation or had been in the last five years. For youth, we worked with CBOs to recruit client respondents who were between 18-21 years of age, had been on probation or in a LA County juvenile hall or camp in the last five years, and not currently under the jurisdiction of the juvenile court. Adult client respondents were age 18 and up and current under probation supervision.

RDA also conducted field observations at more than a dozen Probation field sties and institutions. Many sites were visited multiple times and by multiple project team members to ensure consistency of observational data. Table 2 provides a list of all sites observed.

Table 2. Researchers observed practices in several Probation sites.

Location Type	Location
Juvenile Institutions	Challenger Camps (Onizuka, McNair, Jarvis, Mendenhall-Munz)
	Camp Scott
	Camp Rockey
	Campus Kilpatrick
	Central Juvenile Hall
	Dorothy Kirby Center
	Los Padrinos Juvenile Hall
Probation Field Offices	Placement Headquarters
	AB 109 Administrative Office
	Firestone Area Office
	Riverview Area Office
	San Gabriel Valley Area Office
	Zev Yaroslavsky Family Service Center
	AB 109 HUB
	SB 678 Field Office

In addition to qualitative data collection, the Project Team submitted a number of data requests to the Department. See Table 3 for an inventory of the client data provided by the Department's case management systems and Table 4 for a list of the documentary data related to training, hiring, contracted programs, and fiscal operations.

Table 3. A variety of quantitative data were pulled from Department client management systems.

Type	Source	Information
Adult client data	Adult Probation System (APS)	Demographics, zip code, probation start and end type, probation type, offense code, risk assessment scores for all clients with an active probation case at any point from 2012-2016
Juvenile client data	Probation Case Management System (PCMS)	Demographics, zip code, probation disposition, placement record, probation start and end type, type, offense code, risk assessment scores for all clients with an active probation case at any point from 2012-2016

Table 4. There are a number of documentary data related to training, hiring, contracted programs, and fiscal operations.

Type	Source	Information
Training	Professional Standards Bureau	Staff training schedules
		Core training curriculum
		Core training scores and completion rate
		2017-2018 training needs survey results

Hiring	Human Resources	Job descriptions
		Organizational charts
		List of job vacancies from 2012-2016
		Dept. attrition rates from 2012-2016
		MOUs with Unions
		Hiring cycle timeline
Programs	Contracts	CBO contracts
Fiscal	Finance	County budgets and annual reports
		Dept. revenue reports
		Dept. budget, claim, expenditure, and progress reports

Limitations

There are two key limitations that readers of this report should consider.

First and foremost, it is essential to recognize that this report is a snapshot of Department operations, taken at a particular point in time, from January through June 2017. As noted above, the Department has been undergoing significant change over that same period of time, much of which intends to address many of the findings described below. As of the period of data collection and the writing of this report, however, these changes either had not yet been implemented or were in such early stages of implementation that their impact was not yet discernable by respondents or the research team.

Second, all quantitative client data in this report should be interpreted with caution. As discussed in the section on data capacity (beginning on Page 35), there are significant challenges with the Department's data systems, which limit the reliability of much of the data on individuals under probation supervision. Over the course of several months, RDA spent many hours working with the Department's IT and program staff to review the Department's client data systems and to obtain, analyze, and interpret client data. However, there are still notable discrepancies between our analyses of data provided by the Department and information about clients put forth by the Department in a variety of public reports. The Department's data systems, processes, and capacity are a critical issue that must be addressed so that the Department can understand and address the needs of its client population, as well as to improve other operations and make data-driven decisions more generally.

Overview of LA Probation Operations

Department Organizational Structure and Staffing

The Department has approximately 6,600 budgeted positions operating out of more than 80 facilities across the county, including 24 area offices and a number of pretrial service locations, day reporting centers, AB 109 offices, and juvenile halls and camps.[2] The Department spans an area larger than any other probation department within the country and directly oversees more than 70,000 individuals (slightly more than 60,000 adults and approximately 10,000 youth), a number greater than any other probation department both nationally and globally. Staffing a department of this size requires both breadth and depth of employees across and within units, facilities, and area offices. Therefore, the organizational structure of the Department is inherently complex in its needs.

The Department consists of four broad divisions: juvenile and adult field services, field special services, residential treatment services, and administrative services. The Department's field services divide into districts that align with County Board of Supervisors' supervisorial districts, with one district overlapping the second and third districts. Each district operates a variety of juvenile and adult area offices, centers, and programs such as day reporting centers, citation diversion, placement, and the Juvenile Justice Crime Prevention Act (JJCPA) services. Field special services comprises a number of adult-focused services such as AB 109, special enforcement operations, SB 678, and adult investigation. Administrative services include information systems, quality assurance, financial services, human resources, management services, and contracts. Figure 5 presents a simplified chart of the Department's executive-level organizational structure.

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[2] Los Angeles County Probation Department, "Los Angeles County Probation Department Strategic Plan 2015-2018."

Figure 5. This chart provides a simplified overview of the Department's executive structure.[3]

LEGEND

Probation Chief

Deputy Chief

Bureau Chief, Dir, or Mgr

Probation Chief Terri McDonald

Chief Deputy Sheila Mitchell

Admin Deputy III Efrain Munoz

Bureau Chief **Detention Services** Dennis Carroll

Acting Deputy Chief **Residential Treatment** Dave Mitchell

Deputy Chief **Juvenile & Adult** Felicia Cotton

Bureau Chief **Professional Standards** David Grkinich

Deputy Chief **Special Services** Reaver Bingham

Chief Information Officer II **Information Systems** Vacant

Bureau Chief **DOJ/QA Services** Hellen Carter

Dept. Finance Mgr III **Financial Services** Grace Reyes

Human Resources Mgr III **Human Resources** Deanna Carlisle

Admin Services Div Mgr **Mgmt Svcs Bureau** James Johnson

Admin Services Mgr III **Contracts & Grants** Latasha Howard

Acting Bureau Chief **Residential Treatment** Sean Porter

Sr Dir Probation **Education Services** Jesus Corral

Bureau Chief **1st District** Elizabeth Garcia

Bureau Chief **2nd & 3rd Districts** Paul Vinetz

Bureau Chief **4th District** Sharon Harada

Bureau Chief **5th District** Luis Dominguez

Bureau Chief **AB 109** Darlyne Pettinicchio

Bureau Chief **SEO SB 678** Ron Barrett

Bureau Chief **Adult Investigatn Services** Ed Johnson

3 This organizational chart illustrates the Department's executive leadership structure, as portrayed by the Human Resources Division. As illustrated, four Deputy Chiefs, one Chief Deputy, and two Bureau Chiefs report to the Probation Chief Terri McDonald. Eight additional Bureau Chiefs, one Acting Bureau Chief, four Managers, and one Senior Director report to the four Deputy Chiefs. It is not clear who reports to the one Chief Deputy. This illustrated chain of command does not reflect RDA's understanding of the de facto structure of executive leadership.

Figure 6 provides an overview of all Department facilities and field offices.

Figure 6. Probation offices, juvenile camps, halls, and placements are spread throughout the county.
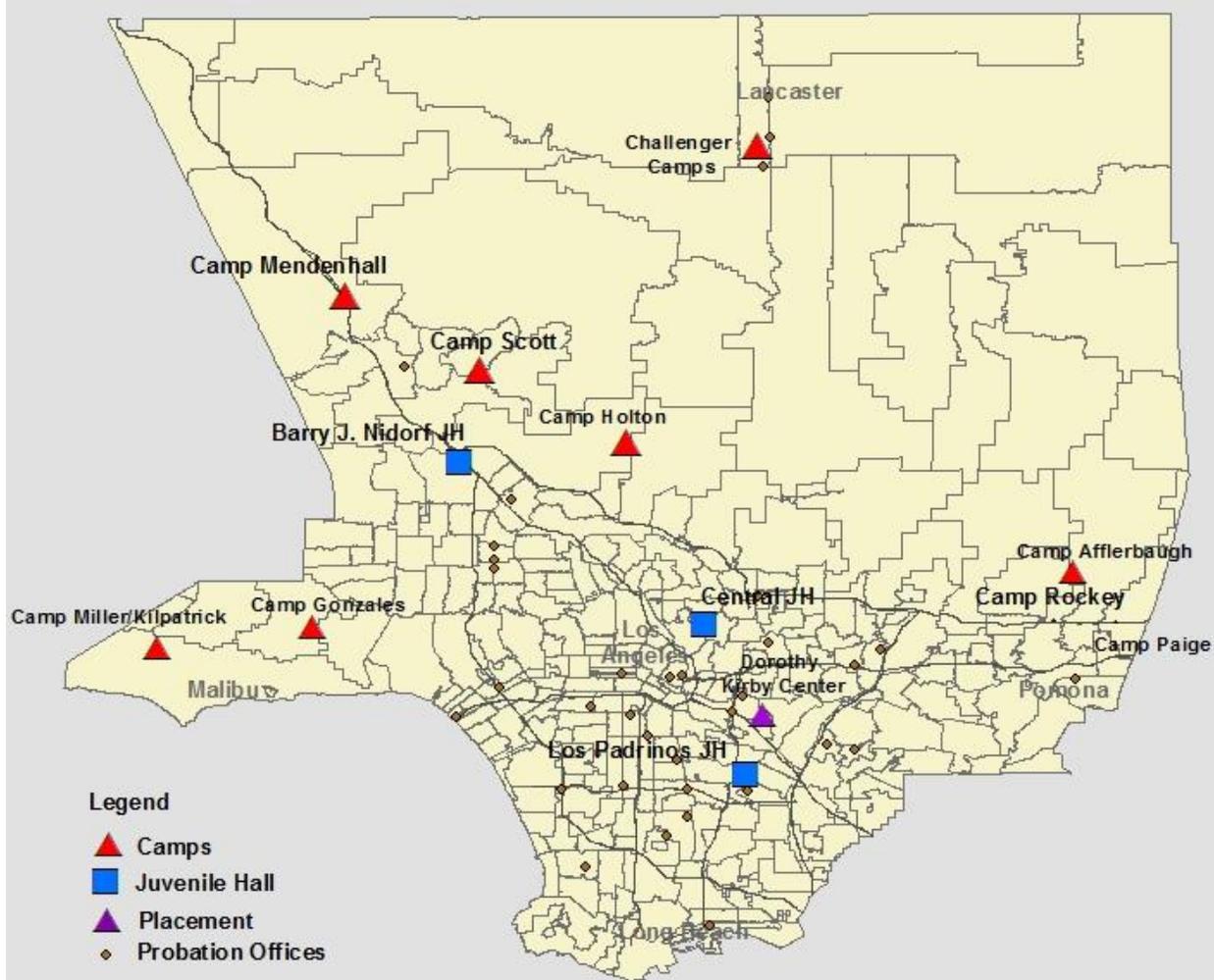
Overview of LA Probation Client Population

The section below presents an overview of both the current population of individuals under the supervision of the Probation Department, followed by an assessment of population trends over the past five years. All data presented here come directly from data the Department IT staff extracted from the Department's two primarily client data systems, the Adult Probation System (APS) and the Juvenile Case Management System (JCMS). As noted above and discussed in greater detail in the next chapter of this report, there are important limitations to both of these data systems; these limitations notwithstanding, we believe it is essential to understand who the Department serves and supervises before delving into a longer assessment of the Department's operations.

Current Client Population

As of February 2017, there were 67,821 individuals under probation supervision of which 57,900 were in the adult system and 9,921 were in the juvenile system. The average length of stay on probation was 27.6 months for adults and 24.6 months youth.

Demographic Characteristics[4]

The average age for adults under probation supervision is 38 years of age, with a median age of 35. As illustrated in Figure 7, the largest population group is comprised of individuals between 26 and 35 years of age. The modal age is 27. Sixteen percent of the adult population are between 18 and 25 years of age. For youth under probation supervision, the average age is 16 with a median age of 15.

Figure 7. One-third of adults under probation supervision are between 26 and 35 years of age.
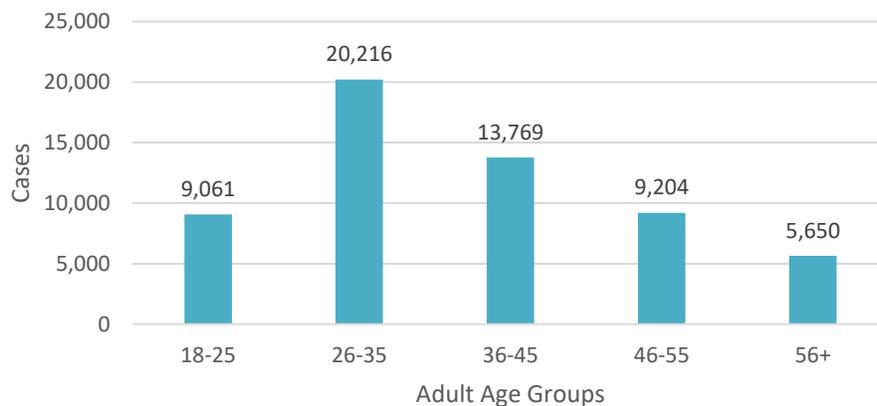

As shown in Figure 8, adult and juvenile populations show similar gender distributions with both populations comprised of approximately 80% male.

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[4] Demographic characteristics were calculated based on the total number of unique individuals under probation supervision.

Figure 8. Approximately 80% of individuals on probation supervision are male.

Juvenile

Female
19%

Male
81%

Adult

Female
19%

Male
81%
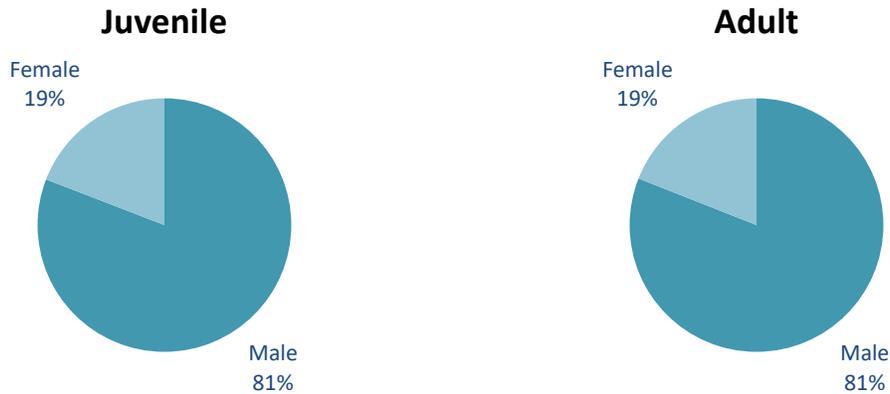
Data for the current probation population were compared to the Los Angeles County population estimates from the most recent available year (2015) of the American Community Survey. These data are publically available from the United States Census Bureau. As seen in Figure 9, the largest percentage of both the adult and juvenile probation populations are Hispanic/Latino, followed by Black, White, and Other. The distribution of individuals under probation supervision is inconsistent with the racial makeup of Los Angeles County, with both Blacks and Latinos overrepresented in the probation population. This disparity is especially great for Blacks, who make up 28% of the adult probation population, but only 7% of the total adult population of Los Angeles County. As seen in Figure 10, relative to their population, Black adults are under probation supervision at a higher rate (210 per 10,000) than any other racial or ethnic group.

Figure 9. Almost 50% of adults on probation are Hispanic/Latino, followed by Black, White, and Other. Black and Hispanic/Latino adults make up a larger percentage of the probation population than their percentage of population.

Adult Probation Population

Other
8%

White
17%

Black
28%

Hispanic/
Latino
47%

County Adult Population

Other
31%

White
25%

Black
7%

Hispanic/
Latino
37%
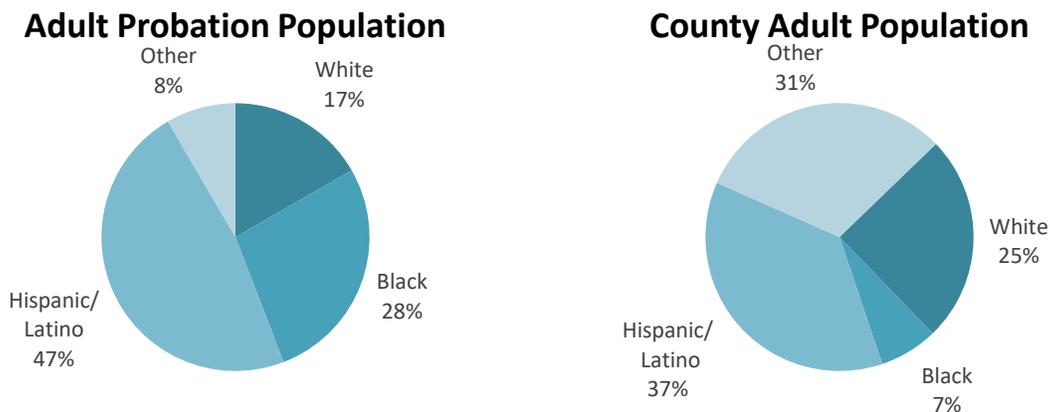
Figure 10. Relative to their proportion of the population, Black adults are under probation supervision at a substantially higher rate than other racial/ethnic groups.
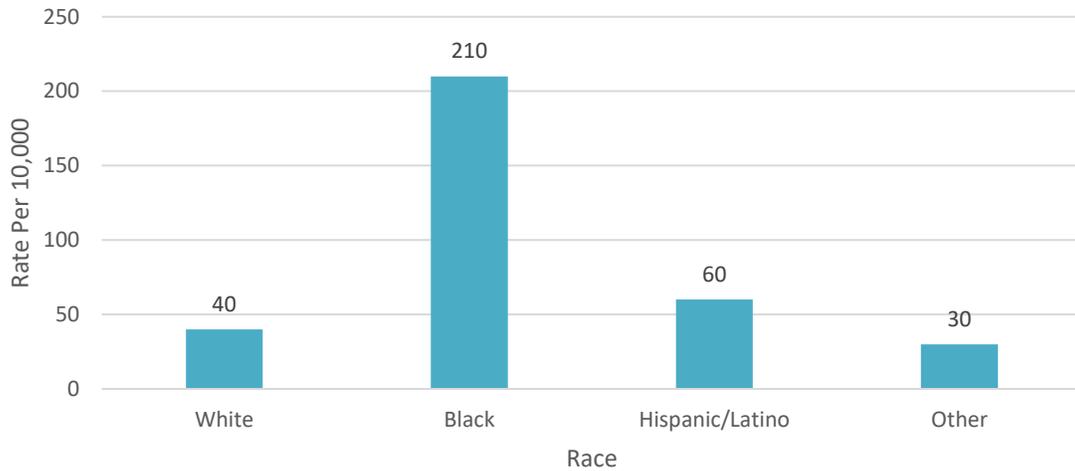

A similar pattern is evident for individuals under juvenile probation supervision. However, as seen in Figure 11 and Figure 12, Black youth are even more likely to be on probation than Black adults relative to their proportion of the county population.

Figure 11. Over 50% of youth on probation are Hispanic/Latino, followed by Black, White, and Other race groups. Black and Hispanic/Latino youth make up a larger percentage of the probation population than their percentage of population.
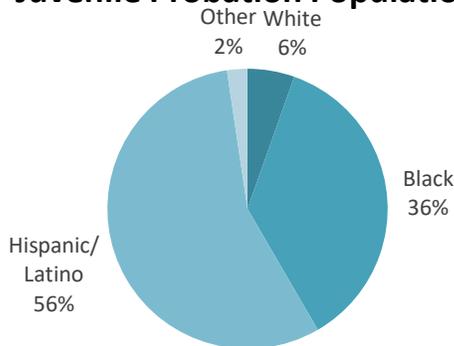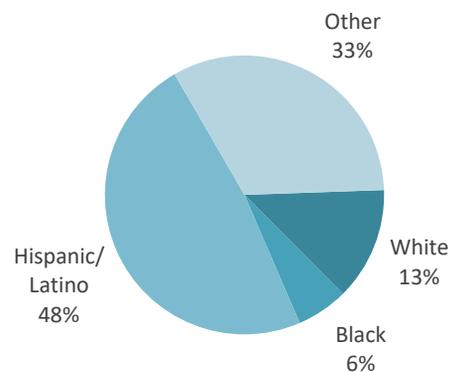
Figure 12. Relative to their proportion of the population, Black youth are under probation supervision at a substantially higher rate than other racial/ethnic groups.
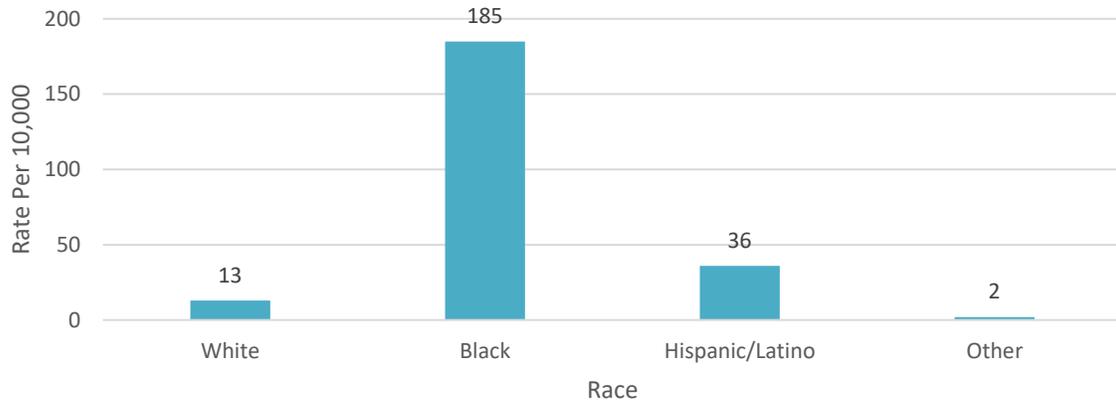
Offense Type

Because offense type is unique to the case and an individual can have multiple cases within one year, offense types were calculated based on cases rather than individual counts. Wobblers and misdemeanors are the most common offense types for both adults and youth under probation supervision. The 10 most common offense types for both population are illustrated in Table 5 and Table 6. Wobbler offenses, indicated by a W in the tables below, can be charged as either a misdemeanor (M) or a felony (F), and data from Probation do not indicate whether these offenses were charged or convicted as felonies or misdemeanors. The top 10 offenses make up approximately 37% of all offenses for adults and 44% of all offenses for youth. The most frequent offense type for both adults and youth is burglary. The remaining offense types include violent, property, drug, and motor vehicle offenses.

Table 5.The most common offenses types for adults are burglary, theft, and assault.

Offense Code	Offense Description	Offense Type	Cases
PC459	Burglary	W	3235
PC487(A)	Theft	W	2707
PC245(A)(4)	Assault	W	2254
HS11378	Other Drug	M	1993
HS11377(A)	Dangerous Drug	W	1759
PC273.5(A)	Assault	W	1695
VC10851(A)	Motor Vehicle Theft/Joy Riding	W	1665
HS11350(A)	Other Drug	W	1651
PC245(A)(1)	Assault	W	1501
HS11351	Narcotic	M	1446

Table 6. The most common offense types for youth are burglary and robbery.

Offense Code	Offense Description	Offense Type	Cases
PC459	Burglary	W	1452
PC211	Robbery	W	1053
PC245(A)(1)	Assault	W	600

VC10851(A)	Motor Vehicle Theft / Joy Riding	W	458
PC594(B)(1)	Vandalism	W	432
PC484(A)	Theft	W	413
PC242	Assault	W	368
PC422	Criminal Threat	W	266
PC148(A)(1)	Assault and Battery	M	229
PC626.10(A)	Weapons	W	227

Geographic Distribution

Higher counts of individuals on probation can be seen in the area to the northeast of Los Angeles near Lancaster, to the south between Los Angeles and Long Beach, and to the south east near Pomona. Figure 13 shows the relative count of adults under probation supervision in Los Angeles County by zip code. Those areas with the darkest shading indicate the highest concentration of individuals under probation supervision. The 10 zip codes with the highest counts are summarized in Table 7.

Figure 13. The highest numbers of adults under probation supervision are in northeast Los Angeles County and between Los Angeles and Long Beach.
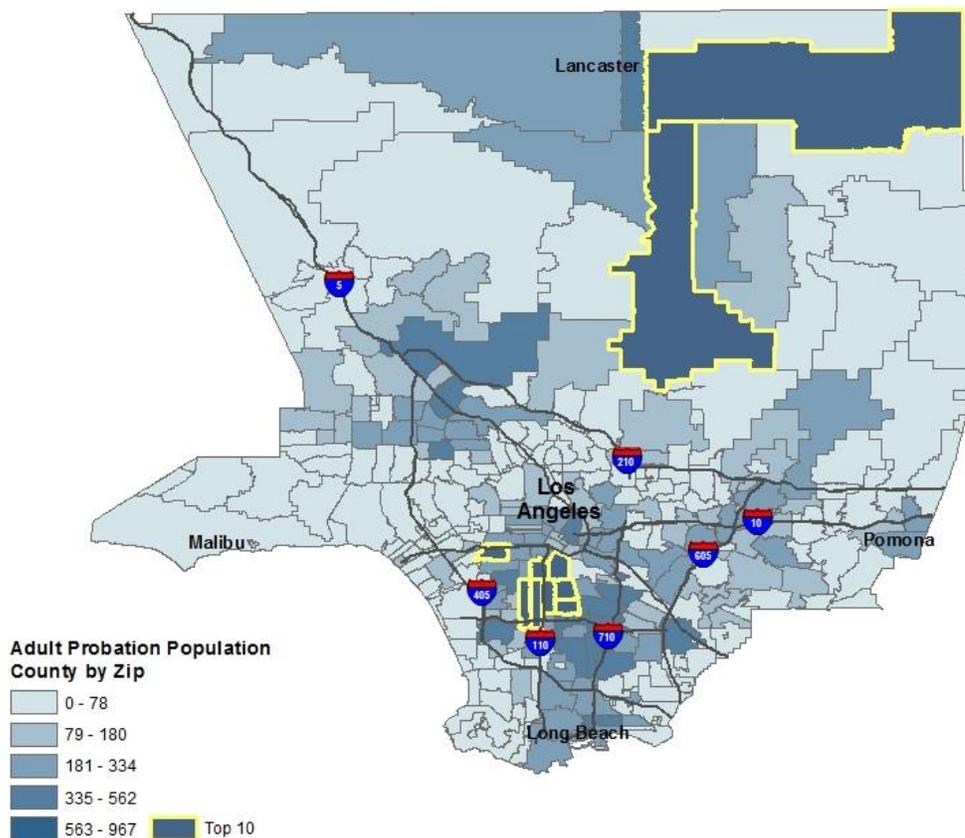
Table 7. The highest number of adults under probation supervision live in 90044, 90011, 90003, 90535, and 90037.

Zip Code	Count
90044	967
90011	867
90003	817
93535	780
90037	737
93550	666
90016	646
90047	616
90002	562
90001	535

Figure 14 illustrates areas where the rate of individuals on probation are highest in darker shades. Highest rates of adults on probation are similar in region to areas with the highest count. However, there is a concentration near Santa Monica that show a relatively low probation count, but higher rate.

Figure 14. The highest ratio of adults under probation supervision are in the same general regions as the areas with the highest counts.
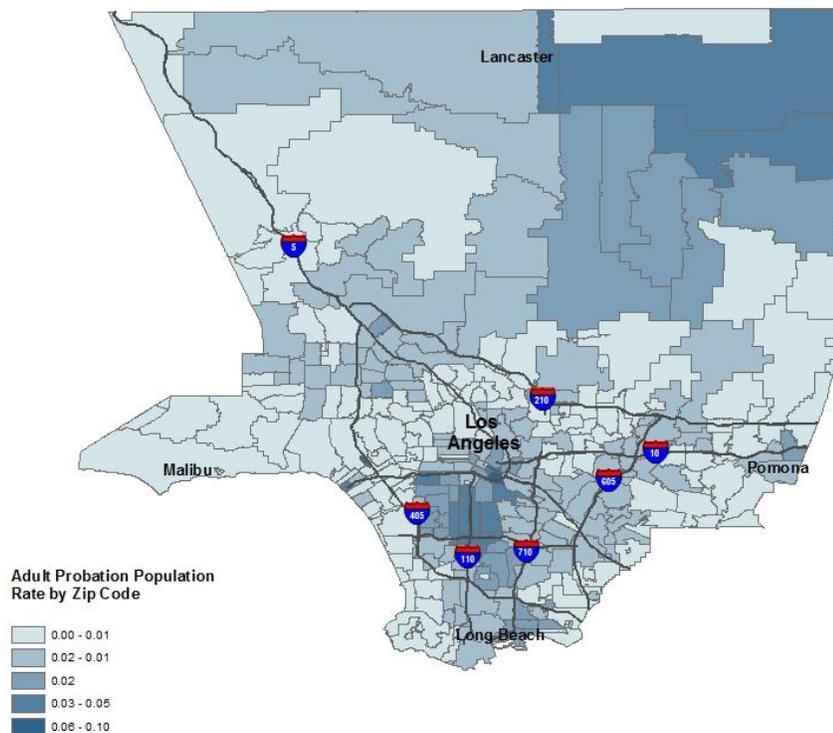

Geographic distribution of juvenile probation population show similar patterns to the adult population, as shown in Figure 15. The highest counts of youth under juvenile probation supervision appear in the

area to the northeast of Los Angeles near Lancaster, to the south between Los Angeles and Long Beach, and to the south east near Pomona. The ten zip codes with the highest counts are summarized in Table 8.

Figure 15. The highest concentration of youth on probation are in the northeast area of Los Angeles County and between Los Angeles and Long Beach.
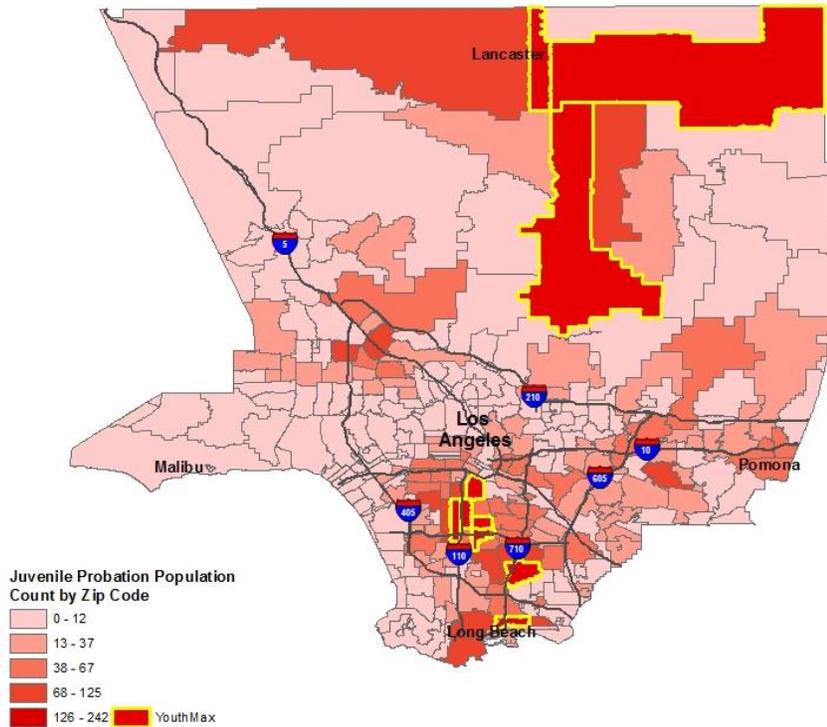
Table 8. The highest number of youth under probation supervision live in 93535, 90044, 93550, 90003, and 90805.

Zip Code	Count
93535	242
90044	203
93550	186
90003	158
90805	140
90813	135
90011	125
90002	119
90059	100
93534	90

Figure 16 illustrates areas where the rate of youth on juvenile probation are highest in darker shades. Highest rates of youth on probation are similar in region to areas with the highest count. However, there

are concentrations near Santa Monica and near Falling Springs that show a relatively low probation count, but higher rate.

Figure 16. In some zip codes, there is a substantially higher rate of youth under probation supervision than would be expected by the counts in Figure 15.
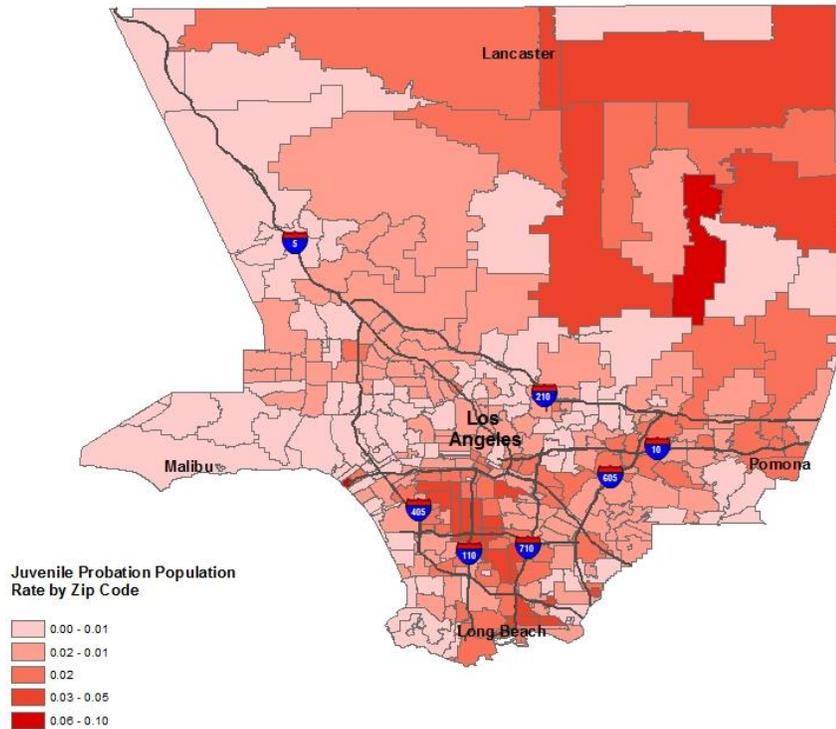

Probation Population Trends

The total number of individuals under probation supervision declined considerably between 2012 and 2016 for both adults and youth. This decline is present in both individuals continuing on probation from year to year and new individuals entering the probation system in a given year.

Figure 17 illustrates trends in the adult probation population from 2012 through 2016. New individuals refer to unique individuals entering the system for the first time in a given year. Carryover individuals refer to unique individuals that remained in the probation system from the previous year. Total individuals refer to the total number of individuals under probation supervision in a given year.

Beginning in 2012, 57,916 individuals were already active in the adult probation system. Over the course of 2012, 61,551 new individuals entered the adult probation system for a yearly total of 89,467 individuals under probation supervision at some point during 2012.

Figure 17. The number of adult individuals under probation supervision has decreased since 2012, with a more rapid decline beginning in 2014.
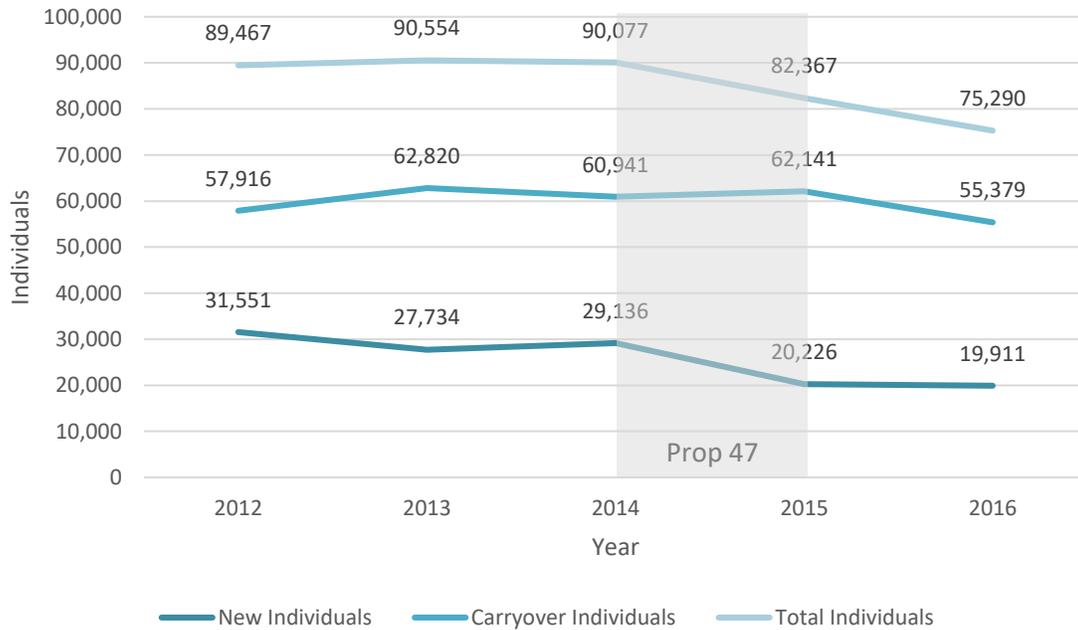
The total number of adults under probation supervision remained relatively consistent from 2012 to 2014, as did the carryover individuals. The marked decline in total adults under probation supervision from 2014 through 2016 may be attributable to the implementation of Proposition 47 and an associated drop in the number of new individuals entering the probation system. Overall, the total adult probation population has declined by approximately 16% since 2012. Individuals entering the probation system in a given year decreased by 37% while the number of carryover individuals decreased by only 4%. This suggests that the overall decline is associated with fewer new individuals entering the probation system. This finding is further illustrated in Figure 18.

Figure 18. Because the decline in new cases has been so dramatic, a growing proportion of the adult probation population is comprised of individuals continuing supervision, not starting supervision.
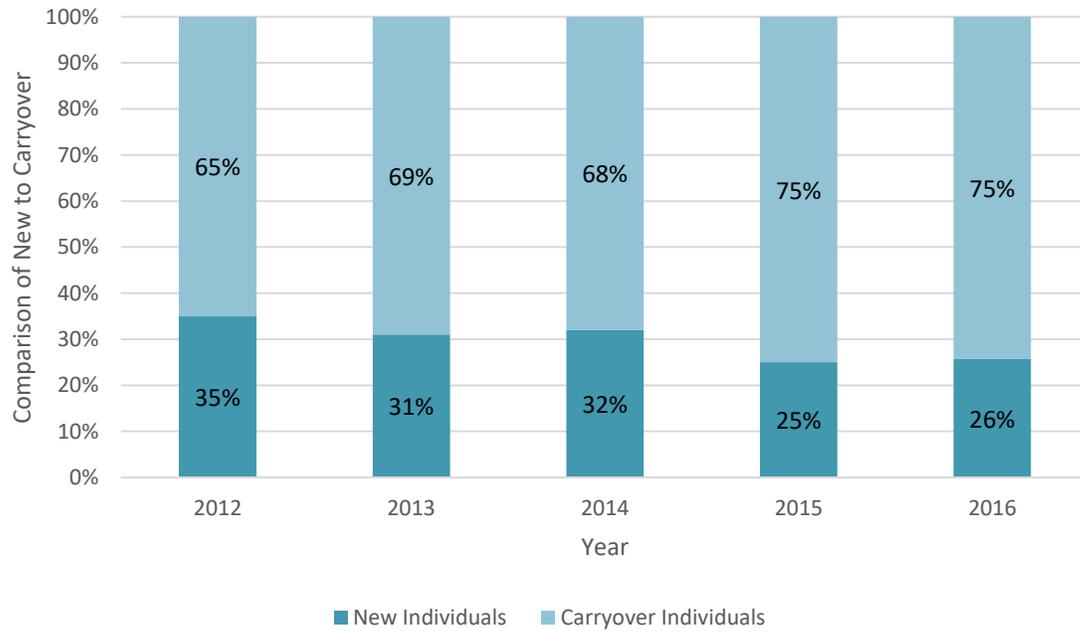
Likely as a consequence of these trends, the number of individuals from ages of 18-25 and 26-39 has declined steadily since 2012. The number of individuals over the age of 40 spiked in 2014, but then declined to levels similar to other age groups.

**Figure 19. The number of adult individuals over the age of 40 under probation supervision spiked then declined rapidly in 2014. Other age groups have gradually declined.**
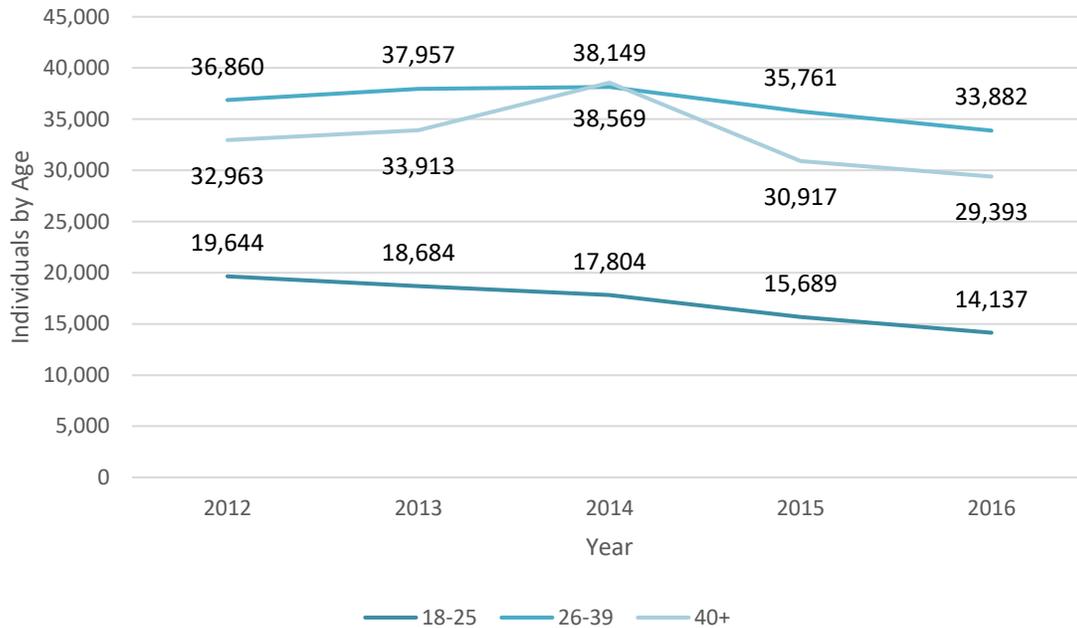
As with the adult probation population, the number of individuals under juvenile probation supervision declined substantially from 2012 to 2016, as shown in Figure 20. A prominent decreasing trend is evident from the duration of 2012 to 2016 for new and carryover individuals. New juvenile individuals decreased considerably from 2012 to 2014, but leveled out slightly from 2014 to 2016. Unlike the adult probation population, the Proposition 47 does not appear to have significantly impacted the number of youth under probation supervision.

The total individuals under juvenile probation decreased by almost the 50% from 2012 to 2016. This decline was driven by a decline in carryover individuals of 50% and decline in new cases on 45%.

Figure 20. The total number of individuals under probation supervision in the juvenile system has declined substantially since 2012.
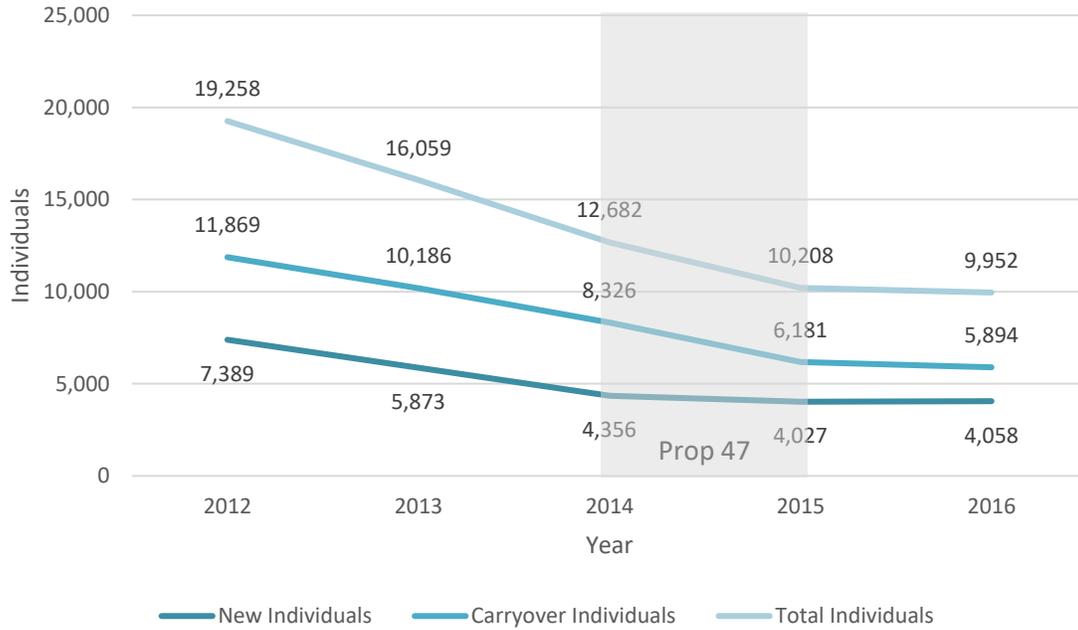
Chapter 1: Organizational Assessment

To understand how the Probation Department operates and the factors that impact performance and outcomes, this study utilized an organizational assessment framework adapted from the Institutional and Organizational Assessment model.[5] It consists of three domains: organizational culture, external environment, and organizational capacity and structure. Below, we provide key findings before moving into deeper discussions about each of these three domains.

Key Findings

1. Probation managers identify leadership instability as responsible for reducing staff's willingness to adopt new approaches and strategies.
2. Over time, shifting leadership, reactiveness to the Board of Supervisors' ongoing policy demands, and limited internal communication inhibit the development of a shared vision and goals and prevents the Department from operating as a mission-driven organization.
3. The tension between rehabilitation and punishment creates a divide across the Department and leads to confusion about the Department's approach to various functions including hiring, training, client relationships, and outside partnerships.
4. Staff do not feel supported or valued by the Department or County, leading to low staff morale.
5. Due to ongoing pressure from CBOs, the media, the Board of Supervisors, and a series of Board-created commissions, staff feel they must spend their time reacting to those pressures and have a limited capacity for strategic planning.
6. The Department's current organizational structure is not aligned with staff roles and responsibilities, information flow, and, in some cases, span of control.
7. The hierarchical structure and siloed nature of the Department complicates information flow throughout the Department
8. Due to the many barriers across data collection and reporting, the Department has a low capacity for data-driven decision making.

Organizational Culture

Organizational culture is a system, both explicit and implicit, of shared assumptions, values, and beliefs, which governs how people behave in an organization. This shared culture has a strong influence on the people in the organization and dictates how they act, talk, and perform their jobs.[6] The history, mission, and motivations of any organization help shape the organizational culture.

Over the last ten years, the Department has had five chiefs, including an interim chief on two separate occasions. The frequent leadership changes have destabilized the Department, particularly since a lack of succession planning has resulted in each new chief instituting what staff perceive as a new direction, priorities, and structure. Managers point to these frequent changes as reducing staff's willingness to

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5 Lusthaus, C., Adrien, MH., Anderson, G., Carden, F., and Montalván, G.P., 2002.
6 Jon Katzenbach, Carolin Oelschlegel, and James Thomas, "10 Principles of Organizational Culture," Strategy+business, http://www.strategy-business.com/article/10-Principles-of-Organizational-Culture?gko=71d2f.

embrace new approaches, since staff assume any new idea will have a limited lifespan. This viewpoint leads to inconsistent implementation of new policies. Many staff simply disregard new goals and initiatives with which they do not agree because they assume they can "wait it out" until new leadership arrives. Even staff who do agree with new policies or initiatives frequently disregard them based on the fear (and experience) that these initiatives will change under new leadership.

The lack of leadership stability inhibits the development of a shared vision and goals resulting in the Department not currently operating as a mission-driven organization. Although the Department's mission to "Enhance Public Safety, Ensure Victims' Rights, and Effect Positive Probationer Behavioral Change" is posted throughout offices and facilities, there is little evidence to suggest it is the central organizing principle of operations. Interviews and focus groups with staff across the organizational hierarchy made it clear that staff have different perspectives on the core organizational mission and vision and do not operate from a common set of shared principles. There are few mechanisms in place to measure how the Department meets its mission or accountability structures to establish responsibility for aligning operations with the mission.

The 2015-2018 Strategic Plan, in theory an opportunity to address many of these issues, exacerbated them instead. Staff who participated in the development of the strategic plan found the planning process to be inclusive, thoughtful, and collaborative. However, the plan was never implemented. This experience reinforced a sense of disillusionment across staff about the longevity of Department initiatives, as well as the value of participating in strategy-focused workgroups. One manager reflected:

> *"We spent all this time on the strategic plan. We did focus groups, surveys, met with the unions, held town hall meetings, and then the data was gone. It was just put on the shelf... The staff participated and then we put it away. That sends the message that their voice doesn't matter and it hurts the culture in the line staff."*
> *– Probation Manager*

Another factor impeding a shared Departmental vision is an internal tension regarding whether probation's focus should be on punishment or rehabilitation. As a whole, the Department has not clearly adopted a rehabilitative approach to working with clients. Although many individual staff do have this mentality and expressed a rehabilitative philosophy, it is not embedded in the language, policies, and practices of the Department. The language that is used to describe the client population, both verbally and in Department documentation, clearly lacks a rehabilitative orientation or positive development approach. The current mission statement, quoted above, refers to clients as "Probationers," while staff within the Department refer to adults on probation as "defendants," and youth on probation as "minors." The research team observed prominent signage in Central Juvenile Hall referring to youth as "arrestees" and overheard staff at Sylmar Juvenile Hall referring to youth charged as adults as "unfits," short for found unfit for juvenile court. While many of these same staff do convey a commitment to client success and wellbeing, common language in the Department does not express this. Moreover, the tension between rehabilitation and punishment creates a divide across the Department and leads to confusion about the Department's approach to various functions including hiring, training, client relationships, and outside partnerships.

Employee Morale and Engagement

Across positions, staff morale is low. This is not a recent development; previous Department reports have related low staff morale to a lack of leadership, poor staff attendance, media coverage, and the promotions process.[7] Though these factors continue to impact staff morale, this assessment found the primary issue to be a deeper perception by many staff that they are not supported or valued by the Probation Department executive management or County Leadership. The workforce lacks positive extrinsic motivation; many employees do not believe they will be rewarded or even recognized for hard work and success.

Lacking positive external motivation, many staff instead are driven by a combination of intrinsic motivation (feeling that they are helping clients) and fear of being blamed for something. The fear-based culture extends across the Department hierarchy and units, which weakens trust and inhibits curiosity. Rather than encourage continuous learning and improvement, staff report worrying that implementing any changes to Department practices will result in questioning and blame, both internally and externally. Therefore, staff across responsibilities and hierarchy report find it "safer" to operate in the same way they always have; several staff described learning early in their careers to "keep their head down" and not ask questions.

Morale is particularly low among line staff in the juvenile institutions. Though there are some variations between facilities, most institution line staff interviewed do not believe that the Department cares about their well-being or safety; instead they feel expendable and "just a number." They shared frustration that, from their viewpoint, the Department's executive management and the County leadership's concern for the well-being of youth outweighs its concern about staff.

The punitive, blame-oriented approach of which many line staff accuse the Department is, in many ways, similar to criticisms from within and outside the Department about how staff interact with clients, particularly youth. Just as outside stakeholders frequently criticized staff for not taking a positive development approach to working with clients, many line staff perceive the leadership as punitive and accuse the Department administration of disciplining staff with little regard to the context and perspective of the staff.

Another key barrier affecting employee motivation is a perceived sense of unfairness around employee discipline and promotions. Accountability processes are viewed as inconsistent, and staff across positions pointed out the Department's tendency to be lenient on managers. A 2010 report by then-interim chief Cal Remington voiced the staff sentiment that regarding promotions and transfers, "It isn't what you know, but who you know."[8] While the promotions process has changed since 2010, many staff still see it as disconnected from performance (see Chapter 2 for a more detailed discussion of staff promotions).

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7 Altmayer Consulting, "Probation Department Final Report: Restoring Credibility and Integrity to the Department" (Pasadena, CA: Altmayer Consulting, April 2012); Calvin C. Remington, "Back to the Basics: The Steps Required While Moving Forward" (Los Angeles, CA: Los Angeles County Probation Department, August 24, 2010).
8 Remington, "Back to the Basics: The Steps Required While Moving Forward," iii.

Staff across rank and role also shared a desire for more internal communication around positive achievements. The Department has several mechanisms in place to communicate across the Department, such as Probnet and the monthly online newsletter. These are promising venues to share Department successes (though institution staff have limited access), however, many staff do not appear aware of these tools, with more staff discussing the frequent bereavement emails they receive about employee or employee family deaths than the newsletter or Probnet. This lack of internal communication about successes negatively affects the morale of staff.

Though overall staff morale is low across the Department, there are certain units and operations with high levels of employee morale and engagement. In these units, managers take a very intentional approach to cultivating a positive, collaborative work environment. These tactics include recognizing staff's accomplishments through incentives and offsite teambuilding activities. Most importantly, these managers know the names of all their staff, are familiar with their work, and encourage staff input and feedback.

External Environment

The external environment of any organization affects its overall operations, opportunities, and barriers to success. The outside environment is particularly influential to Probation, since the Department must constantly respond to outside inquiries and scrutiny. A number of advocacy organizations, Board of Supervisors members, and media outlets are particularly focused on the Department. Additionally, various committees, commissions, and work groups oversee certain operations of the Department and provide recommendations for improvement.

In response to these outside pressures, Department managers spend a large proportion of their time participating in meetings and hearings, compiling data, and assembling reports. Managers share that these frequent requests reduce their ability to strategize and plan. This contributes to a sense within the Department that it does not set its own direction, rather it is constantly shifting to comply with outside demands.

Political Environment

One key source of outside demands is the Board of Supervisors. The Department's relationship with the Board is strained. Often, staff across the organizational hierarchy perceive Board motions as punishments, which creates a fear of the Board and contributes to the Department's fear-based culture. The Board's heavy involvement in Department operations creates a feeling of disempowerment and frustration across management. Managers spend so much time responding to Board inquiries and motions and oversight/advisory bodies that some feel they have lost sight of the Department's mission:

> *"If you were to go around this room and ask us about our mission statement, most of us couldn't tell you. Why? Because it seems to change minute by minute. It is hard to have focus or a mission because it has become [to] please the Board."*
> *– Probation Manager*

A stronger, more collaborative relationship with the Board would help to align understanding and interpretation of the Department's mission and vision. Instead of an adversarial approach, one of accountability that includes agreement on goals for change, measurable outcomes, benchmarks, timelines, and a system of reporting out would help strengthen and advance the Department, allowing it to be mission-driven rather than reactive.

Community

Staff across role and hierarchy identify community advocates as another external pressure point that impacts Department practice and employee morale. Though the relationship between the community and Probation has improved in recent years, distrust remains. Many staff feel misunderstood and overly scrutinized by community advocates. Advocates, in turn, see the community voice as being excluded from the Department's decision making, particularly regarding programming (see Chapter 3 for more detail about service delivery). Each party is frustrated that the other does not value their expertise.

Based on interviews with Department staff and CBOs, both appear to have similar goals for client success and a shared desire for better relationships. Moreover, many staff within the Department do make a clear effort to support relationships with CBOs and other community members. Several Probation staff regularly attend advisory councils, taskforces, coalitions, and committees with community members. Due to community pressure, the Juvenile Justice Coordinating Council (JJCC), a body that oversees JJCPA implementation, recently developed a Community Advisory Committee. Department staff who participate in these groups find them to provide useful opportunities to engage with community members and build relationships. Increasing collaboration and dialogue between the Department and different community representatives — including advocates, CBOs, clients, and families — appear to strengthen operations and may also help relieve external pressure on the Department. At the same time, there is a new for more structured partnerships with communities and community-based organizations, via both service contracts and more formal opportunities for communication and engagement.

Media

The Department's public image is extremely influential in shaping how it is viewed by staff and outside entities. This affects external pressure, employee morale, and the number and type of applicants who seek employment. Media stories generally depict the Department in a negative light, which staff attribute to poor external communication efforts. Staff lament that successes are not proactively shared, which one manager tied to the culture of the Department:

> *"We have a culture of not communicating, a culture of not telling our story … We're caught up in 'it's criminal record offender history – I can't tell you.' And so, we don't tell the stories."*

Capacity is the primary barrier to the Department improving its public image. The acting Public Information Officer is responsible for internal communication, such as the Department newsletter, as well as media relations and public relations. Increased investment in external relations will help the Department publicize positive developments and achievements. Managers spoke very highly of the previous media relations consultant, a position which was not filled after her contract ended. In addition to securing more in-house media relations expertise, client outcome data would also support media coverage. To address this issue, the Department management recently worked with the CEO to develop a Media and Public Relations Unit structure and open an examination for this unit. They are currently interviewing qualified, high-level managers for appointment in order to oversee and develop this area.

Data about positive outcomes can help bolster positive stories, but to do this, the Department will have to increase its data capacity and systematically track outcomes.

Organizational Capacity and Structure

Organizational capacity refers to an organization's internal resources, processes, and capabilities. This assessment found organizational structure, strategic leadership and planning, internal communication, decision making, and data to be the elements that most critically affect the Department's organizational capacity.

Organization Structure

The size of Los Angeles County, both in terms of population and geography, results in a large Department workforce spread over a wide area. This size, combined with the range of functions Probation performs, creates challenges in organizing an agency that maintains cohesion, but also allows for adaptability. The Department's current organizational structure is not aligned with staff roles and responsibilities, information flow, and, in some cases, span of control. Moreover, the organizational structure, as it currently exists, is unnecessarily complex and does not support streamlined decision-making or accountability. Since the beginning of 2017, the Department has begun streamlining its executive structure for overseeing client-related functions toward an agency-model. Under this model, responsibilities are divided between Assistant Chief Sheila Mitchell, who oversees juvenile operations, and Interim Assistant Chief Reaver Bingham, who oversees adult operations. Both are overseen by Chief Probation Officer Terri McDonald and supported by a common administrative infrastructure.

Despite these important changes, there remain significant challenges in the larger organizational structure. Executive management at the level below the Chief and two Assistant Chiefs is responsible for oversight of a wide range of functions, some of which are countywide while others are geographically specific, and some of which include both adult and youth populations, while others are population specific. (See Figure 5 on page 13 for an overview of the Department's executive management structure.)The district model, instituted under Chief Jerry Powers, reorganized field services into five districts to match the five supervisorial districts. Under this model, Bureau Chiefs manage all field offices within a district, with almost every district providing juvenile supervision, adult supervision, day reporting centers, and specialized programs such as JJCPA school-based clusters. Only certain adult operations, such as AB 109 and SB 678, exist outside the districts, though these field offices are frequently co-located with district field offices. Under the current configuration, one Assistant Chief oversees the juvenile institutions and another Assistant Chief oversees all field services, both adult and juvenile. One Assistant Chief oversees institutions and Juvenile and Adult Field Services, and one Acting Assistant Chief oversees Adult Special Services.

Many staff describe the benefits and detriments of both the district model and agency model structure. Under the agency model, the Department is structured as a more singular agency with two distinct, separate departments (adult and juvenile), whereas the district model promotes the autonomy of each of the five Board of Supervisors' districts. The tension between these two models highlights the need for a Department structure that is responsive to the needs of the community it serves as well as supportive of the needs of its employees. Overall, interviewees prefer the agency model, stating that the district model "created more silos" or led to loss of "institutional knowledge" given the constant movement of

staff. The district model creates additional challenges for administrative functions to effectively support Department operations. For example, the financial system does not easily map to the district model, creating barriers to budgeting and fiscal accountability.

Strategic Leadership and Planning

After a decade of turnover in leadership, the Department began to suffer from a lack of strategic leadership and planning. This is explained, in part, by leadership instability, the absence of a shared vision with clearly defined goals, and the high degree of external pressure facing the Department. Additionally, the hierarchical culture centralizes many decisions at the executive level. One Department manager observed:

> *"I see good management – making sure the day-to-day gets done, but not very much leadership…This is a chain of command, paramilitary, very hierarchical. That's a function of the folks who have been around for a lot of years."*

As noted above, managers report that the time they spend responding to external pressures prevents the Department from engaging in planning. They are so busy "putting out fires," that they are unable to thoughtfully plan for the future. One manager observed that due to constant external scrutiny, staff are encouraged to focus their efforts on policy compliance, rather than critical thinking and continuous quality improvement. Some units and operations are able to invest more time into strategic planning, particularly if they have a specific funding source associated with their operations, but these plans are generally more narrowly focused and not shared across the Department.

Internal Communication

The Department relies on hierarchical structure and its different components operate in silos, which hampers information flow throughout the Department. Communication gaps are particularly severe in two areas: between administrative functions and operations and between management and line staff.

Both sworn and non-sworn administrative staff – such as human resources, IT, and finance – describe the administrative staff's role as existing to support the Department's operations. However, the administrative staff are frequently viewed as secondary to operations, rather than a critical component of the Department. For example, non-sworn staff have only recently been invited to join sworn staff trainings, staff newsletters rarely discuss administrative functions, and important decisions that impact administrative functions are frequently made without the input of administrative leadership. These barriers, as well as understaffing and a lack of training, impede administrative staff's ability to effectively and proactively support operations.

As noted previously, interviewees reported that the Department is very guarded with communication – both internally and externally. Both managers and line staff tasked with implementing new policies shared frustration that they are informed about new policies without adequate time for preparation and limited context about the reasons for instituting for the new policy. As highlighted by one probation officer, this is tied to the reactive nature of the Department:

"There always seems to be a disconnect between headquarters and any area office. It is reactionary… Something happened that we don't know about so we get a directive in response. If they provided training and explained why they're doing something, instead of just needing us to do something and then needing to re-train us when we do it wrong because they didn't teach us why or how to do it correctly the first time."

These issues, combined with the top-down communication flow within the Department, hinder policy implementation and damage trust between levels of staff. This also further exacerbates the low morale.

The communication gaps within the Department, especially between staff of different hierarchical positions, impact decision making. Staff from all levels and units described instances in which they were not given any opportunity to provide input on matters in which they possessed expertise. Line staff frequently cited that managers are disconnected from the field and, due to frequent manager transfers, do not always have the necessary background in the area they manage:

"We have a lot of staff working in manager's roles who have never worked in [this operation] field, but they're making decisions. It's discouraging because it might look good in theory or on paper and it is not going to work in practice. If you're making policies, you need to consult the line staff because they know what can work and not work." – Probation Line Staff

New directives frequently contradict previous policies, leading to confusion about expectations. Many line staff described instances in which they asked their supervisors for clarification about policies but were unable to get an answer. The Department does not regularly utilize employee feedback loops; line staff do not generally receive opportunities to provide feedback to managers about how to make policies easier to implement. There were significant discrepancies between how program staff described their service delivery processes and how the data indicated these processes are implemented.

It is important to note that some Department operations, particularly specialized units, practice collaborative decision making and encourage bidirectional feedback. One line staff shared that in his unit,

"We meet with our director … He asks us our ideas, involves us, implements things that we suggest. But this is not a normal practice at all."

Though these units are not currently the norm, they provide promising examples of effective team communication.

Data Capacity

As noted in previous reports for this project, the Department's data systems and processes are a major challenge. The Department uses 46 different data systems to manage clients, staff, contracted providers, and a range of other information. Of these 46 systems, 25 are operated by the Department and 21 are systems operated by other county departments or vendors but accessed by Probation. Many of these systems are electronic document systems, not databases from which data can be extracted.

Across data systems, there is a limited ability to link data and limited data sharing with other county departments, which reduces data utility and creates a number of challenges across all levels of staff.

In addition to the lack of extractable data and linked data, the Department's outdated data systems and insufficient resources for IT staff, staff training, and systems upgrades impede its ability to make data-driven decisions. In particular, the Department has a limited capacity to track client outcomes, making it difficult to ascertain whether or not programs are working.[9]

The Department's primary data systems are the Adult Probation Systems (APS) and the juvenile Probation Case Management System (PCMS).[10] These two systems are independent; they contain different screens to input information and do not speak with each other. While both databases have the capacity to collect and report a great deal of information, both also present several challenges that limit usability.

APS is an older, mainframe system that contains a great deal of information, but does not easily support data extraction. It is also very difficult to modify and add features, creating problems when new data must be collected as a result of new legislation. Staff emphasize that neither system is user-friendly, particularly since they do not align with practice. Numerous staff described the rushed launch of PCMS; one manager shared that the system was introduced without any user testing.

As noted above, RDA experienced significant difficulty analyzing and interpreting data from APS and PCMS. In multiple instances, patterns in the data did not reflect how Department staff described their client service and supervision processes. Whenever a discrepancy emerged, understanding the cause of the discrepancy required a multi-step, multi-person process that often took weeks or even months. RDA staff would talk to program staff, who would meet with IT staff, who would then often spend several weeks reexamining the data before providing new information to the program staff, who would communicate it back to RDA. At times, program staff would have to speak to several other program staff as well as to multiple staff from the Department's Information Services Bureau (ISB) before finding someone who could answer questions in a way that aligned with what the data showed. Even after all of these conversations, there are notable discrepancies between the findings in RDA's analyses and those in various Department publications.

Given the myriad challenges with the Department data systems, many operations choose to build their own data tracking tools within Access or Excel to have more control over their data. However, if these systems malfunction, ISB is unable to provide support. In addition, because these tools are not connected to larger Department data/IT infrastructure, the data cannot be shared among staff or used for department assessment and planning processes.

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9 Herz et al., "The Los Angeles County Juvenile Probation Outcomes Study"; Remington, "Back to the Basics: The Steps Required While Moving Forward"; Newell and Salazar, "Juvenile Reentry in Los Angeles County: An Exploration of Strengths, Barriers and Policy Options."
10 Client outcomes, including education, employment, community stabilization, and personal growth and opportunity are tracked for the AB 109 population through a web-based data system, the Treatment, Court, Probation eXchange (TCPX) System.

Figure 21. The APS system, which is used to track all individuals on adult probation, is outdated system with little flexibility and a long to pull data reports.
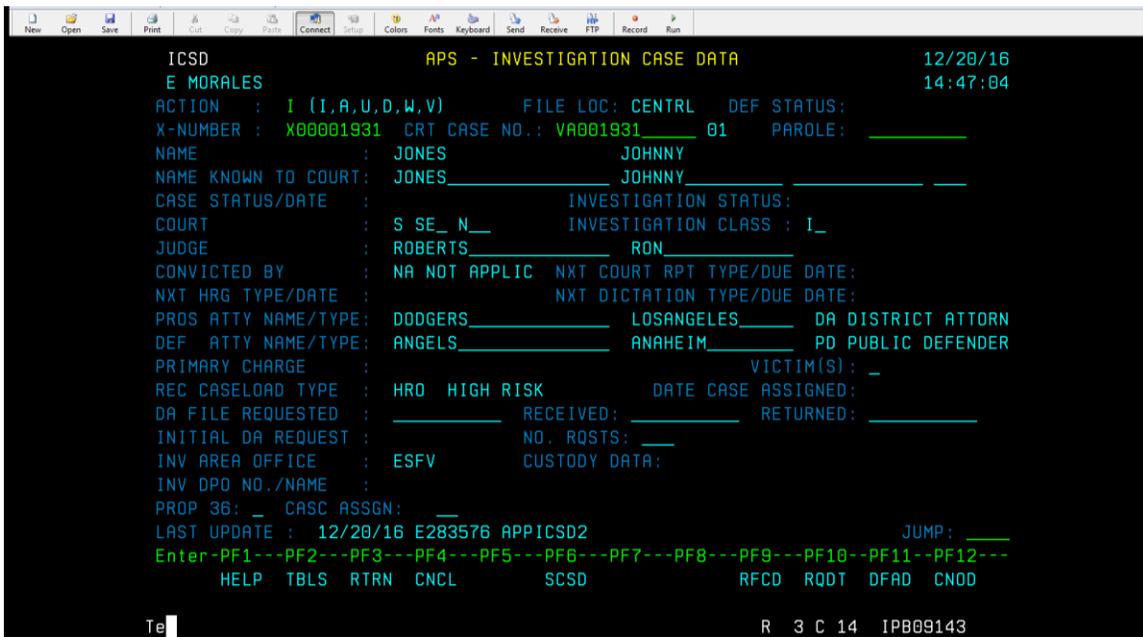
More generally, there is no shared understanding, or accountability, regarding where information should be inputted. Staff often put information in case notes, which prevents easy extraction for reporting. Regular booster trainings could help address this issue, as well as a more robust quality assurance. One program analyst suggested making certain fields mandatory to ensure that staff know they are required, another staff member has placed requests with IT to create flags when information is missing or entered incorrectly.

The inconsistency in data entry impacts the quality of reports. Because some data is not consistently entered, reporting is limited and can be unreliable or misleading. Many data fields are text, making data difficult to extract and aggregate. Reports, for the most part, are not standardized and accessible. Managers have difficulty pulling data from the data systems, and many data requests must be submitted to IT. Much of this could be allayed with standardization.

Communication difficulties between IT and operations are especially problematic because IT's data pulls are used to describe and assess Department operations. Units may have differing understandings of data fields from IT or other operations, resulting in divergent results depending on who runs the report. For example, staff referred to reports that contained different counts of the number of individuals "active" on probation. Because staff have different understandings of how to define "active," the reports provide different results depending on who pulls the data. The Department would benefit from greater education between IT and operations, a clear data dictionary, and more staff in liaison roles to aid in translation and foster collaboration.

Figure 22. Most Department data systems lack usable data dictionaries.

```
I  D  DB Name                                    F  Leng  S D Remark
-  -  --  ------------------------------------  -  -----  - - ------------------------
   *       Generation started
   *       at 2007-02-16 15:02:58
   *       by user E266417
   *
   1  AA  UPDT-STCK                              B     8
   1  AB  UPDT-USR-CODE                          A     8
   1  AC  UPDT-PGM-NAME                          A     8
   1  AD  DEF-X-NMBR                             A     9     D
   1  AF  ATP-DEF-SALARY-AMNT                    P  11.2
   1  AG  ATP-WLFR-GR-AMNT                       P  11.2
   1  AH  ATP-SSI-AMNT                           P  11.2
   1  AI  ATP-SPOUSE-INCOME-AMNT                 P  11.2
   1  AJ  ATP-OTH-INCOME-AMNT                    P  11.2
M  1  AK  ATP-INCOME-TEXT                        A    72
   1  AL  ATP-RENT-MORTG-AMNT                    P  11.2
   1  AM  ATP-LOAN-PMNTS-AMNT                    P  11.2
   1  AN  ATP-CAR-PMNTS-AMNT                     P  11.2
   1  AO  ATP-INSRNC-PMNTS-AMNT                  P  11.2
   1  AP  ATP-UTIL-PMNTS-AMNT                    P  11.2
P  1  AQ  ATP-DEPNDNT-GRUP
   2  AR  ATP-DEPNDNT-LST-NAME                   A    20
   2  AS  ATP-DEPNDNT-FRST-NAME                  A    15
   2  AT  ATP-DEPNDNT-SSN-NMBR                   A     9
   2  AU  ATP-DEPNDNT-AGE-QNTY                   N   2.0
   2  AE  ATP-DEPNDNT-BIRTH-CERT-FLAG            A     1  N
M  1  AV  ATP-EXPENSES-TEXT                      A    72
   1  AW  ATP-HOUSE-VALUE-AMNT                   P  11.2
```

Due to the various barriers across data collection and reporting, the Department has a low capacity for effective data-driven decision making and does not have a culture of using data and discussing its findings to inform practice. Though there is a Department of Justice (DOJ)/Quality Assurance Services Bureau, this unit has been tasked with program compliance and monitoring, rather than research and evaluation. Overall, managers expressed a desire to capture more data to help inform operations and demonstrate successes. As discussed above, sharing achievements externally and internally can also improve the Department's image with the community and media and improve employee morale.

Chapter 2: Hiring, Staffing, and Training

The Department has approximately 6,600 budgeted positions and comprises more than 80 facilities across the County. Staffing an organization of this scope and size presents many challenges across a number of domains; below, we first provide key findings and then explore the Department's hiring, staffing, and training practices.

Key Findings

1. The Department-wide tension between a punitive corrections officer and rehabilitative social worker approach prevents the identification of desired staff qualities and background and therefore impedes strategic recruitment efforts.
2. A lack of investment in recruitment impedes the Department from designing, implementing, and tracking effective recruitment plans.
3. The Department is likely losing many quality candidates due to the extensive and prolonged hiring process, and in particular the background check. This is especially problematic given that background checking is not the lengthiest component of the hiring process.
4. Increased data to provide transparency around the success of the Department's recruitment efforts is needed to improve recruitment and hiring efforts.
5. Uneven workload distribution and vacancies across the Department creates challenges for offices in high-density areas, juvenile institutions, administrative staff, research, and evaluation.
6. While there is complexity to the classifications within the Department and differing rules for promotions processes per MOU requirements, the general consensus among staff is that the promotions process should be a multi-dimensional mix of interviews, testing, and seniority, rather than exclusively dependent upon one singular dimension.
7. Gaps in training, such as court report training, mental health, and trauma-informed care, make it difficult for staff to carry out their job tasks.
8. The absence of official transfer training programs often results in unofficial training from colleagues or supervisors, which takes them away from dedicated workloads and creates inconsistency across different facilities and offices.
9. Staff feel that the training program is improving and voice cautious optimism for its future direction.

Hiring

Recruitment

Identifying an ideal probation officer has proven particularly challenging for the Department. Leaders from within, as well as external forces, try to shift the Department's from a "law-enforcement" and "militaristic" approach to one that is focused more on client rehabilitation. Additionally, the Department has yet to identify what kinds of candidates – whether social work, clinical, youth development, and psychology-oriented or criminal justice, law-enforcement, and militaristically-oriented – are best suited

to carry out the work required. Current staff used these specific terms to describe the types of frameworks they thought the Department was seeking in new recruits, even though the Department is not actually a military organization. However, when the LA County Department of Human Resources evaluated the Probation Department's recruiting and hiring practices, it did recommend that the Department include and specifically target recruitment from military organizations as part of its recruiting strategies, since those individuals are more likely to pass the organization's background investigation. This recommendation begs the question of whether the primary quality for an ideal probation officer is to pass a background test, or to possess certain characteristics that would lend themselves to performing the job well. Interviewees from all levels of the Department, intersecting county agencies, and CBOs all voice similar concerns regarding the Department's failure to identify the qualities of an ideal probation officer. Similarly, there is a shared sense that until the Department identifies who the ideal probation officer is, its recruitment efforts will remain unnecessarily unsuccessful.

Current job descriptions for the positions for which the Department recruits (Deputy Probation Officer [DPO] I and DPO II in facilities and the field, and Detention Services Officers [DSO] in facilities) now define the position, identify the required training and experience, include the classification standards, and provide examples of job duties. Generally speaking, the field positions are framed in slightly more rehabilitative terms than the facility positions. Within the facility positions, the lowest on the hierarchy is the DSO, the description of which places the heaviest emphasis on the control and supervision of youth. The description uses language like "maintains order and control of a unit," "maintains institutional security and takes appropriate action to prevent escapes," and "controls and restrains combative or emotionally disturbed juveniles."

This language likely attracts a candidate interested in the custodial and enforcement aspects of the criminal justice system. While this is not a problem in and of itself, the positions to which a DSO then promotes to (whether in facilities or the field) are more focused on case management, recommendations to courts, and communication skills. For example, the DPO I description for a juvenile hall lists such job tasks as "maintaining order and control of minors," but also includes "performs case management and life-skills assessment activities," "conducts recreational activities," and "provides case work services to camp wards." The disparity between the different types of language and framing used in these descriptions is problematic, considering the nature of the Department's promotional process. A DSO will promote to a DPO I, but the listed tasks would seem to attract different types of candidates. Moreover, the staff that work in facilities will promote to the field, which, though still supervision-oriented, emphasizes relationship-building, case management, and collaboration with other officers, outside agencies, and CBOs. These positions that require a desire to relate to others are primarily drawing from a pool of staff that were initially brought into the Department as DSO's and are therefore perhaps more likely to identify with the custodial and law-enforcement aspects of the position. These disparities can potentially have a ripple effect on the qualities that staff possess types of staff filling the positions that, according to their descriptions, should be focused on case management and connection to rehabilitative services.

Despite having 6,600 employees, the Department does not have a designated unit – let alone a single full-time position – dedicated to recruitment. Historically, the job of recruiting has moved between different units, for example the Quality Assurance Bureau and Professional Standards Bureau. As of 2016, these efforts were brought into the Department's Human Resources Bureau (HR), though recruitment tasks were not assigned to a full-time position. Recruitment functions are currently under review and are expected to be moved outside of Human Resources once again. This decision is counter to recommendations from the LA County Department of Human Resources to keep recruitment efforts under the Department's HR bureau and assign two full-time employees dedicated to administrative and staff functions related to recruitment. Human Resources staff acknowledge the issue and in an effort to address this gap, the Department's most recent draft budget request for the Recruitment Unit includes three full-time staff. Distribution of staff and vacancies are Department-wide issues, therefore many staff at different levels are confused by the lack of a dedicated unit for recruitment activities, especially considering its size. One manager expressed this sentiment well:

> *"With regards to hiring, we don't have a plan, we have no real recruitment unit. Most counties have a whole unit dedicated to just recruitment…Our failures in hiring are our own fault for not having the foresight and not staffing things correctly."*

The constant relocation of recruitment responsibilities within the Department is problematic. Additionally, the lack of a dedicated full-time recruitment manager position may potentiate unfocused efforts, thereby splitting recruitment tactics into two disparate strategies. The Department either casts a "wide net" to attract potential candidates through billboards, online job postings, social media advertisements, and e-mail blasts, which annually cost approximately $124,000. Or, the second strategy entails a more targeted approach, such as attending career fairs at colleges and universities – in previous years targeting MSW or BSW programs. These fairs are staffed by a rotating group of DPO I's and DSOs who are trained to effectively recruit, give their first-hand account of the job, and answer questions about the position and application process.

It is imperative for the Department to establish personnel and data systems to track recruitment as it competes with other county agencies or other probation departments for similar candidates. The Los Angeles Police Department (LAPD) and the County Sheriff's Department actively recruit potential employees from the same pool of candidates as the Probation Department. These competing agencies have already implemented effective mechanisms to collect and track data, which likely allows them to understand what strategies work – and which do not work. These tracking mechanisms help them recognize where their highest qualified or most successful candidates are coming from, which facilitates more effective recruiting.

In addition, the LAPD and the Sheriff's Department are able to offer higher salaries and better benefits than the Probation Department. According to one upper management level Department employee, this difference can amount to approximately $10,000, which is about 20% of Probation's starting salary. Throughout interviews, several DPO I's remarked that though they generally enjoyed their job, they would recommend friends or family apply to these other agencies precisely because they can offer higher salaries, better pension plans, and more traditional hours. There is an additional concern among

staff that the Department is unable to compete with these other agencies due to the comparatively lengthy hiring process.

A continual theme throughout interviews with Department staff is that there are many good employees across different levels, all performing different functions. These staff work very hard, want to make a positive impact in their clients' transition and rehabilitation, and care about their colleagues. However, these stories are not consistent with the dominant public image of the Department, which consists of predominately negative press about abuses of power, abuse of minors in facilities, and leadership instability. This has not only a negative impact on staff morale, but also on recruitment efforts.

Hiring

With changes in top-level leadership, negative press, and compliance with the DOJ intervention, the hiring process for the Department has evolved over the past 20 years. The County Board of Supervisors initiated a mandatory background check, pursuant to a 1998 resolution. A little over a decade later, in an effort to hire candidates with "cleaner" backgrounds void of any criminal association or activity, then-Chief Probation Officer Powers instituted additional mandatory background check requirements for all sworn applicants. The background check process led to several consequences – both intended and unintended – for the Department's hiring, staffing, and training operations. This section details the hiring process and discusses the ways in which this process affects the types and qualities of the candidates that are ultimately offered positions with the Department, and what this means for the staffing of the organization as a whole.

There is wide consensus across Department employees at different levels that hiring takes too long to complete, which has far-reaching consequences throughout operations. After candidates apply for positions, they begin a process that can take anywhere from several months to one year. Candidates who meet the minimum qualifications required for the position are contacted by Department Human Resources personnel and provided an exam date on which to report. According to data provided by the Department, exams for Groups Supervisor, Nights (GSN) and DSO positions are conducted continuously throughout the year and candidates are assigned to the next upcoming exam.

After the exams are scored, the Department will send out conditional offer letters with a background interview appointment. At the time of their appointment, candidates are also assigned a Background Investigator, who, according to several recently hired DPO I's, acts as the main point of contact throughout the remainder of the background examination and hiring process. The Backgrounds Investigator begins to conduct the various aspects of the background check, and all candidates who have not gone through the backgrounds procedure in the previous 12-months and receive a passing score on the exam are invited for a background interview. According to 2017 data provided by the Department, the background examination process itself takes an average of 85 days. However, in addition to this examination, candidates undergo a medical examination, a psychological examination, and a credit check. Once the candidate has fulfilled these pre-requisites and is judged to be an appropriate hire, they are offered a position and – should they accept – begin the next upcoming academy training, which run six times annually. One Department staff summed up the effects of this lengthy process:

"[The hiring process] has become so protracted that individuals who are skilled are not going to sit around twiddling their thumbs. They're only going to wait so long and there are other [agencies] that are interested in them and then we end up losing people."

In other words, the Department could be losing its highest quality candidates simply because the hiring process takes longer than those of competing agencies. For example, according to Department 2015-2016 hiring records, thousands of candidates expired off of their list without receiving any notice as to the status of their application or notice that they could move on in the hiring process. Recent past practices and current practices may be worth evaluating. Moreover, according to recently hired line staff, there is minimal communication to candidates about the status of and the overall timeline of their individual application, despite the designation of the Backgrounds Investigator as the main point of contact.

Figure 23. The background check process for sworn staff is lengthy, contributing to a slow hiring process.

(Process for non-sworn staff does not include social media review or polygraph)
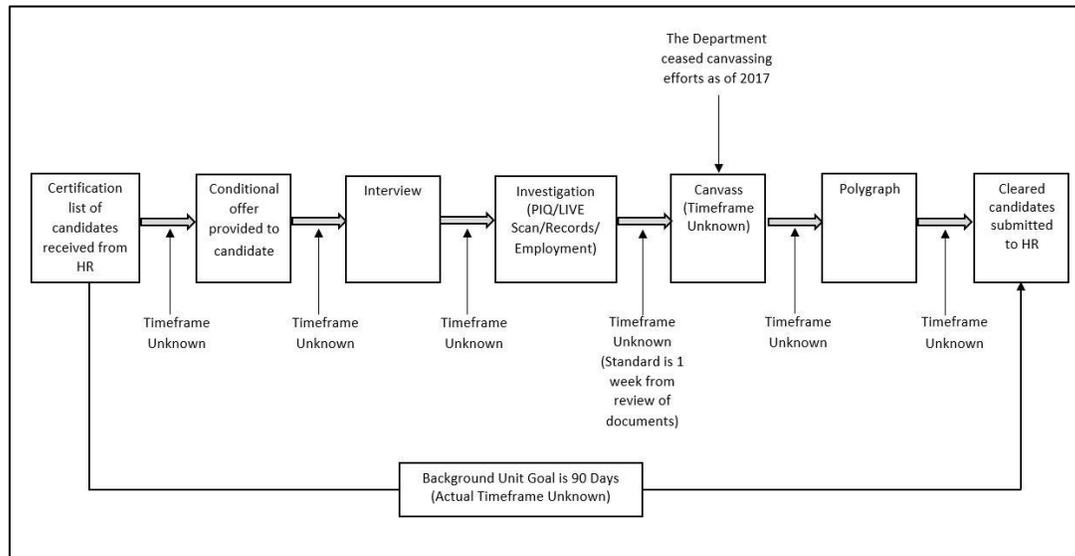
The following diagram is adapted from the Department of Human Resources' Probation Department Human Resources Assessment and illustrates an overview of the procedure and timeline of the background process for new hires. It should be noted that many of the specific timeframes were "unknown" and the projected timeline of 90 days is an estimate and the "actual timeframe unknown." Data were not available to validate these timeframes.

In addition, staff and stakeholders shared concerns that the order in which the different components of the hiring process for sworn staff occur is problematic. Most notably, the fact that not all applicants who are under consideration are invited to participate in an in-person interview is seen as a reflection of how the Department prioritizes the desired qualities of candidates: all candidates undergo background

checks, but only some are interviewed. Probation line staff, leadership, and external advocates agree that for a position like a DPO, being able to relate to people, and in particular youth, is critical in one's ability to effectively carry out the job. Many interviewees felt that prioritizing the background check over an interview is not necessarily conducive to hiring appropriate staff for these positions.

Background Check

The background check for candidates applying for any sworn position with the Department includes: a review of any criminal or drug record, a polygraph test, and a credit check. Staff across all levels, as well as CBO leadership, voiced concerns regarding the extent of the background check, which is apparently more similar to that required for FBI candidates than traditional law-enforcement entities. The Department recognizes that this process may be overly extensive. The executive management is currently reviewing these guidelines and has in fact attempted to streamline the process by eliminating canvassing efforts. Nevertheless, the current thoroughness of the background check lengthens the hiring process as a whole, as some candidates need to take the polygraph more than once. Others go through all other components of the hiring process only to be disqualified for transgressions such as smoking marijuana in college. Additionally, many staff and CBO leadership note that the thoroughness of this process results in a divide between the staff and the population that they serve. Incoming staff are "squeaky clean" and are then expected to supervise a juvenile population that is anything but. Line staff observe that this cultural divide between the two populations is often very challenging to address. Staff who were hired prior to instituting background checks often came from the same neighborhoods and similar backgrounds to the youth and clients with whom they were working.

Consistent with this, staff describe how this common life experience and language is critical to their ability to relate to and supervise youth. Moreover, many youth who had experiences in halls or camps noted that staff would be more effective if they were more relatable. Newly hired staff who do not possess this same life experience identify this cultural gap as one of the biggest challenges they face in doing their jobs effectively. There is widespread concern that this obstacle affects service delivery and staff morale as well. Therefore, as the Department considers what qualities make up ideal candidates, it is important that it also addresses the collateral consequences of its use of extensive background checks.

Staffing

Many staff, intersecting agencies, and CBO leadership noted the size of the Department and its impact on staffing. Size presents challenges such as staffing facilities in remote locations, variability in the total clients served across offices, operations and units, service availability within the community, and coordination of staffing and service delivery across districts.

One of the key issues affecting the structure of and staffing within the Department is the placement of new hires within juvenile institutions. The Department places new hires within juvenile institutions first, as safety precaution for staff, allowing them to gain more firsthand experience and training prior to subsequent promotions to more potentially dangerous adult field service placements. As noted by

Department staff, this structure creates serious issues with backfill wherein transfers cannot occur until someone is hired, trained, and ready to replace the gap left within the juvenile institution, which is exacerbated by the lengthy hiring process described above. Moreover, from the perspective of the majority of CBO leadership, placing new recruits within the juvenile side of the Department constitutes a profound disservice to youth, as many new hires are not interested in, or equipped for, working with this population. Rather, as a result of the inherent structure of the Department, they are working with youth only for purposes of promotion elsewhere.

Another complicating factor from a structural perspective is the dependence on sworn staff within the Department, which also affects overall staffing. Approximately 70% of the Department constitutes sworn staff, yet the majority of applicants for sworn positions do not pass the background investigation (80% according to the Department's website). Additionally, individuals in sworn positions must complete an academy within their first year. In 2014 and 2015, only 76% of candidates passed the academy, compared to 100% of candidates in benchmark counties. The reliance on sworn staff creates a further bottleneck in staffing processes given the complexity and length of their hiring. Moreover, CBO leadership question the need for sworn staff, noting that dependence on sworn staff promotes a law enforcement perspective and practices rather than rehabilitative or clinical approaches – a sentiment not articulated from within the Department. One CBO director encapsulated this sentiment by stating:

> *"These probation officers were saying that they wanted to have guns, because they weren't trained to go into these communities [Watts]. Then I said, well then, you don't need to be doing this work. Not to say that this work isn't dangerous, or isn't challenging, but you don't need no gun. You need a relationship."*

Staff Workload

Interviewees and focus group participants were asked whether or not there are enough staff within their operation to function effectively. Given the complexity of the Department and its multiple operations, units, and facilities, it is unsurprising that the answer to this question is also complex. Nonetheless, the consensus appears to be that overall, the Department is either understaffed or not appropriately staffed (i.e., not enough administrative staff, thereby sworn staff end up being "pulled off line" and are converted to an administrative role). Both result from overall staff workload or the workload distribution across both offices and units. Nevertheless, it should be noted that the overarching sentiment across staff – from leadership to line staff – is that the Department is staffed by the "hardest working people" and truly dedicated employees. At least according to the internal view, it is not for lack of dedication or hard work that staff workloads are problematic, although employee motivation and engagement are significantly compromised by low morale and frustration around discipline and promotions.

In addition, respondents describe a lack of investment within offices and units that contribute to both staffing and workload issues. Most commonly cited is the lack of administrative positions or support staff to assist with operations. One Department manager describes this lack of administrative support:

*"I think admin is lacking. As you expand, you always want to think about your bread
and butter staff which are your DPOs. So, we probably did hire a lot of DPOs. But . . . .
we forget about administrative staff. We have more contracts to do. HR has more to
do, more exams, we need to support staff. That's one area I'd like to see
strengthened."*

The lack of administrative support is also a particularly salient issue should the Department make a concerted effort to contract more services to intersecting agencies or CBOs, which will require a more robust contracting capacity but fewer line staff. Also consistently mentioned is the need to invest in research and evaluation, as well as quality assurance. This included investing in data analysts to assess performance trends related to hiring and promotions, as well as analysts to more effectively monitor evidence-based practices and outcomes.

The majority of respondents, from leadership to line staff, describe workloads as varying considerably by unit, office, and position. For example, the Crenshaw and Firestone offices, as well as the South LA AB 109 HUB, are consistently identified as highly trafficked and utilized offices with demanding caseloads and increased workloads compared with other offices. In addition to the distribution of workloads, the overall quantity or type of work that many are engaged in is described as problematic. For example, many note the emotionally and physically taxing nature of probation work. The most frequently cited elements are the changing demographics of the populations that they serve and "wearing too many hats." Both within camps and halls, as well as AB109 and other units, staff note the change in the populations that they serve. In interviews with Department and intersecting agency staff, current populations were described as having "way more mental health problems," "criminogenic," "aggressive," "dangerous," "difficult clientele," or consumers having "multiple issues in one case." According to many staff, providing effective supports for their caseloads, while they are smaller than previous caseloads, requires more effort and can also be emotionally draining. It should be noted that Los Angeles Risk and Resiliency Checkup (LARRC) risk assessment data for youth in camps spanning the previous six years indicate a modest increase in high-risk clients, from 71% in 2012 identified as high-risk to 76% in 2016. At the same time, the total number of clients decreased far more dramatically during this time, indicating that increased client-related workload is primarily a matter of perception, not an actual reflection of client populations or caseloads.

In addition, staff detailed at length how they are often "consumed" by the administrative or clerical burdens of their work and how this takes away from their ability to provide services or focus on responsibilities specific to their position. For example, one Adult Field Director described frustration at having to write statements of work for contracts due to the lack of administrative support. This appears to be an example of a gap in administrative or clerical functions. In other cases – such as a Supervisor's reluctance or frustration at having to train staff – being asked to perform tasks outside of stated job descriptions were more likely an unwillingness among staff to assume responsibility. Despite the frustration of some sworn staff with increased administrative responsibilities, the sizeable decrease in client population over the last several years indicates that it is appropriate for the Department to shift more staff away from client supervision toward administrative or operational roles. The appropriateness

of this shift notwithstanding, any such changes in the organization of staffing or job responsibilities should also be part of a larger Department-wide planning process that involves staff input, rather than a top-down process in which staff feel uninvolved and unvalued.

Staffing Shortages and Vacancies

Numerous reports pointed to staff vacancies and understaffing, particularly in facility classifications for entry-level positions such as DSO and GSN.[11] In interviews with Department staff, vacancies resulting from multiple reasons – general turnover, work related injuries, investigations, or use of the Family Medical Leave Act (FMLA) – negatively impact operations' ability to effectively function and serve clients.

Turnover, while distinct from but also related to vacancies, is cited as a recurring concern among staff. As a result of the taxing nature of the workload described above, instability in leadership, and the practice of starting in positions within juvenile and promoting to adult, turnover is one of the most frequently cited concerns from Department staff. Moreover, the differential turnover across units and area offices is problematic. For example, one line staff within a high-traffic office noted, "For every new deputy that comes in, we lose two." This turnover is problematic at both management and service delivery levels. Loss of institutional knowledge at the management level forces a staffing shift to accommodate the vacancy. Moreover, turnover among line staff negatively impacts the continuity of care provided to clients.

Many Department employees note the problem of understaffing. For example, within many units, particularly in institutions, there are line staff who are not working and "out" as a result of work injuries, investigations, or FMLA leave. These types of short-term vacancies present staffing problems for both supervisors and line staff in their ability to effectively manage operations. Staff become overburdened having to "pick up the slack" for those who are absent, leading to faster burnout among these employees. One DPO articulated this problem succinctly:

> *"We're short staffed, but the job has to get done. So, it falls on the deputies that are here, so we're overworked with extra days and extra caseloads. It's frustrating and it makes sense why people are leaving the office. It's not our fault, not the supervisors' fault, not the director's fault, but it can be difficult….And it falls on us when things don't get done and it's unfair to expect this much from us – there's only so much time in a day."*

Many managers acknowledge that they generally have adequate staffing "on paper" but in reality, due to work injuries or investigations, they have to take line staff "off the line," which creates a staffing

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11 Sjoberg Evashenk Consulting, "Review of the Department of Probation's Hiring and Grant Administration Activities" (Sacramento, CA: Sjoberg Evashenk Consulting, Inc., December 2015); Thompson, Cobb, Bazilio & Associates, PC, "2004-05 Management Audit of the Los Angeles County Probation Department" (Torrance, CA: Thompson, Cobb, Bazilio & Associates, PC, November 28, 2005).

shortage. Interviewees indicate that there is likely fraud within the system, which occurs when staff who are out for industrial accidents are capable of returning to work but stay out for personal benefit.

Additionally, some leadership note that staff who were on medical leave well past what is deemed acceptable. Some describe the inability to effectively monitor fraudulent activity simply because it was yet another task in an environment where staff are already "stretched thin." It should be noted that according to CEO reports there has been a steady decrease in Salary Continuation Expense (from $10,193,650 in fiscal year 2010-2011 to $4,285,078 in fiscal year 2014-2015) and overall Workers Compensation (from $37,562,376 in fiscal year 2014-2015 to $33,952,901 in fiscal year 2015-2016). Still, according to many interviewed – in leadership and supervisory positions – the general consensus is that staff experience this as an issue.

Transfers and promotions appear to constitute the bulk of staff shortages mentioned by Department staff. Turnover resulting from employees leaving the Department is relatively small. One interviewee cited an internal report spanning a 5-year period that calculated the rate of turnover at "maybe 4% or less" and only identified 511 vacancies throughout the Department. Moreover, internal reports provided by the Department indicate even less turnover, closer to 2%.

The issue of a "backfill" problem that results from vacancies, promotions, transfers, and turnover is significant. An individual cannot be released from their current position until it can be filled by another employee. Yet, when someone transfers into a vacant position, it creates still another vacancy, creating what one Department staff described as a "domino effect." This also creates an environment where staff are "frozen" for long periods of time awaiting release. This is a particularly salient point for juvenile operations, as many of the transfers originate from camps and halls. The act of being "frozen" in their position, waiting for a transfer, can contribute to low morale among staff, thereby affecting the care and services that youth receive.

Promotions

Over the last five to seven years, the Department implemented changes to promotions processes. These changes appear to have resulted from the consensus view that promotions were largely nepotistic, while others cited DOJ investigations as the impetus for change. Though well-intentioned, many now feel that these shifts in promotions processes have been too drastic. According to those interviewed, promotions processes have changed from performance reviews or interviews that were perceived as too subjective, to current written testing that is perceived as too objective. For example, staff noted in interviews that results from appraisal promotability forms were mostly contingent upon staff's relationship with their supervisor: "[Supervisors] give you a low rating if they don't like you, high if they like you." These appraisals and interviews were recently replaced with testing, which is perceived by many interviewed, across numerous classifications, as baseless and not representative of actual job expectations. While the Department seems caught between appeasing union and staff expectations as well as staffing needs, it should be recognized for both its willingness and efforts to change promotions processes. Moreover, the complexity of the Department – encompassing approximately 205 distinct classifications, with promotions processes distinct to many per memoranda of understanding (MOU)

requirements – should be acknowledged. However, despite these well-intentioned changes, the general consensus among staff – across many classifications – is that the promotions process should be a multi-dimensional mix of interviews, testing, and seniority rather than exclusively dependent upon one singular dimension.

One of the most frequently cited areas of concern among staff across all levels of the Department is testing for purposes of promotion. Staff acknowledge that testing was part of an earnest effort within the Department to make processes more objective and transparent, but many also believe testing is problematic for a number of reasons. The first concern is that the content of the tests does not accurately assess the knowledge, skills or ability required of the positions. In other words, tests do not align with job requirements. Some cited the tests as too "policy-oriented" or "analytical." Staff contend that this makes the test biased in a way that favors those with stronger analytical skills, over staff with on-the-job experience in the field. For example, a frequent concern cited was that veteran staff were outperformed by newer, younger staff with stronger test-taking skills, but without knowledge of operations. In conjunction with each other, these two issues contribute to a process that "promotes the wrong people" or people without knowledge of the unit to which they are promoted. Many noted that the Department promotes people that are analytical, but they do not necessarily have the supervisory skills to manage a large workforce. There is a strong belief within the Department that staff should start at the bottom and work their way up. And there is a significant concern that staff who are promoted do not have adequate knowledge of the unit to which they are promoted. It should be noted that per recent feedback from Department leadership, a workgroup was initiated in January of 2016, under the Strategic Planning process, to review, address concerns cited above, and update testing processes.

After staff complete an exam they are allocated to different "bands" based on their score. Highest scoring staff are allocated to Band 1, while lower scoring staff are allocated to lower level bands, from a range of five possible bands. This band system is the foundation of the promotions process, as promotions are allocated in a hierarchical system in which those individuals that place in Band 1 are the pool from which promotions are drawn. Only when the pool of staff becomes exhausted within Band 1 can staff be hired from Band 2. It should be noted, in the Department's defense, that the County has inherently complicated processes and in particular, the practice of examinations and bands is driven by County Civil Service Rules.

While all promotions are derived from this structure as a way to ensure fairness in the promotions process, staff expressed strong concerns. Many staff, at varying levels throughout the Department, describe the seniority and nepotism that still exists within promotions and the decreased morale of staff who are allocated to lower-level bands within the promotions structure. Hiring and promotions standards have somewhat changed from seniority to merit-based, which one individual describes as a "paradigm shift." Yet, the issue of seniority continues to be somewhat problematic particularly in light of the Department's relationship with unions, who value promotions based upon seniority. According to many Department interviews, transfers or promotions for some sworn staff, such as Supervising DPOs, are still based on seniority, a policy which is dictated by union MOUs. According to the Supervising DPO MOU, seniority is defined as "active service in the employee classification" or "previously held higher

level classification." Moreover, the MOU clearly states that: "In considering requests for reassignments, Management shall select one of the three most senior applicants provided that the last performance evaluation of records is competent or better." Therefore, within the Department's band system, staff within Band 1, according to their ranking, must be offered the position based on seniority. One staff described this process and its consequences:

> *"If there are 20 people in Band 1, but I know the person who is #6 or #10 has the skillset I need, I have to hope that persons #1-5 will turn down. We hurt ourselves because we are not putting people where the skills are needed and it is more based on seniority. It is a very antiquated way of doing business for sworn staff."*

It should be noted that no such language exists in the MOU for Probation Directors, which only states that voluntary transfers are initiated through a written request through "their chain of command." It therefore appears that transfers or promotions for lower-level staff are more clearly delineated based on seniority, whereas higher-level staff are not held to the same restrictions.

In an effort to rid itself of nepotism in promotions and hiring processes, the Department has put many safeguards in place, including testing and the band structure. However, many staff still describe a culture of nepotism. Phrases such as, "it's not what you know, but who you know," "sponsorship," "favoritism," or "hire who they like or know" were frequent throughout interviews with staff at all levels. One staff describes the Department's shift: "[Nepotism] hasn't gone away, it's just not as blatant." In fact, some even alluded to the testing process itself as nepotistic, favoring certain populations of staff.

Training

Department employees at all levels could not overstate the importance that training plays in developing the skills they need to do their job effectively. This is especially true considering the current Departmental shifts in service delivery and understanding of the populations that are being served. All supervisors, managers, and sworn field staff are required to participate in 40 hours of training. The GSN, DSO, Senior DSO series, DPO I, DPO II series in camps are required to participate in 24 hours of annual training. However, new hires and many current staff typically end up attending many more hours of training each year. For example, new hires in entry level, managerial, and supervising positions each attend their respective core trainings after being hired – although some DPOs interviewed noted delays as long as 6 months to one year after promotion – while current staff are usually able to choose which trainings they would prefer to attend. Though there are a variety of trainings offered (documentation provided to the evaluation team indicate over 125 trainings and the Department itself noted over 500 classes), staff often reported feeling inadequately prepared to effectively perform their job. Training within the Department was an area of concern for leadership and line staff alike, yet many remain hopeful about potential improvement.

All Department hires are required to complete the core training program for their specified position at the Department's new-hire academy, which officers often describe as "military-esque." According to

internal documents provided by the Department, over the past five years, 81% of new juvenile correctional officers completed their 264 hours of juvenile corrections officer core training (JCOC). Over the same time period, 99% of new field probation officers (juvenile and adult) completed their 240 hours of field probation officer core training (FPOC). Finally, in the last five years, 100% of new managers and supervisors completed their 80 and 88 hours of training, respectively, which focused more on managerial, leadership, and administrative skills. The breakdown of these trainings by category is shown below in Figure 24 according to the amount of hours dedicated to specific training modules' subject matter. Within JCOC training, "Foundations" refers to a range of basic training modules including Ethics, Standard First Aid/CPR, and Gangs and Gang Subcultures; "Physical," refers to the extensive physical training in which new JCOC Officers are required to participate; "Case Management," includes trainings on assessment tools, the intake of new youth, and communication with Parents; "Social Services" refers to trainings that are geared towards serving the general mental and social health needs of the facility population like Substance Abuse and Communication with Suicidal Juveniles; "Custodial Services," includes trainings like Principal Use of Force, Defensive Tactics, and Handcuffing; "Court Practices" refers to trainings on court report writing; and "Data Systems" includes a training on the Prison Rape Elimination Act of 2003.

Figure 24. Consistent with state standards, basic training represents the largest percentage of hours in juvenile corrections officer core training.
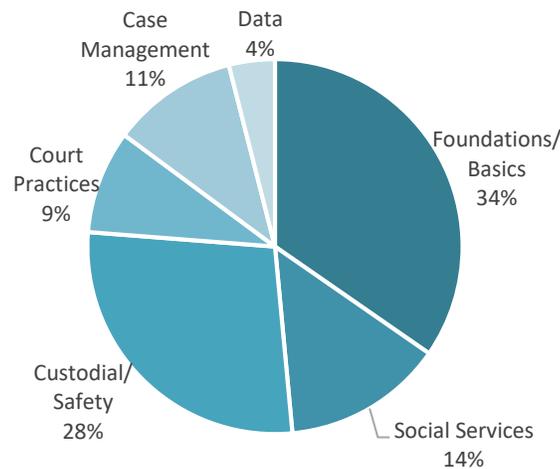
The FPOC training breakdown in Figure 25 below is similar. Again, "Foundations" refers to trainings on the Roles and Responsibilities of a Probation Officer, and Adult and Juvenile Justice Systems; "Physical" refers to the physical conditioning training required; "Case Management" includes trainings on Monitoring for Substance Abuse, Sex Offender Legal Mandates, LARRC, and Investigation Interviewing; "Social Services" includes training on Family Violence and Psychological Problems; "Custodial Services" training includes Evasive and Blocking Techniques, Handcuffing, and Searching the Person; and finally, "Court Practices" again focuses on court report writing techniques in addition to court presentations. It is notable that the FPOC training does not include any modules specifically dedicated to data systems, despite the fact that field officers do use several data systems in their work.

Figure 25. Data and Assessment Tools and Foundations/Basics represent the largest percentage of hours in field probation officer core training.
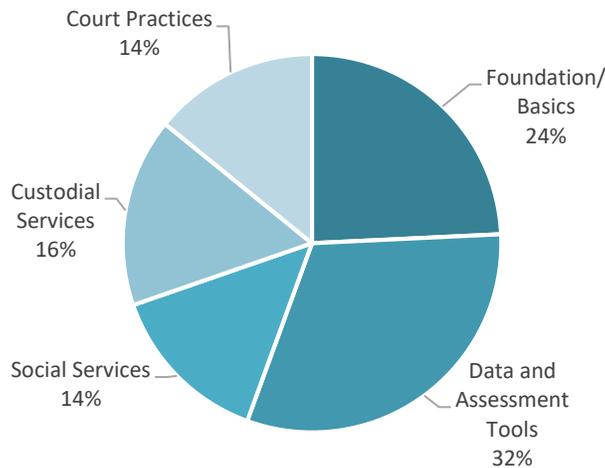

Core training for each of these positions is quite general and covers a large breadth of information, without much depth. Perhaps in an effort to address this, there are over 125 trainings currently offered by the Department for new and current staff (complete list provided in Appendix B).

Again, below in Figure 26 is a breakdown of these trainings categorized by general subject matter. Because the number of hours of each of these non-Core trainings is unavailable, the breakdown is according to a simple tally of each training. Similar parameters were used to categorize "Data Systems," "Custodial Services," "Social Services," and "Case Management." Non-core training also includes modules on "Professional Development," like How to be a Successful Trainer and Manager's Leadership Academy. The "Other" category includes trainings on Social Media Investigations and Global Positioning Systems.

Figure 26. Custodial and logistic services represent the highest percentage of non-core training hours for field and facilities staff.
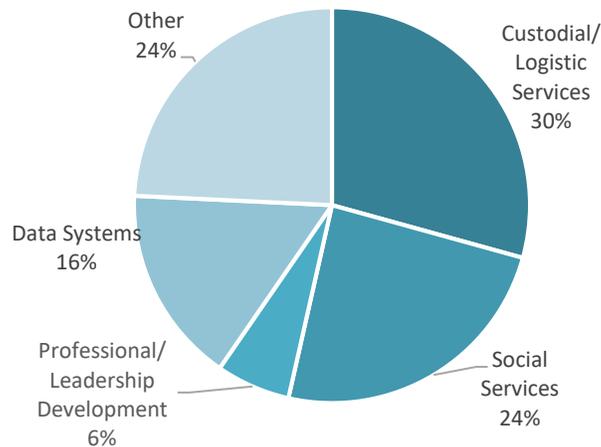
These trainings are often taught by outside contractors or subject matter experts and range from safety, de-escalation, and use of force to mental health, ethnic, LGBTQ, and cultural considerations, and vicarious trauma-informed care. Staff are required to take a certain number of hours of these trainings, but are theoretically able to select which trainings they would like to attend. However, many staff have not completed these trainings, for reasons that are unclear. This speaks to the challenges often voiced by managers and supervisors, who must maintain their operations while staff are away at mandatory trainings. For this reason, line staff in facilities – where staffing is strained yet training is necessary – often receive fewer opportunities to attend trainings, simply because current staffing conditions do not always make their attendance possible.

Training Needs

As is apparent in the above charts, numerous trainings are offered to staff, but there are several notable gaps in the Department's programming. Many of these training gaps are not due to lack of offering, but rather the result of insufficient quality (in terms of curriculum or instruction) or time constraints. Among staff at all levels and within different units, administrative and data system training is cited as a great need. Though all field staff receive training on Level of Service Case Management Inventory (LS/CMI) and LARRC, most feel such instruction is not afforded enough time. Additionally, many staff report receiving this training after having already started their jobs and therefore may have been forced to "unofficially" learn how to use the systems from their colleagues. Similarly, many line staff voice concerns over the minimal amount of court report writing training they received. Mental health training, child development, and dual diagnosis trainings are also all cited as critical and urgent needs by numerous staff and CBO leadership alike. Again, these are subjects on which the Department offers (and even requires) training, but staff do not feel that current trainings in these areas are adequately or appropriately setting them up for success in their positions. For example, a training led by the Department of Mental Health (DMH), called "Mental Health 101," is two hours long and was offered

four times in the 2016-2017 fiscal year. This is compared to Probation's "Active Shooter" training, which is offered multiple times every month in the same period, and is eight hours long. Based on our interviews with officers, the ability to use mental health training would be extremely beneficial in carrying out their jobs on a daily basis. This sentiment is echoed by other stakeholders, including intersecting agencies, advocates, and CBO leadership. Moreover, CBO leadership, advocates and consumers themselves noted the need for Department training concerning the reentry process.

In addition to these specific subject area needs, larger gaps exist as well. For example, the Department does not offer any training on Positive Youth Development for field PO's working with youth. Additionally, apart from those offered for AB 109 staff, there is currently no transfer training program in place for Department staff that either laterally transfer positions (e.g., to a new area office or facility) or transfers via promotion, except for the aforementioned required Core training for staff promoted from institutions to the field. Such trainings previously existed within the Department. This often results in one of two scenarios. The more common scenario is that an employee is ill-equipped to carry out duties in their new position, to the detriment of their colleagues and the population they serve. The second, rarer scenario occurs when the supervisor of the unit develops their own training program in which the new staff are able to shadow experienced employees, ease their way into working with new caseloads and clients, receive feedback from trainers, and generally have a guided transition into their new position over the course of several weeks. Though well-intentioned, this may result in staff with full caseloads having to take time out of their day to train new staff, often without compensation or adequate training to do so. Thus, without transfer trainings in place, many staff who take on new positions usually learn "on the job" which is at best inefficient, and at worst dangerous for staff and clients.

Finally, many staff described the importance of "refresher" trainings on certain perishable skills. Some staff feel they receive rudimentary training only once on a subject and want to be able to take a follow-up training later that year or sometime thereafter. However, current staff do not consistently have the ability to choose which trainings they attend in a given cycle. In an effort to maintain appropriate staffing schedules and avoid the effects of temporary vacancies, supervisors are responsible for organizing and arranging training for their staff. As a result, line staff do not always feel they have agency over their professional development.

It is important to highlight that many of these aforementioned training gaps were not as prevalent in specialized units including SB 678, AB 109, Adult Investigative Services Bureau, and Placement Services Bureau. AB109 staff, for example, consistently voiced appreciation for the breadth and depth of their training programs. In order to serve the needs of this specialized caseload, officers attend trainings on homelessness and reentry, substance abuse and recognition, conflict management, and evidence-based practices in addition to the field probation officer core academy. This focus on rehabilitation and reentry is reflective in some officers' relationships with their clients. When talking with AB 109 clients, many spoke highly of their relationship with their PO, as well as their officers' commitment to their personal reentry process, which will be discussed in detail within the following chapter (Client Service Delivery).

Training Quality

As mentioned previously, despite certain training needs, many staff and stakeholders feel the Department's training program has improved and report feeling hopeful about continued progress. They cited greater diversity in types of trainings available and increased collaboration between other county Departments as reasons for this improvement. Staff enumerated several key factors that they use to determine a training's level of quality: participants, facilitators, and curriculum.

Recently, partly as a result of the DOJ intervention, the Department has increased its collaboration with intersecting agencies (Los Angeles County Office of Education [LACOE], DMH, the Los Angeles County Department of Children and Family Services [DCFS], and the Sheriff's Department) in order to properly coordinate service delivery. This collaboration has perhaps most notably included joint-training, in which LACOE, DMH, and Probation staff all participate in certain relevant trainings together, which, according to staff from each of these agencies, dramatically improves the quality of the training. Joint-trainings are an effective way to bring different perspectives to the table, allowing for diversity of learning not possible through intra-agency trainings.

The quality of a training is also largely dependent on the facilitator. Staff often reported experts from within the county are the best facilitators and that they generally resist trainers from outside of this jurisdiction. Because the Department is unique in its size and impact, there is a sense – among line staff especially – that "outsiders" do not understand and are inherently inferior to someone from within the Department or the county.

Staff discussed training curriculum in terms of relevance to their job tasks. According to staff, the recruit academy and core trainings are largely policy-oriented, and they often feel that because they are starting these trainings without any Probation experience, they do not possess the context necessary to understand or grasp the large number of policies that is expected of them. Therefore, the timing of this training makes it difficult for officers to understand its relevance to their new position. On the other hand, the new addition of the post-academy, month-long residential training program at Los Padrinos Juvenile Hall is almost universally cited as a necessary and strong addition to the New Hire Training Program.

Professional and Leadership Development

Professional development is an area of potential growth cited by many within the Department. Particularly among interviews with leadership within the Department, staff describe a desire to engage in mentoring, professional development and the importance of these areas in succession planning within the Department. Perhaps unintentionally, these aspects of the job become secondary given the demanding nature of many positions. There is a feeling that staff have only so many hours in the day to "get the job done" that there is little time allocated for professional development. Yet, this also appears to be an area where concrete improvements are in effect. The development of the executive leadership academy, a supervisor's school within CPOC, and a willingness to develop a professional development curriculum are all cited as beneficial. At every promotional level there is a core training program, which

is cited as key for professional development and true succession planning. One management level staff even ventured to say that the Department is experiencing a culture shift when it comes to professional development stating, "we are pushing into a different culture...and the Department is heading in the right direction."

Chapter 3: Client Service Delivery

The Department serves juvenile clients in both facilities and the community and adults in the community. Consequently, the Department must be able to provide a broad range of services, engage other county agencies, and contract with CBOs to effectively meet the service needs of their clients. Below, we provide key findings before discussing the Department's approach to service delivery, supervision, and collaboration with outside agencies.

Key Findings

1. The Department utilizes a number of risk screen and assessment tools, but most of these tools are not validated and the Department does not provide ongoing training or quality assurance to support tool implementation.
2. There are few quality assurance mechanisms in place to ensure that services provided by the Department and its contractors are implemented consistently and effectively.
3. Though the Department is shifting to a more rehabilitative-focused approach, there is still a lack of support structure in terms of identifying resources or services.
4. Despite the broad range of available services, there remain notable gaps, particularly for transition-aged youth (TAY), clients with mental health needs, and facility to community transition treatment plans.
5. Communication between the Department and intersecting agencies is generally positive and the relationship between the Department and CBOs is improving.

Approach to Service Delivery

Structured Decision Making & Assessment Tools

Structured decision making is a data-driven, research-based approach to inform how individuals move through the justice system and what services — including supervision intensity, sanctions, and rewards — they receive. It is intended to create a more effective, consistent, and fair system. Decision making tools and policies must be formalized and communicated, with accountability mechanisms in place, in order to fully implement this approach. The Department uses a number of tools to assess clients' background, experiences, and needs to inform decision making. These include juvenile and adult risk assessments administered by staff, as displayed in Table 9.[12]

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[12] Additional screenings and assessments are administered by the Department's partners that assess specific needs, such as mental health needs.

Table 9. The Department uses several different risk screens and assessments.

Population	Tool	Administration	Domains	Intended Impact
Juvenile	Los Angeles Detention Screener (LADS)	Administered by Intake and Detention Control officers to every youth entering the juvenile halls	Drug and alcohol, gang involvement, criminal history, individual	Inform if youth is detained or released from juvenile hall
	Los Angeles Risk and Resiliency Checkup (LARRC)	Administered by probation officers to every youth under probation supervision periodically and after major events	Risk and protective factors across delinquency, education, family, peer, substance abuse	Inform case plan
Adult	Modified Wisconsin (DRAD)	Administered by probation officers to all adults under probation supervision[13]	Criminal history, gang involvement, alcohol and drug abuse	Inform caseload type
	Level of Service Case Management Inventory (LS/CMI)	Administered by probation officer to all adult clients that score medium or high on the Modified Wisconsin & the AB 109 population	Criminal history, education/employment, family, leisure, companions, alcohol/drug, procriminal attitude, antisocial pattern	Inform case plan

Of these assessments, the LS/CMI is the only tool that has been validated in its current form. The other tools have not been assessed to ensure that they accurately assess risk levels.

Probation staff who administer the LARRC and LS/CMI shared concerns about the accuracy and consistency of these tools. One officer who administers the LS/CMI expressed skepticism that clients' risk scores appropriately measure risk because, in his estimation, the officer has to "come up with opinions" about their responses. This perception indicates a lack of training about how to properly administer the tool, an issue that was raised by other Department staff. One line staff reported administering the LARC for six months before attending the FPOC training to receive training on how to do so.

Staff across the Department noted the need for continuous training about assessment tools to increase quality assurance. The Department does not measure inter-rater reliability to ensure that officers administer the tool consistently. Risk assessment scores provided by the Department also indicate variability. The RDA team compared youths' 2016 scores on the Department's detention screening tool, the Los Angeles Detention Screener (LADS), and on the case management tool, the LARRC, and found that while these scores are highly correlated ($p<0.01$), 35% of the youth who had low LADS scores (defined as scores between -2 to 3) are scored as high risk in the LARRC Table 10. The Department is in the process of obtaining a new juvenile assessment tool and are considering a new tool for adults. They

[13] The AB 109 population does not get the Modified Wisconsin, but does get the LS/CMI

have been working with RDA to develop a dispositional matrix to establish structured decision making for youth.

Table 10. While LARRC and LADS scores are highly correlated, 35% of the youth high risk scores in the LARRC were scored as low on the LADS.

|	LARRC Risk Category		
	Low	Moderate	High
	n (%)	n (%)	n (%)
LADS Score Category			
Low (-2 to 3)	556(74%)	453(52%)	285(35%)
Medium (4 to 9)	189(25%)	395(45%)	465(56%)
High (10 to 12)	3(1%)	22(3%)	74(9%)
Total	**748 (100.0)**	**870 (100.0)**	**824 (100.0)**

Adult Assessment Data[14]

As described above, the Department administers two types of risk assessments to adult clients: the Modified Wisconsin and the LS/CMI. The Modified Wisconsin is used as a screener for all adults under supervision, except AB 109 clients. All individuals that score medium or high on the Modified Wisconsin, in addition to all AB 109 clients, should receive the LS/CMI. As shown in Figure 27, the use of the Modified Wisconsin assessment alone has decreased substantially since 2012. In contrast, the use of the LS/CMI alone and the use of both instruments in coordination has increased. The increased use of the LS/CMI alone and decreased use of the Modified Wisconsin assessment may be attributable to a growth in the AB 109 population.

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[14] Limited data on assessed risk scores for youth under field supervision precludes a similar analysis of youth risk level patterns. Risk data for youth in Probation camps is included in the following chapter.

Figure 27. The number of cases receiving only the Wisconsin assessment has decreased since 2012, while the number receiving the LS/CMI or both assessments has generally increased.
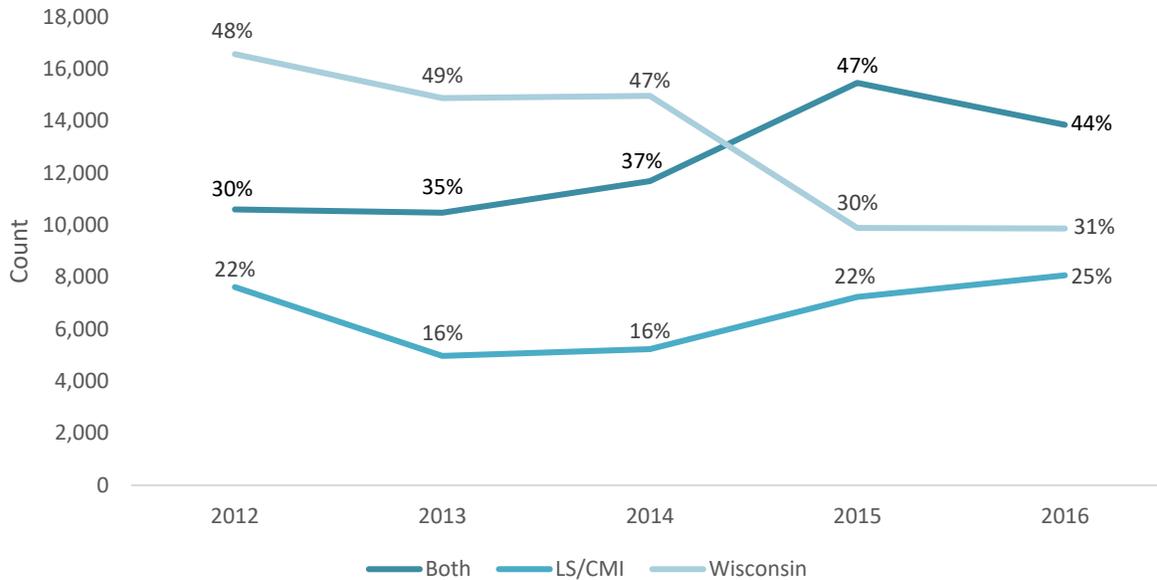

A total of 28,437 cases, or slightly fewer than half of the adults on Probation supervision, received one or more assessments in 2016. In 2016, 134 cases received scores on the Modified Wisconsin of medium or high, but did not receive the LS/CMI assessment. In contrast, 1,310 cases received a score of low on the Modified Wisconsin and were subsequently assessed with the LS/CMI.

As demonstrated in Figure 28, though there have been decreases in the number of cases that receive the Modified Wisconsin assessment, the risk breakdowns have not changed. This stands in contrast with the LS/CMI. The number of cases that receive the LS/CMI is increasing and Figure 29 shows that both the number and percentage of cases identified as high or very high risk by the LS/CMI has increased since 2012.

Figure 28. The number of cases receiving the Modified Wisconsin has decreased since 2012, but the risk breakdowns have remained constant each year.
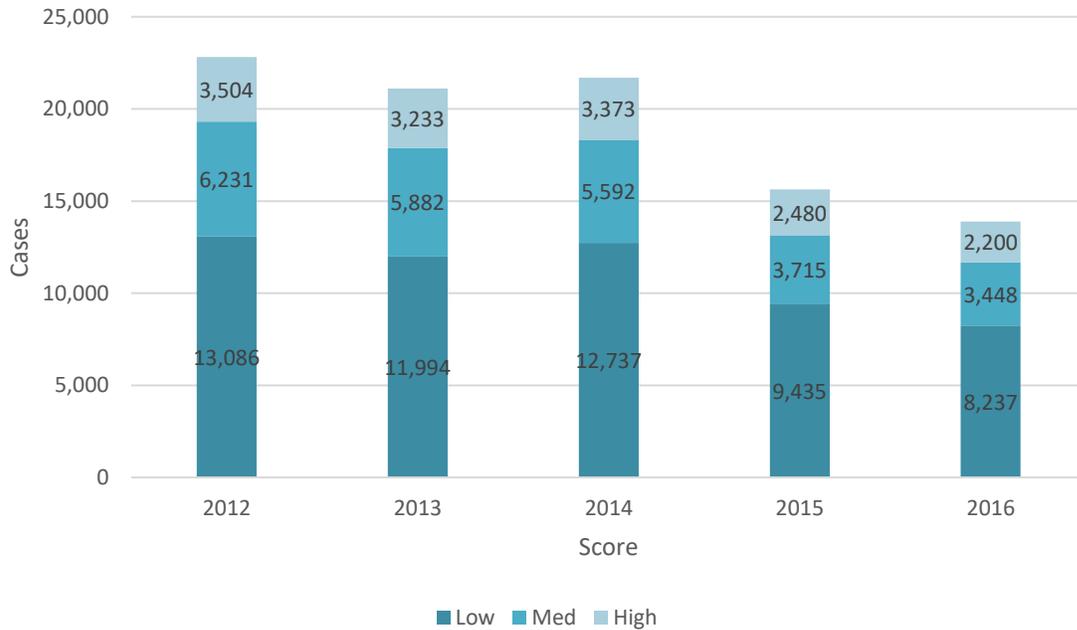
Figure 29. The number and percentage of cases identified as high or very high risk by the LS/CMI has increased since 2012.
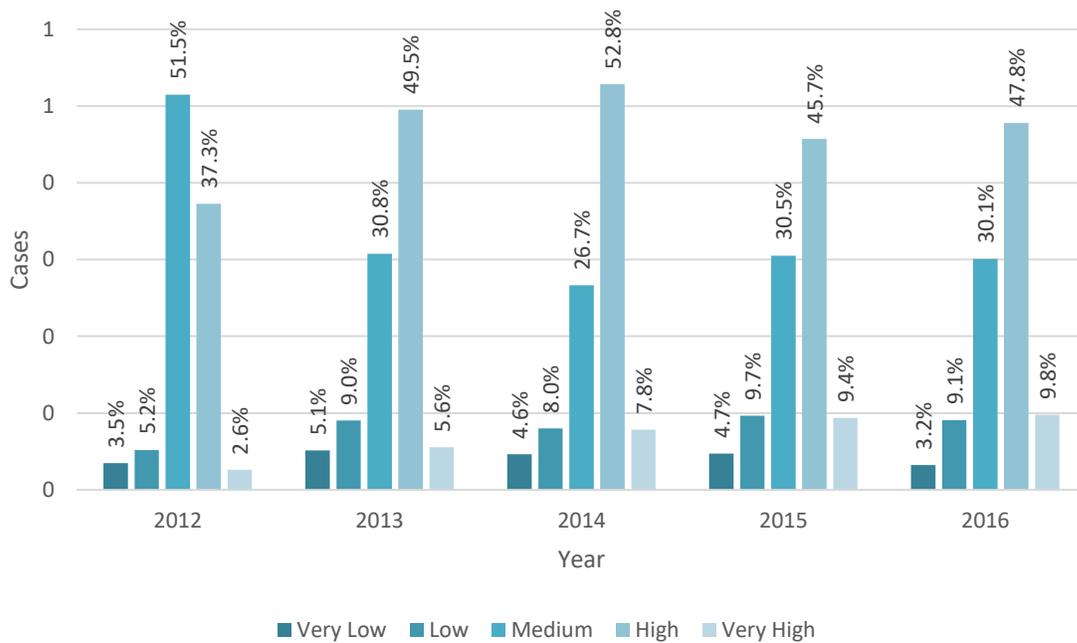

Figure 30 illustrates the number of cases per year receiving a score of high on the Modified Wisconsin assessment.

Figure 30. The number of cases identified as high risk by the Modified Wisconsin assessment declined between 2012 and 2016.
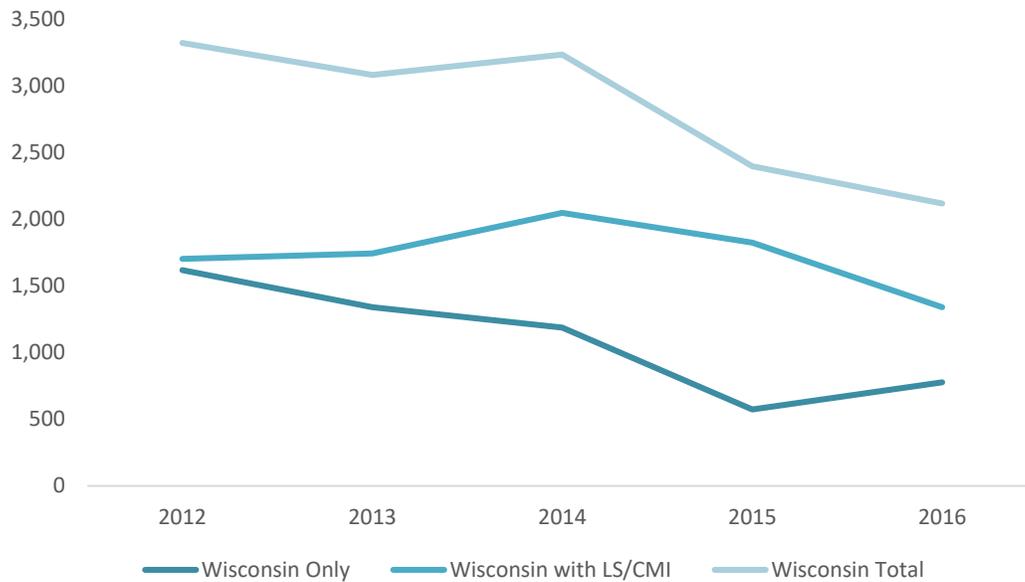

However, as shown in Figure 31, the number of cases receiving a score of high or very high on the LS/CMI assessment has increased substantially since 2012, a pattern that is further illustrated in Figure 32. However, among cases receiving both assessments, those receiving a high or very high score on the LS/CMI is increasing substantially while those receiving a high score on the Modified Wisconsin is decreasing slightly. This finding is contrary to the intended function of the Modified Wisconsin as a screener for the use of the LS/CMI.

Figure 31. The number of cases scoring high risk or very high risk on the LS/CMI has increased substantially since 2012.
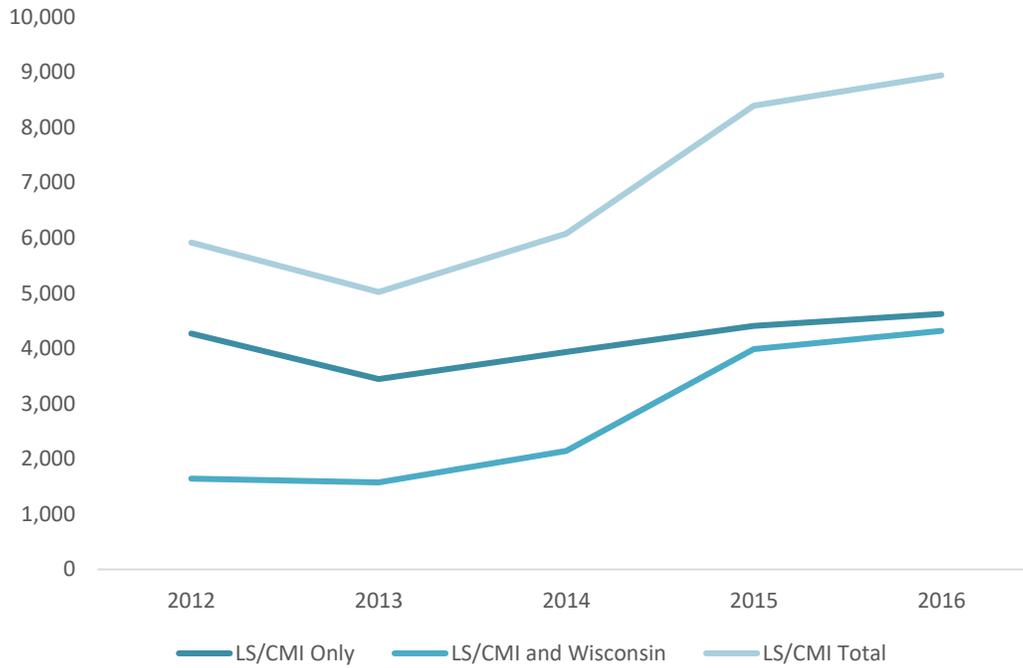
Figure 32. Among cases receiving both assessments, the number of individuals scoring high or very high on the LS/CMI is increasing, while those scoring high on the Modified Wisconsin is decreasing.
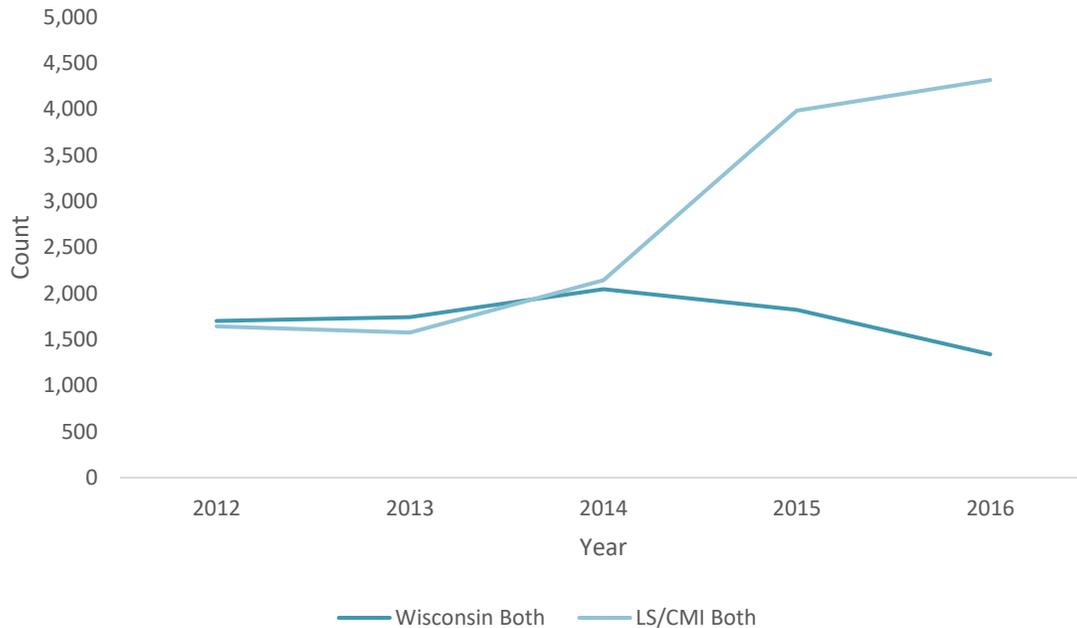
Case Planning & Management

Case plans are developed differently throughout the Department. One Probation manager reported that while some juvenile operations, such as Placements, Camp Community Transition Program (CCTP), and School-Based Probation, have been using case plans for a long time, a "legitimate" case plan for regular juvenile supervision was only implemented in 2016. These case plans are in different formats, creating challenges when youth move within the system. One Probation manager shared:

"Here's the issue, we don't have a standardized way of developing case plans. We do it differently in fields, camps, and placements. We need a standardized way to develop a case plan. Then it's easier. If kid goes from field to placement, we can build on what the field has already done without restarting and reassessing."

In early 2017, the Department began to integrate case plans in the juvenile case management system, PCMS. PCMS now populates LARRC scores into youths' case plans, with the intent that LARRC scores will inform case plan goals and services. Numerous staff noted the rushed nature of the transition; one line staff described how a group of officers in his unit worked together to figure out the new PCMS screen since they did not receive any training prior to its implementation.

Though LARRC risk scores are intended to inform youth's case plans, the staff we spoke with did not know to interpret or use the risk scores. When RDA requested the cutoff scores for low, medium, and high risk, it took several weeks for Department management to locate a staff person who could confirm what scores are associated with what risk levels and we received several different answers from different staff across the organizational hierarchy. On several occasions, we were given incorrect scoring cutoffs, which were easily invalidated by looking at the data. One line staff that administers the LARRC shared that staff do not know how to use the LARRC scores:

"A lot of things are just given to us without quality training, so how can we provide quality work? And that's probably why the LARRC is not being used the way it should be – people view it as just another thing to get done. [Managers] won't answer how to explain this to our client or use the scores to inform or analyze the risk of the minor. We don't use them at all."

Quality Assurance

As discussed in the Organizational Assessment chapter, the Department does not currently possess the infrastructure or culture to support systematic data collection and analysis of program outcomes. The Department does not calculate recidivism rates for its client population, nor collect data on more intermediary outcomes related to program and supervision goals (e.g., education, family relationships, pro-social behavior, violations of probation).

Across the Department, there is no formalized approach or tools that supervisor and management use to monitor staff interactions and engagement with clients. However, though not standardized across the Department, the SB 678 Alternative Treatment Caseload (ATC) does take a formalized approach to

quality assurance. Its quality assurance team records and monitors DPO interactions with clients to ensure DPOs are meeting motivational interviewing standards and uses a strengths-based approach to coach DPOs.

Though a number of CBO contracts require providers to submit a final report that includes a summary of goals, objectives, and quantifiable accomplishments, it is unclear if providers are held accountable to this condition and, if so, how this information is used. RDA reached out to numerous individuals within the Department to acquire the final year-end reports and neither the Quality Assurance Bureau nor Contracts Division have seen these reports. The Quality Assurance Bureau conducts audits to ensure providers are accurately reporting the number of youth participating and completing in programs, but they do not monitor program quality or outcomes. One manager recounted how the Quality Assurance Bureau initially evaluated programs and services to ensure they were aligned with evidence-based practices, but the Bureau lost that focus when it began ensuring compliance with DOJ conditions.

Services and Supervision

Based on RDA's analysis of PCMS and APS data, the Department is responsible for providing services for 1,066 juvenile clients in facilities (574 in halls and 492 in camps and the residential placement facility) as well as 9,135 youth and 61,843 adult in the field.[15] In addition to services provided directly by the Department, Probation officers also work in collaboration with CBOs and refer clients to community-based services. In 2016, the Department held 114 contracts with 71 CBOs and also maintained a number of MOUs with other county agencies. The large majority of contracts are for youth through JJCPA, the County Delinquency Prevention Program, and the County-Wide Juvenile Crime and Anti-Gang Strategies Program. There are also a number of specialty courts for youth and adults including drug court, special needs court, teen court, community collaborative courts, and Office of Diversion & Reentry (ODR) mental health housing court. The sections below provide an overview of the range of services provided by the Department, but should not be viewed as an exhaustive list of all of the Department's services.

Field Services

Supervision for adults within the Department ranges in intensity from low risk/administrative caseloads to high risk/intensive supervision. Individuals with low Modified Wisconsin risk scores are placed on administrative caseloads and report to the Department by kiosk. Probation clients found to be high risk through the Modified Wisconsin then receive the LS/CMI. Those with high LS/CMI risk scores may be eligible for the ATC program through SB 678. The two high-risk caseloads, ATC and AB 109, utilize a number of evidence-based programs and practices. For example, ATC uses cognitive behavioral interventions, Courage to Change (interactive journaling), and motivational interviewing. Breaking Barriers, a community-based rapid rehousing program, serves the AB 109 and SB 678 population, and AB 109 has additional evidence-based programs such as Healing Trauma, a female gender-specific 6-session group adapted from "Beyond Trauma: A Healing Journey for Women;" Back on Track Los Angeles, which

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[15] The population numbers are snapshots on January 1, 2017 and do not include WIC 236 at-risk youth. The numbers may differ from Probation population counts due to missing data in APS and PCMS.

provides in-custody reentry services; the Skid Row Pilot Program, which provides enhanced supervision and service provision near Skid Row; and motivational interviewing. AB 109 clients, which comprise approximately 17% of the adult field population,[16] have access to a number of services, including mental health, substance abuse, housing, and employment.

There are a number of evidence-based programs for youth including Functional Family Therapy, Functional Family Probation, Wraparound Services, and Multi-Systemic Therapy. Specialized youth caseloads include the Gang Intensive Gang Unit Supervision Program and School-based Probation. Through School-based Probation, the Department provides services to a number of at-risk youth, called Welfare and Institutions Code (WIC) section 236. This is a substantial population, in March 2016 the Department reported serving 2,864 WIC § 236 youth and an additional 7,751 on active supervision and 2,723 on active investigation. Other programs and services include juvenile day reporting centers and, to assist with camp reentry, CCTP. CCTP meets with youth prior to release and supervises youth during the transition period post-release.

For youth, referrals to community-based services and CBOs are made through the Prospective Authorization Utilization Review (PAUR) system, which is composed exclusively of agencies with Department contracts or MOUs. A list of the contracted referral agencies is available on the Probnet portal. A referral is initiated by Department staff and reviewed by a program analyst, who then sends out the referral to the designated agency if the referral is found to be appropriate. Once the referral is accepted by an agency, PAUR staff notify the DPO about the acceptance. PAUR focuses only on referrals and the unit does not conduct any follow-up with the youth or monitor youth participation.

Probation staff and CBOs identified two key concerns about the PAUR process. First, DPOs shared frustration about the amount of time it can take for the PAUR referral process, which can take as long as a month. Second, the PAUR process only provides referrals to Probation-contracted providers. This limits its scope, since there are other CBOs with the capacity to serve Probation clients that do not have contracts with Probation. Without a systematic way to identify these additional community resources, Department staff become responsible for identifying a program, assessing its quality, and initiating the referral. Department staff described other informal referral processes that are utilized but not systemized. For example, CBOs deliver presentations at offices or conduct outreach at juvenile facilities or Department staff seek out agencies on their own. This results in an official referral list through PAUR, and then an informal set of resources used by probation officers.

Some Department staff praised the use of a DMH referral system, which in comparison to the PAUR system, was described as having the ability to "connect faster." Others also mentioned the use of the Homeless Outreach Program Integrated Care System (HOPICS) for referrals and the Mobile Team within the Department to identify potential service resources. The patchwork system of utilizing the PAUR system, informal referrals from within the Department, and shared mechanisms from intersecting or outside agencies results in inconsistent service delivery that does not serve client needs and represents an increasing challenge to effective monitoring.

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[16] Data from March 2016 field services population report.

Los Angeles County Executive's Office
LA Probation Governance Study

Facilities

The Department operates three juvenile halls, 12 camps, and one residential placement center. In these facilities, staff from DMH are full-time employees and provide mental health services as part of a youth's case plan. LACOE staff are also full-time employees within the facilities and provide services to youth, who are required to attend school daily. There are a number of specialized unit in the halls, such as the developmental disability unit, CARE unit (for fragile youth), and commercial sexual exploitation of children (CSEC) unit. Camps have different target populations and may have specialized programs, such as the sports program and fire program.

In camps and the residential placement facility, DMH, LACOE, Department line staff, and management regularly meet with each other to discuss treatment plans for youth clients in Multidisciplinary Team (MDT) meetings, which occur when youth first enter camps, as needed when they are in camps, and before youth leave the camps. Additionally, camps and halls are often frequented by a host of different CBOs and partners that provide positive youth development programming. Such programming is generally voluntary and its availability varies across halls and camps.

At halls and camps, mental health, education, family engagement, employment preparedness (through resume workshop and vocational training), and transition services are provided, though inconsistently, across facilities. This can cause problems in continuity of care for youth or staff when either is transferred to a different facility. Additionally, when these services are provided it is often at a very basic level. For example, substance abuse treatment in facilities lasts only 10 weeks, despite the fact that the minimum sentence for youth in camps is approximately five months. During our interviews, both Department and DMH staff agreed that 10 weeks was an inadequate period to truly address addiction. Similarly, many youth clients and CBO partners emphasized the rudimentary nature of the educational programming provided by LACOE within facilities. While youth appreciated the credit recovery system and noted how it helped them graduate, they admitted that classes often consist of worksheets and online courses, none of which are especially rigorous or challenging. Moreover, if a youth graduates from high school while still in camp, they may have access to college courses (e.g., through a Mission College or other community college partnership), but this is not universal across facilities. For camps and halls that did not have the college course option, youth were essentially relegated to reading or watching movies under an officer's supervision. These examples were illustrative of the adequacy of in-custody service delivery that was continually called into question by interviewees from each of the different stakeholder groups.

Moreover, all stakeholder groups agreed that the provision of these services within facilities had little lasting impact if the youth's transition and return to their community was not also supported through the continuation of services in the community. Many Department line staff working in facilities blamed perceived high recidivism rates on the lack of accessible community-based services. There do not appear to be data from the Department to either corroborate or refute rates of recidivism among youth. Nevertheless, accounts by line staff speak to the need to strengthen and standardize the Department's CCTP in order to provide optimal continuity of care for young clients on their path to rehabilitation.

Needs

Among the different stakeholder groups, including employees from the Department, intersecting agencies, CBOs, and clients themselves, the most frequently cited needs across client populations were mental health services and substance abuse treatment. Within the Department, staff often discuss the changes in the client populations that they serve, saying that many of the youth they work with are "drug babies" and have more mental health needs. Conversely, some within the Department believe that these issues have been present in their clients for decades, but staff are now better able to recognize these needs. In either case, the emphasis on the provision of mental health services and treatment of substance abuse is both indicative of the groups of people who are incarcerated and emblematic of the Department's cultural shift. Mental health and substance abuse services are available and regularly administered to clients, but clients and staff still continually cite these as unmet needs, indicating that while the service is present, it is not of high enough quality or consistency to effectively treat clients.

In addition to health-focused needs, many clients frequently expressed a need for better employment services. The Probation Department recently begun partnering with the Office of Diversion and Reentry to contract for employment services using SB 678 funds but these services and the larger development of the ODR system of care are still a work in progress. DPOs, clients, and providers still report a need for sheltered employment or subsidized wage employment program for adults on probation to provide immediate employment/income to clients. Youth in some camps had the ability to take culinary arts, health practitioner, or construction classes and obtain certificates. Youth appreciated these courses and they were often cited as one of the most useful tools clients were able to utilize upon their release. However, staffing constraints limit these courses to only a handful of facilities. Many TAY want greater access to these and other opportunities to gain certificates that would improve employment opportunities. Many adult clients also face obstacles in obtaining employment upon their release. They expressed frustration at their probation officers' lack of support in supplying accurate lists of employers that hire individuals with records and navigating application processes (e.g., accessing transportation to interviews).

Adult clients are also in need of certain services, often distinct from those of juvenile clients. One of the most consistently cited unmet needs was surprisingly basic: clients often wanted greater access to bus tokens or general assistance with transportation to and from check-ins with their officers, job interviews, and treatment services. According to the Department, clients receive bus token based on demonstrated need. However, numerous clients described requiring greater access to public transportation than what is currently provided by the Department. One DPO shared that he does not mention bus tokens to his clients and will only provide them if asked. In his estimation, providing free resources, such as bus tokens, will sap clients' motivation to get jobs.

Services for homeless clients were also often cited as inappropriate. The Department contracts the majority of its housing services through a state-wide organization, HealthRIGHT 360, which was cited as the only organization that can handle the immense volume of housing services that Department clients need. As with a number of other services for adult probation clients, the Department is currently

working with ODR to contact with more of these services via SB 678 funding. In addition, the Department has made it a priority to find housing for clients as soon as possible – and has succeeded at this, often being able to place individuals within 24 hours of their release from custody. However, many clients, officers, and staff at organizations and agencies alike agree that this housing is often inappropriate. Most notably, much of the housing available is in downtown Los Angeles, a less than ideal location for someone trying to rehabilitate oneself. One AB 109 staff succinctly described this concern:

"The majority of our housing is located downtown and it's a joke there. They go back to the environment that put them in custody – homelessness, drugs, prostitution, gang members. It's like we're telling them to go back to jail."

Transitioning between childhood and adulthood presents a specific challenge for probation clients as well. Certain legal considerations can present challenges for TAY who are in need of housing, education, as well as employment and financial support. For example, a minor who enters camp at age 17 may be released when he or she is or is turning 18, which can disqualify them from housing, health care, and other services afforded youth. The Department and the other stakeholder groups all agree that this population is significantly underserved and is not provided with the basic structure or services necessary for a successful transition into adulthood or their community, which can contribute to instances of recidivism and a trajectory into the adult criminal justice system.

An additional concern cited was program eligibility. Department staff noted that clients "might not fit the criteria" of an agency or program. For example, TAY 18-years-old or older are ineligible for some juvenile programming. One DPO also mentioned the narrow eligibility for Gang Reduction Youth Development programming. The final frequently cited concern was the safety and well-being of clients with programs. As previously noted, many housing options are located in downtown Los Angeles, in the area known as "Skid Row," fostering concerns about clients' sobriety, mental health and safety.

Relationship Between DPOs and Clients

Central to the success of any of these programs, particularly community-based programs, is the rapport built between DPOs staff and their clients. The following section describes findings from focus groups and interviews with stakeholders, most notably clients, relating to the relationships between Department line staff and their clients. Leadership within both the Department and CBOs underscore the importance of being responsive and engaging with both youth and adult populations. Relationship building is believed to be central in fostering open communication and trust and creating a level of comfort to effect change and rehabilitation. While this fundamental belief is articulated by many, in practice the relationships between Department line staff and clients can be strained for numerous reasons. First, Department leadership, CBOs, and clients all acknowledge that DPO approaches vary considerably. Some are incredibly engaged and go above and beyond their duties, in some instances remaining involved in clients' lives long after they complete supervision. Many adults and some youth clients described positive and sometimes transformative relationships with individual line staff. Unfortunately, others are simply "checking the box" or going through the motions without much dedication to the welfare of the clients they serve. CBOs describe positive relationships between the

clients they serve and their assigned Department staff, but just as frequently mention staff who are "indifferent" to clients or note that the emphasis is on "compliance" rather than growth or rehabilitation.

There is a stark difference between two types of line staff: those who are clinically oriented staff and those with a "command and control prison guard mentality." To further complicate these relationships, Department staff note the need to "wear multiple hats" and act as a "parent," "therapist," "nurse," "nurturer," "correctional officer," and "social worker" – sometimes all at the same time. This is a particularly salient finding given research which demonstrates that POs who are able to strike a balance between law enforcement and intervention roles, and who are able to establish clear roles and expectations with clients while modeling prosocial behaviors, demonstrate the most successful relationships and client outcomes.[17]

The different approaches to client engagement were highlighted by AB 109 clients. Many AB 109 clients spoke highly of their relationship with their PO, as well as their officers' commitment to their personal reentry process. For example, one client described their experience with the Department in the following way:

> *"So far, my contact with the Probation Department has been pretty good. It's not like on parole. I've been on and off parole for 20 something years, and they put me on AB 109 probation. It's different; there are fewer restrictions. My PO is very cordial, she seems to be very understanding and she's been very helpful to me."*

Another AB 109 client described his Probation Officer as "awesome," stating that they help prevent him from "getting into trouble." Yet another stated, "Probation is more respectful, at least my PO, she's very respectful. With a parole officer, it was more punitive, he was more eager to violate me. I was in fear of parole instead of respecting it." It should be noted that the majority of these positive comments were made within the context of a client's prior experience with the parole system. Moreover, it should also be noted that other clients we spoke with conveyed a very different experience. For example, many described their probation officers as more punitive than helpful, "not trying to hear you out," or eager to violate for a seemingly trivial infraction, such as wearing sports insignia or having low-hanging pants. One client described their experience:

> *"In my case, they never wanted to talk to me. If there were programs, they didn't want to say it because it takes their PO position into case managing. They are getting a step to become police officers. They don't want to be case managers, they want to be POs because it's one more step to become a police officer. They were like 'Come, drug test, get the f*** out of here.'"*

Many Department staff have noted that the Department is shifting to a more rehabilitative-focused approach, but there is still a lack of support structure in terms of identifying resources or services. In

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[17] Guevara and Solomon, "Implementing Evidence-Based Policy and Practice in Community Corrections."

focus groups, the majority of adult clients reported having to identify employment services or opportunities, or referrals to services (e.g., child reunification, legal services, or documentation), without the assistance of their probation officer. For example, one client described seeing a list of possible employers on her probation officer's desk and requesting it, as it was not automatically provided.

Relationships between the Department staff and their clients were also strained by the intrusive nature of compliance checks, staff turnover, and a general lack of respect shown to clients. During focus groups with adult AB 109 clients, many described the intrusiveness of compliance checks, which clients referred to as "check-ins." Clients recounted how during compliance checks, Department staff and/or police officers came to their residences, often at unreasonable times and with multiple cars and staff. This created a spectacle and drew the ire of both family and neighbors, in addition to impacting POs ability to have a good relationship with the clients they service. In fact, more than one client made the decision to not stay with family simply because they did not what their family exposed to the check-ins.

Turnover of Department staff was also a recurring theme from all stakeholder groups. One management-level Department staff described the extent and effect of turnover:

> *"As a department, we do things that make sense to us, not that make sense for our clients. Someone can end up having four to five POs in two months because we'll move them around depending on what we think they need, which is too confusing. This happens a lot and can affect our population."*

It is important to note that during the focus groups with juvenile clients, many described physical and verbal abuse by staff, both as victims and observers. Physical and emotional abuse were not isolated incidents. Some described having pictures and letters from family, often their only attachment to family, thrown away as a form of punishment. A majority of youth described how Department staff would say "see you next time" when they left camp, alluding to recidivism and indicating a lack of investment in positive youth development approaches and other best practices. Multiple youth described witnessing, and in a few cases, experiencing physical abuse in a camp setting.

Collaboration Between Probation, CBOs, and Other Departments

As noted in RDA's *Review of Best Practices in Probation Report*, effective service delivery – from case planning, diversion, and reentry planning and support – requires authentic collaboration and coordination among CBOs and multiple public agencies. Best practices indicate that structured partnerships which support the needs of adults and youth under the care of the Department will result in better outcomes and reduced costs associated with treatment, housing, health, educational, or employment services. Yet, authentic collaboration is often difficult to achieve and requires mutual engagement and a foundation that fosters effective communication and data sharing. Findings from focus groups and interviews with Department staff, clients, other County departments, and CBOs highlight the difficulty in achieving authentic collaboration and the potential benefits to service delivery when collaboration is realized.

Collaboration Between the Department and Intersecting Agencies

As noted previously, the diverse range of clients and their needs served by the Department requires multi-faceted engagement across many different service areas. Although the Department is vast, with several staff in different units, it is not capable of providing the necessary services to all its clients. Therefore, it partners with other county or intersecting agencies that specialize in specific types of service provision. The "language" as well as resources shared by these county entities allow for this partnership to be quite strong both in facilities and in the community. A large number of the individuals we interviewed– both from the Department and intersecting agencies–consistently cited the Department's ability to effectively collaborate and communicate with these intersecting agencies as a major strength and took great pride in their ability to use this strength to facilitate service delivery and client treatment plans.

Existing channels through county bureaucracy (both official and unofficial) make it possible for staff to consult one another about clients, treatment processes, or other decision making. Although this ease of contact does not extend to the referral process, the ability to communicate with county partners benefits staff and clients alike because this communication allows staff to assess and treat their clients with a more holistic approach.

There are several established structures that allow for effective communication, which in turn facilitates increased collaboration. In facilities, DMH, LACOE, and Department line staff and management regularly meet with each other to discuss treatment plans for youth clients in MDT meetings. Additionally, consistent communication is ingrained in the disciplinary and incentive systems at camps and halls, which is integrated between the school and residence. In addition to these official means of communication, Department staff and those at intersecting County agencies report feeling comfortable engaging in more informal means of communication. For example, some Department staff will cold-call colleagues at DMH for advice on a client's treatment plan (without violating confidentiality agreements) or insights about a certain training.

Communication between staff at intersecting agencies and the Department is generally perceived as positive. However, some Department line staff express frustration at the legal barriers that prohibit the sharing of some information between DMH, DCFS, and the Department (e.g., the Health Insurance Portability and Accountability Act). Although they understand the necessity of client confidentiality agreements, some felt that they are not able to provide the level of service possible because of these legal restrictions. Similarly, bureaucratic processes can often slow down the delivery of services to clients. So, while they may have positive communication and collaborative structures in place on a personal or individual level, the county system and its rules or procedures often undermine these efforts. Nevertheless, staff within both the Department and intersecting agencies express positive sentiments about and take pride in the quality of their communication and collaboration. This consistency is particularly impressive, given the combined size and scope of the Department and intersecting agencies.

Collaboration Between the Department and CBOs

Many staff within the Department described encouraging collaboration with CBOs, particularly within juvenile settings. For example, CBOs and clients noted the positive collaboration and mutual engagement with CBO program staff and DPOs within Camp Gonzales and praised multiple programs, including InsideOUT Writers and New Roads. While several Department staff, particularly those at leadership levels, spoke of effective partnerships with specific CBOs, others both within and outside the Department spoke of distrust. From the point of view of CBO leadership, their skepticism stems from the fundamental belief that the Department is not equipped to provide services "in-house" but also lacks systems and processes to contract for and link clients to needed services in the community. Moreover, there is a perception across CBO leadership that the services they provide are undervalued by Department staff. Numerous Department staff shared that CBOs are not held accountable for their clients' outcomes. These underlying perceptions from both parties often foster an adversarial, "us versus them" approach that hinders authentic collaboration.

From the perspective of CBOs, the lack of engagement on the part of the Department is exemplified by the lack of referrals and programming dollars spent on community-based services. The dramatic decrease in referrals from the Department was noted in nearly every CBO interview. Staff from one CBO recounted how they received 600 fewer referrals than seven years ago and currently only receive 45. Speculation for the lack of referrals ranged from the dramatic decrease in overall number of youth served within the Department to the claim that the Department has perverse incentives to keep adults and youth under their supervision as a means of self-preservation. Nearly every CBO also mentioned the Department's lack of spending on CBO programming. Specifically, many noted that JJCPA dollars earmarked for CBOs have gone unspent within the community, amounting to more than a $30 million divestment in community-based services. This is interpreted by CBOs as a genuine unwillingness to act as an engaged partner to more effectively address the needs of the populations that are served. For example, one CBO described effect of the unspent funding:

> *"There is no good reasoning for why that money is sitting there rather than going to programs, community services, etc. There is no accountability for this money not going to better use. This creates a trust issue. The Department does a good job distancing themselves from partnership."*

Much of the distrust that Department staff expressed towards CBOs stems from the belief that CBOs should be accountable for facilitating improved outcomes among clients. However, without clear metrics to define "success" or concerted investment and collaboration between CBOs and Probation, it will be difficult for CBOs to demonstrate their effectiveness. While Department staff state that they want effective, evidence-based programs, there are no concrete practices in place to identify quality services provided by CBOs or the types of services from which their clients would stand to benefit.

Another recurring theme was the generally inconsistent quality of communication between the Department and CBOs. Both the Department and CBO leadership described nearly equal instances of effective and poor communication. They both noted very little "clinical collaboration" that serves to

improve service delivery for clients. Particularly when clients are referred for services, there is little in the way of information about their assessments or risks – information that would be useful for CBOs trying to house clients or better attend to their "holistic needs." While a handful of Department staff describe reaching out to CBOs to obtain progress reports, more CBOs consistently describe a lack of engagement or communication on behalf of the Department. One CBO noted that they would "offer up more data than they asked for." In other words, the structures that appear to facilitate communication and data sharing between the Department and intersecting agencies, such as MDTs, is not present between the Department and CBOs.

Perhaps magnifying the lack of communication or coordination is the perspective – held by both the Department and CBO leadership – that data systems within the Department are cumbersome, antiquated, and difficult to maintain. External stakeholders see the Department's reluctance to share data and guarded communication as a lack of transparency that impedes their ability to collaborate as true partners.

Overall, many staff and leadership from within the Department are hopeful that relationships with CBOs are improving. Some conceded that the sometimes "adversarial" climate resulted from "isolated pockets" of CBOs and overall the Department is collaborating more effectively with CBOs. Moreover, the Department mentioned increased funding through SB 678 that will allow for more effective referral to treatment or housing services. A small number of Department staff at leadership levels also noted that more JJCPA funds should be spent within the community, but described the burdensome nature of the contracting process as a significant barrier.

Chapter 4: Juvenile Facilities

The Los Angeles County Probation Department operates three juvenile halls, 12 camps, and one residential placement facility. Below, we provide key findings before exploring the processes, policies, geography, and conditions of the County's Probation-run juvenile facilities.

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Key Findings

1. The number of youth in County juvenile halls and camps has steadily decreased from 2012 to 2015, due in part to Department efforts and in part to larger trends in juvenile trends.
2. Many juvenile halls and camps are in desperate need of repairs, furthermore, the layout of most is not aligned with best practices that are conducive to client rehabilitation.
3. The majority of the camps are in rural parts of the county away from areas populated by youth on probation.
4. Halls and camps lack consistent and targeted rehabilitative programming to address the specific needs of youth detained.
5. Staff are utilizing the LADS with greater fidelity than in the past to make decisions about which youth to detain in the juvenile halls.
6. Staff morale in the camps is low in part because staff feel they have lost tools they previously used to minimize conflicts without being trained in alternative de-escalation techniques.
7. The living conditions in the camps vary widely and some youth have greater access to services in certain camps as compared to others.
8. The reopening of Camp Kilpatrick as Campus Kilpatrick and its redesign in alignment with best practices, indicates the Department has made progress changing some of their facilities to be more rehabilitative and less punitive.

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Location

Since 2012, the juvenile population has decreased by 50% in juvenile halls and 60% in camps. As a result, the Department has reduced the total number of juvenile facilities from 19 to the 16 currently operated. Figure 33 below shows how the remaining facilities are spread throughout the county. While the juvenile halls are located in the county's urban core and in the western part near Sylmar, the majority of camps are located on the outer edges in less populated areas. There are five independent camps in the Challenger complex, located in Lancaster.

Figure 33. Juvenile probation facilities are spread throughout the county and tend to be far from where most youth on probation live.
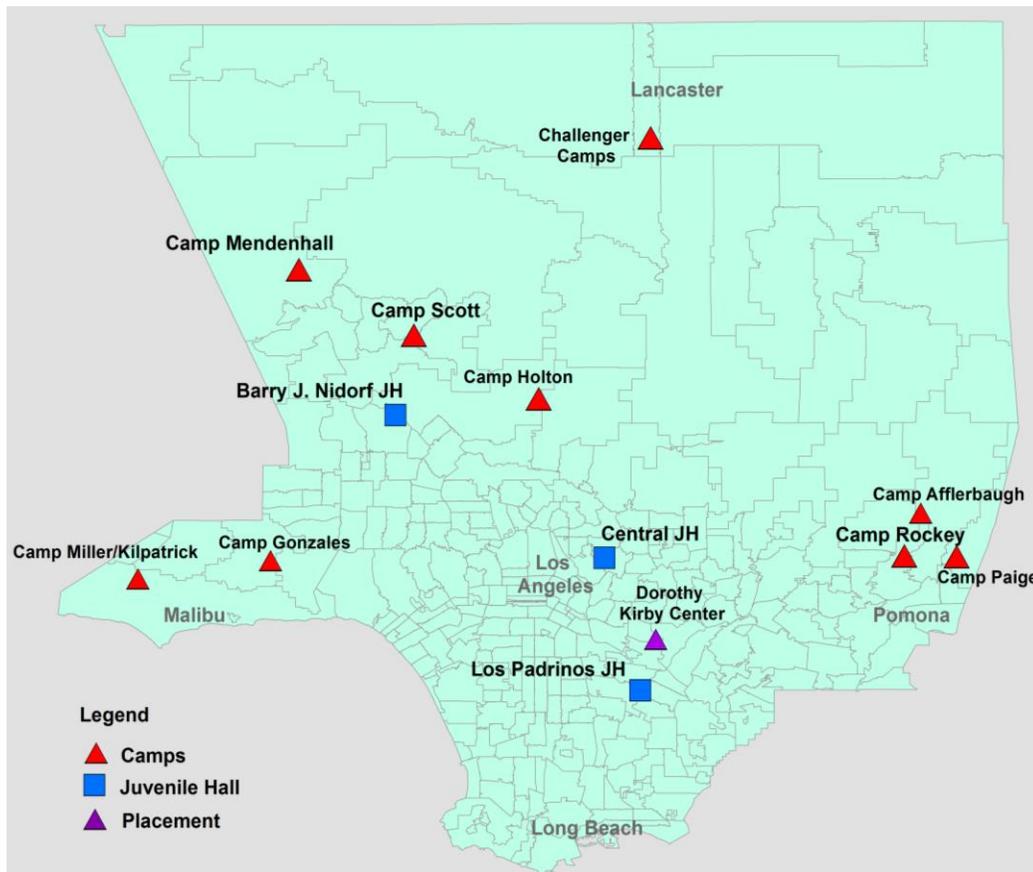

Juvenile Halls

When law enforcement arrests youth who are unable to be released to their parents or legal guardians, the officer takes the youth to one of the three County juvenile halls. Once in custody, Probation's Intake and Detention Control (IDC) officers assess the youth to determine their risk level. The youth's risk level indicates either a) that the youth does not need to remain in juvenile hall and can be released to his/her parents or legal guardian with only a citation to appear in juvenile court; or b) the youth should remain in secure detention at the hall until his/her court date. The number of youth who enter and are processed at the juvenile halls has decreased each year since 2012, as shown below in Figure 34.

Figure 34. The number of youth entering and processed by juvenile halls has decreased since 2012.
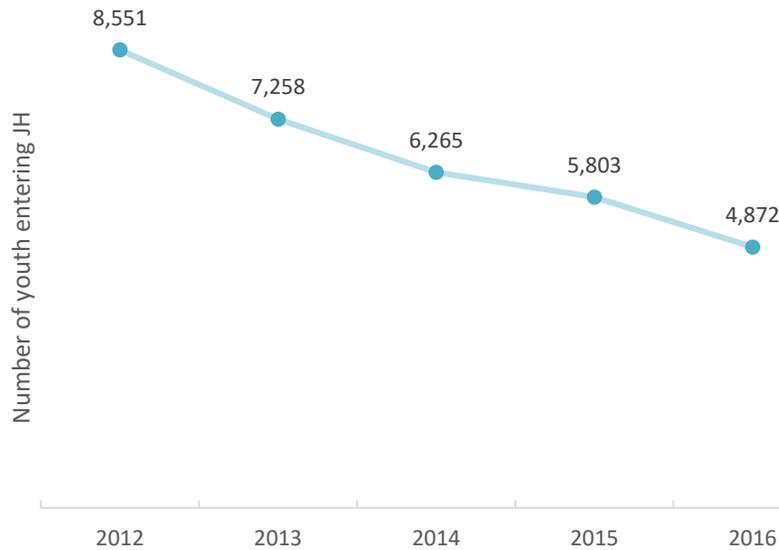

IDC officers use the LADS to measure the risk that will inform their recommendation as to whether a youth should remain in juvenile hall or be released. The LADS is a brief, one-page assessment tool designed to measure a youth's risk of recidivating prior to their initial Juvenile Court appearance. The LADS produces a score from 1-12. Scores of 10 or higher indicate that the youth should be detained and scores 1-9 indicate the youth should be released to their family or guardian.

However, IDC officers also factor other elements into their final decision, including youths' offense type and the danger the youth may pose to themselves, family members, or the community, from the IDC officer's perspective. As a result, some youth are detained when the LADS score recommends they be released and some are released when the LADS score recommends detain. A large majority of the youth assessed by the LADS receive a score indicating they should be released. For example, of the 4,872 youth assessed by IDC in Department juvenile halls in 2016, only 4% received scores indicating they should be detained and 96% received a score indicating the youth be released into the community. Despite this, Probation data shows that many youth who receive scores indicating they should be released are detained as nearly one-third of all youth assessed by the LADS are detained (see Figure 35).

At the same time, this is a marked improvement from the earlier estimate found by the Department of Justice in its Twelfth Monitoring Report (2015). That 2015 DOJ report found that in 2014, Probation detained 90% of youth brought into the juvenile halls before their first court appearance. The decrease from 90% in 2014 to 29% in 2016 indicates that Intake and Detention Control have effectively changed their policies and procedures as a result of the DOJ monitoring.

Figure 35. In 2016, IDC detained 29% of youth brought to juvenile halls before their first court appearance, down from 90% in 2014. (N= 4,872)
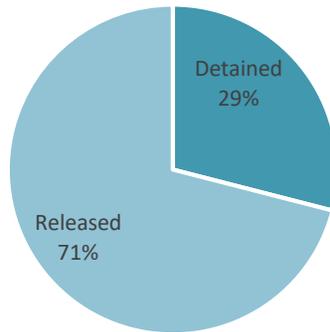
The DOJ report showed that Probation detained 80% of youth who should have been released, according to their LADS risk score. Our analysis found that IDC has clearly changed their policies and procedures because the Department detained 27%, rather than 80%, of youth who received a LADS score indicating release (see Figure 36).

Alternatively, in 2016 nearly one-quarter of youth who should have been detained (according to their LADS risk score) were released (see Figure 37). Taken together, the data suggest that IDC staff adhere more to the recommendations of the LADS screener than they did in the past, but they still do not adhere to the recommendations of the tool with complete fidelity.

Figure 36. In 2016, of youth that received "release" LADS scores, one in four were detained (27% of 4,717).
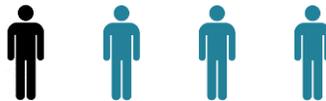
Figure 37. In 2016, of youth that received "detain" LADS scores, one in four were released (25% of 155).


The Department has reported that that youth stay in juvenile hall for an average of 17 days. However, this is only the case for youth who stay in the juvenile hall for less than 90 days. In many circumstances, RDA has found that youth stay in juvenile halls much longer. RDA found that of the 2,149 youth who entered juvenile hall in 2016, many youth stayed in the juvenile hall for an extended period of time, with the actual average length of stay being 48 days. Figure 38 shown below displays the distribution of youth length of stays in juvenile halls for all youth that entered the juvenile halls in 2016. As shown below, of the youth who entered juvenile hall in 2016, 59% of youth stayed in juvenile hall for less than one month, 24% for 30 to 90 days, 10% for 90-180 days, and 7% remained in juvenile hall for between six months and one year. The determination for how long a youth remains in juvenile hall is not

determined solely by the Department; in most cases, it is also impacted by decisions made by judges and the availability of appropriate placement facilities for detained youth.

Figure 38. The majority of youth stay in juvenile hall for less than 30 days, but a small minority stays for up to a year. (N=2,149)
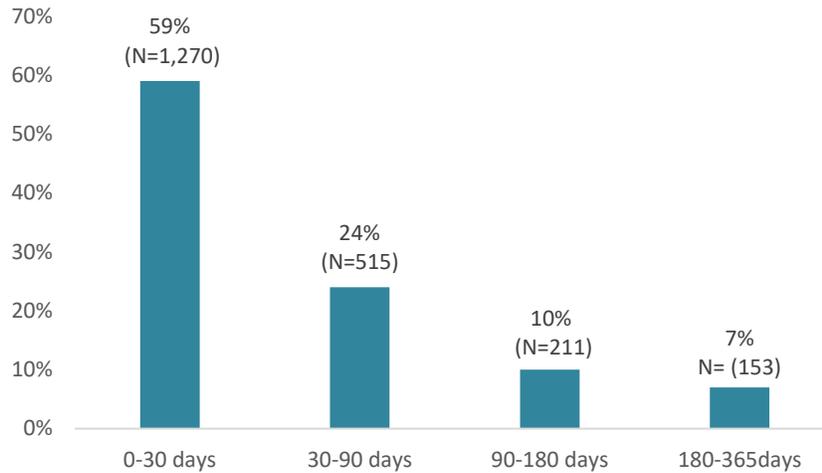
Challenges finding a suitable placement, when the family or guardian is not an option, can cause the youth to be detained much longer than the average. Probation staff shared that the following groups often experience much longer stays in detention: 1) youth awaiting out-of-state placements, 2) youth with developmental disabilities, and 3) youth under the care of DCFS. These vulnerable youth face longer periods of detention because of the challenges finding alternate placements for them. As we discuss in the section below, the conditions of juvenile detention are less than ideal.

Physical Layout and Conditions of Juvenile Halls

Prior reports indicate that there are concerns regarding the physical layout, structure, and conditions of the County's juvenile halls. RDA's own observations and interviews with staff, community members, and youth formerly detained in the juvenile halls corroborated this point. As we included in our 120-day report, one Probation staff member noted that "our newest operational facility is nearly 30 years old, everything needs a facelift." Both Department staff and community partners that provide services within the juvenile halls agree that Central Juvenile Hall is the most in need of repair and renovation. This facility opened in 1912, over a century ago, and is the oldest detention facility in the county. When RDA staff visited this location in February 2017, we noted that some of the ceilings were in disrepair, posing safety risks to the youth, Probation staff, and service providers.

> *"I would describe it as neglect. I mean, you have parts of the Central where the roof leaks and you have 10-12 buckets there collecting the water. It's not safe at all and it has been like that for many months. I would describe the facility as neglected. That's the best word to describe it." – Probation Staff*

The other two halls are the Los Padrinos Juvenile Hall, built in 1957, and the Barry J. Nidorf Juvenile Hall, built in 1965. Probation employees described these facilities to be less physically dangerous than Central, but both lack physical structure that would facilitate youth rehabilitation or reflect trauma-informed design. Due to the old age of all these facilities, Department staff believed all three facilities require repairs, renovations, and remodeling. RDA's own observations revealed that youth held at Central Juvenile Hall were required to move between spaces as if they were held in an adult prison or jail, as they were required to walk in straight single-file lines with restricted movement. A youth we spoke with who had previously been detained in the Central Juvenile Hall stated "juvenile hall was like a prison, it's like being a prisoner in there."

Figure 39. Central Juvenile Hall is in need of extensive repair and renovation. Its layout and conditions do not support a rehabilitative approach or align with best practices.

Staff we spoke with and youth formerly detained in the halls agreed few opportunities exist to receive rehabilitative programming or education in the juvenile halls. Educators we spoke with stated that due to the relatively short period of time youth spend in the halls, staff are frequently unable to obtain education records and as a result, are unable to provide youth with a quality individualized educational curriculum while they stay in the juvenile halls.

Juvenile Hall Safety and Staff Morale

Department staff and youth described the juvenile halls as unsafe environments for everyone inside them. Some staff who have worked in the juvenile halls for decades stated that the reduction in the number of youth who enter the halls has not translated into improved safety conditions. Although our data reflect that between 2012-2016 the number of youth entering juvenile halls decreased by 50%, which is likely attributable to a decline in youth arrests and the Department's decision to keep low risk

youth in the community as opposed to the juvenile halls, staff assert detained youth are now higher risk and have more severe mental health needs than they did in the past.

As indicated in Chapter 2, the juvenile halls have faced inconsistent staffing levels due to a high number of staff under investigation, staff that are injured, or staff that call out sick. Both the Department's line staff and leadership acknowledged in interviews that newer staff in the halls feel underprepared to face day-to-day challenges. Many told us that the Department's training academy focuses too much content on policy and procedures, and not enough on preparation for field work and real-life situations. Staff reported they felt unprepared to deal with conflicts and other challenges they face during their workday, and some expressed frustration they are no longer allowed to use certain disciplinary techniques to manage conflict. In recent years, regulation changes have required juvenile halls to halt the use of pepper spray for controlling violent conflicts and also to end the use of the secure housing unit (SHU). While these changes were designed to increase safety for the youth in detention, without these disciplinary tools some staff feel more at-risk because of insufficient training to support the transition.

Youth we spoke with who had previously been detained in the juvenile halls also described the halls as violent places with few opportunities for programming. One youth we spoke with stated:

> *"When I was coming up through the hall, we didn't have any resources besides the church. All I learned in the hall was fighting and gangbanging, and the same with the school. Nothing went on but fighting and gangbanging."*

Staff in juvenile halls largely concurred that there were inadequate opportunities for positive, rehabilitative engagement with youth.

As discussed earlier in Chapter 2, limited opportunities for staff working in juvenile halls to advance into positions outside of the juvenile halls were a major concern raised by DSOs and DPOs during interviews. As a result, RDA heard that veteran staff who have worked in the juvenile halls for many years feel undervalued throughout the Department, and that those feelings are imposed onto newer staff within the halls. RDA's interviews revealed that common factors affecting staff morale include unsafe working conditions, limited training, and few opportunities for advancement.

Juvenile Camps

Youth who receive a court disposition to a camp community placement (CCP or simply "camp") are sent to one of the 12 camps throughout the county. Youth are sent to the camps for either three, six, or nine months, depending upon their disposition. The DMH, LACOE, Juvenile Court Health Services (JCHS), and Probation participate in the County's Multi-Disciplinary Assessment (MDA) process to determine the most appropriate camp for the youth. During the MDA process, partner agencies consider the youth's medical and mental health needs based on the youth's medical and mental health history, substance use history, educational needs, and the youth's personal interests. Based on the results of the MDA, the Probation Department recommends the appropriate camp placement for the youth. Prior to being

transported to camp, DMH and JCHS must provide clearances indicating the youth can be housed at the recommended camp.

When youth arrive at a camp, probation officers administer the LARRC to identify the young person's service needs and develop a case plan. Results from the LARRC are intended to inform the individual's case plan that is developed collaboratively between LACOE, DMH, and Probation. As was indicated in Chapter 3, however, the extent to which the Department staff understand how to incorporate LARRC scores into case planning remains unclear. Youth in camps are required to follow the conditions of their case plans while completing the terms of their disposition, and Department staff review and update these case plans on an as-needed basis.

Similar to the decline in the number of youth entering juvenile halls between 2012-2016, the number of youth sent to camps has decreased by over 60% since 2012 (see Figure 40). As a result of this reduction, Probation has closed three camps Camp Miller, Camp Munz, and Camp Scott since 2012.

Figure 40. The number of youth sent to probation camps has declined since 2012.
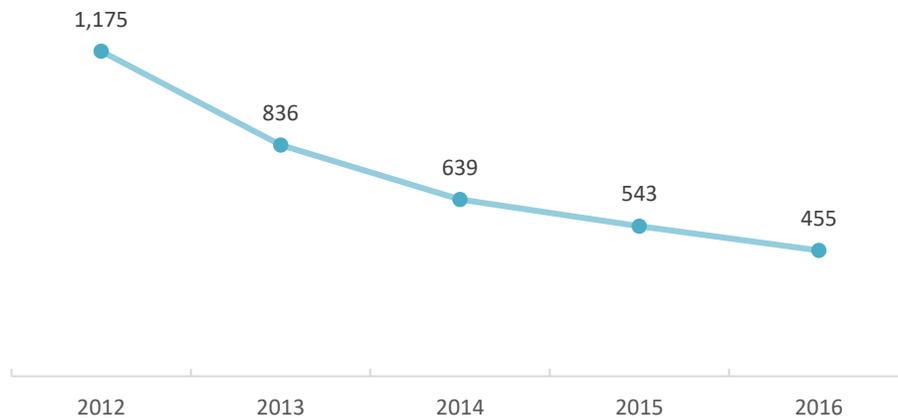
Physical Layout and Location of Juvenile Camps

Compared to the aging juvenile halls, the Department's camp facilities are newer and in need of fewer repairs and renovations. At the same time, the physical layout of the camps is not conducive to youth rehabilitation and safety. As reported by the DOJ and within RDA's 120-day report, there are a range of concerns regarding youth safety, hygiene, and behavior management. Probation staff identify the "open bay" living and sleeping area as a chief source of problems for youth. This "open bay" style consists of large rooms with lines of beds. Probation line staff confirmed findings from previous audits and reports, stating that the open layout makes it difficult to monitor youth or to prevent gang conflicts. In our interviews, both staff and leadership agreed that the "Missouri Model," consisting of several smaller partitioned living units that house between 9-12 youth, would be more appropriate and conducive of youth rehabilitation.

Youth we spoke with regarding their prior experiences in the camps commonly complained about being treated inhumanely by staff and also felt they were not given the appropriate opportunities to maintain good hygiene. Although RDA could not verify this, multiple youth referred to restrictions on bathing:

> *"It's weird. Even with showering they punish you, they say you have a minute to shower and they are yelling at you saying we need to get the next people in there. Everything feels like punishment inside the camps." – Youth Formerly Detained in Juvenile Camp*

In addition, the far-away locations of these camps prevent the youth from having the developmentally essential support from families that would foster rehabilitation and would reduce isolation. As shown in Figure 41 below, nearly all the camps are on the farther outlying areas of LA County, often not close to youths' homes and families. As the map indicates, a high number of youth placed in facilities are from Southern Los Angeles, easily a 1.5-2 hour drive from the majority of camps, making it extremely difficult for family members or other indigenous support systems to visit them in camp.

Figure 41. Most camps are located in outlying areas farther away from the youth's homes and families.
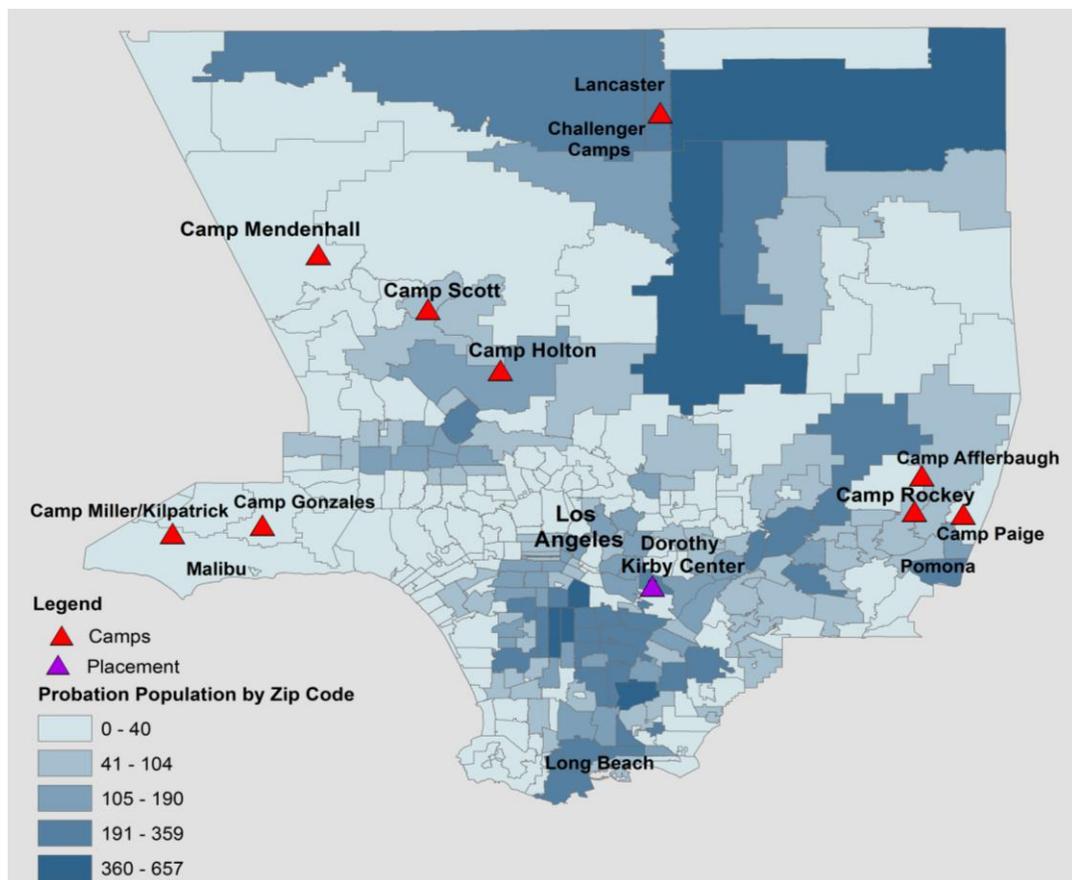
Camp Safety and Morale

Youth who are in camps generally have higher risk scores and more profound needs than youth sentenced to probation. While the overall population has decreased, RDA's analysis of LARRC scores for youth sent to camp since 2012 indicates that overall "risk level" has increased slightly over the past five years. It should be noted that the LARRC tool has not been scientifically validated for accuracy in Los Angeles County and when RDA compared individuals LARRC scores to LADS scores we found the tools inconsistently assess individuals' level of risk. For example, of individuals who received the lowest LADS score (-2 to 0) the LADS assessed 30% of those same individuals as "high risk." Since 2012, roughly 75% of all youth placed in camps are "high risk" according to the LARRC. Only 20% of the youth are moderate risk, and a very small proportion (2%-4%) are "low risk" which is consistent with the Department's goal of keeping low risk youth in the community.

Figure 42. The majority of youth in camp are high-risk based on the LARRC.
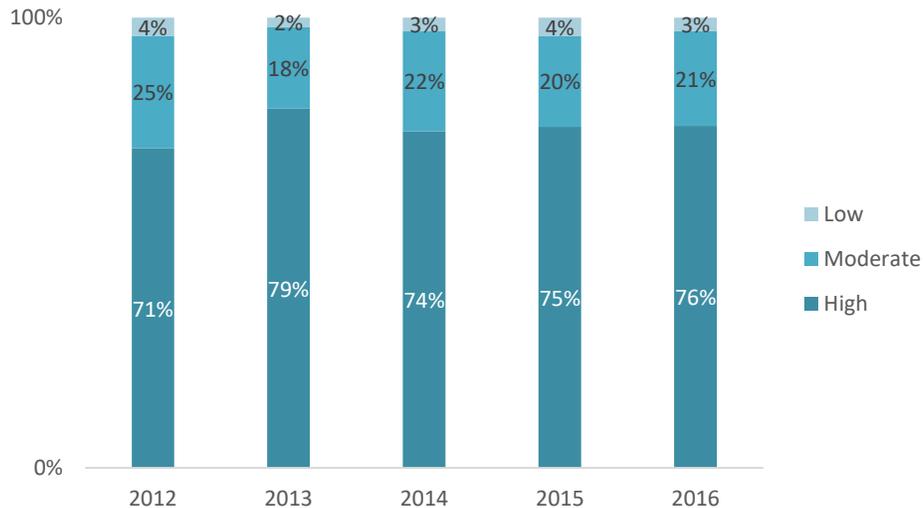
Staff from the camps also expressed concerns about insufficient training, similarly to staff from the halls. The removal of disciplinary and control tools, such as pepper spray and SHU, even though mandated, did not coincide with adequate training in alternative disciplinary tools such as de-escalation or positive behavioral approaches.

> *"I don't understand why our leadership would not want us to be safe. That is what it feels like sometimes. They have made decisions and it has put us at risk. It is one thing to want to protect youth and their rights but it doesn't have to be at the expense of our safety. It needs to be both. You can both empower youth and protect your staff but that is not what it feels like has happened." - Camp Staff*

Feeling exposed to additional safety risks, without adequate support or training, contributes to problems with staff morale. One positive change made to the camps at the end of 2016, however, has been the transition of older locked housing units to HOPE Centers. HOPE Centers are large open rooms

that contain comfortable furniture and are designed to be relaxing areas where agitated youth can go to calm themselves down, while being temporarily separated from other youth. Director-level Department staff we spoke with believed HOPE Centers were an effective alternative to locked housing units and indicated that use of HOPE Centers has helped deescalate volatile situations.

Camp Improvements

The remodel of Camp Kilpatrick and its renaming to Campus Kilpatrick indicates the Department's plan to transition camps to facilities that better rehabilitate youth. Campus Kilpatrick has been designed in a way that is consistent with best practices. It follows the "Missouri Model" and will house youth in eight-person cottages, each with its own showers, recreation area, and counselors, as opposed to the other facilities which house youth in open dormitories. Another way that Campus Kilpatrick will differ from other facilities is that youth at Campus Kilpatrick will be allowed to wear their own clothes as opposed to the uniforms worn by youth at other detention facilities. The Department has emphasized that staff at Campus Kilpatrick will create a school-like atmosphere and the focus will be on learning and rehabilitation. The redesign of Camp Kilpatrick and the creation of HOPE Centers exist as multiple examples of how the Department is currently working to make the atmosphere in the facilities more rehabilitative and less punitive.

Figure 43. The redesigned Campus Kilpatrick creates a school-like atmosphere and focuses on learning and rehabilitation.

Chapter 5: Fiscal Operations and Financial Management

This chapter focuses on the overarching processes, structures, and management of the Departments' fiscal functions, including contracts management, budgeting, procurement, and accounting. First, this chapter outlines several grant awards that the Department has not been able to completely spend down, as evidenced by recent documents, press reports, and audits. Then we report on the structure and organizational culture within the Financial Services Division and how it affects the Department's ability to further its mission to serve clients and communities.

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Key Findings

1. While the Department's budget has grown $75 million between 2012/13 and 2015/16, several grant-specific fund balances have increased dramatically within that timeframe. RDA contracted with the County Executive's Office to complete this assessment due, in part, to concerns regarding excess spending of the County's General Fund while other funding streams remain unspent.[18]

2. The Financial Services Division's siloed functions do not collaborate toward a common purpose or mission, hindering the Department's ability to establish efficient fiscal and administrative practices that support services, programs, clients, and communities.

3. Administrative and fiscal staff do not have an understanding of broader Departmental goals, objectives, or challenges, and therefore cannot proactively address procedural issues before they arise.

4. Fiscal and administrative policies are not aligned with the delivery of services, and as a result, the administrative divisions have not established effective processes for working with each other, program staff, operations staff, or the community.

5. The Department has not dedicated contracting, or administrative staff positions, to the development of new or evidence-based programs and services. Therefore, contract staff and program staff are unable to contract community services as budgeted within specific federal and state grants.

6. As a result of bureaucratic separation and inefficient organizational cultural norms, the Department's fiscal functions inhibit the ability to partner with communities and deliver client services.

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Fiscal Overview

Between Fiscal Year 2012-2013 and Fiscal Year 2015-2016, the Department's budget increased $75 million from $821 million to $896 million. For this period of time, the RDA evaluation team reviewed a variety of external audits and internal budget documents to determine the Department's main sources of revenues, inventory keys expenditures, and also quantify unspent funds.

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18 The Probation Department reported that excess spending of the County's General Funds, as noted here, are the result of under-realization of other revenues rather than the under-spending of specific grant funds.

Without undertaking a complete financial audit, it was a challenge to determine the precise amounts spent per funding stream for each of the four fiscal years, and to compare those values to the budgeted (or adopted) amounts. Using the documentation made available to this project, and through triangulation of multiple sources, RDA calculated differences between specific funding allocations and actual expenditures as a means to contextualize the magnitude of the issues surrounding the management of funds within the Department.

The Department's total budget is around $820 million annually, funded about two-thirds from the County's General Fund in both flexible and non-flexible dollars, and about one-third from specific state and federal funding streams, listed below.

Youth Offender Block Grant (YOBG)

Table 11. Over the last four years, there has been consistent overspending for YOBG-funded activities.

	12/13	13/14	14/15	15/16
Budget	$ 20.8 M	$ 22.8 M	$ 22.8 M	$ 21.7 M
Actual	$ 30.0 M	$ 30.2 M	$ 34.0 M	$ 30.8 M
Variance	$ 9.2 M	$ 7.4 M	$ 11.1 M	$ 9.1 M
Var %	**+44%**	**+32%**	**+49%**	**+42%**

YOBG-funded programming consistently underspent the salaries and benefits line items (personnel) for needs assessment (about $125,000 annually), aftercare and reentry services (from $1.7 million to $500,000), and administration and evaluation (about $125,000 annually). At the same time, the Department consistently overspent between $7 million and $11 million on personnel at the juvenile camps. As seen in Table 11, this created overspending between $9 million and $11 million for YOBG-funded activities.[19]

Juvenile Justice Crime Prevention Act (JJCPA)

Table 12. There has been consistent underspending of JJCPA allocated dollars over the past four years.

	12/13	13/14	14/15	15/16
Budget	$ 25.2 M	$ 30.9 M	$ 30.9 M	$ 38.9 M
Actual	$ 23.8 M	$ 26.1 M	$ 28.0 M	$ 27.3 M
Variance	$ -1.4 M	$ -4.8 M	$ -2.9 M	$ -11.6 M
Var %	**-6%**	**-16%**	**-9%**	**-30%**

Probation's growing fund balance for JJCPA funds and consistent underspending of allocated dollars has been a topic scrutinized by both auditors and the media (see Table 12). The Los Angeles County Auditor-Controller report released in March of 2017 revealed that there is a fund balance of $36.7 million for JJCPA. In the following line items, Probation varied from the budget drastically:

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[19] The Probation Department reports that the YOBG budget was aligned in FY 16/17.

- **Screening, Assessment, and Treatment.** Underspent between 9%-17%, or between $392,000 and $659,000 annually.
- **Multi-Systemic Therapy.** Underspent 26% to 60%, with unspent funds growing from $120,000 to $311,000 annually.
- **Special Needs Court Program.** Underspent 45% ($500,000) in FY 12/13, but then on-target in FY13/14 to FY 15/16.
- **School-Based Probation Supervision.** Overspent 19% or $1.6M in FY 12/13, but more than made up for the difference by underspending $1.9 million in FY 13/14, $200,000 in FY 14/15, and $1.2 million in FY 15/16 (15%, 1%, and 9%, respectively).
- **Gender-Specific Services.** Underspent 35%-53% annually, between $490,000 and $798,000 each year.
- **After-School Enrichment & Supervision.** Slightly overspent in 12/13 by 2%, but underspent 8%-19% in following years, or between $146,000 and $347,000 each year.
- **Housing-Based Day Supervision.** Underspent 8%-35% annually, or between $101,000 and $423,000 each year.
- **High Risk/High Needs Programming.** Underspent 6%-20% annually, or between $329,000 and $1.2 million each year.
- **Inside Out Writing.** Underspent 1%-16%, but improved from FY 12/13. This is a smaller program, and the underspent amount went down from $31,000 in 12/13 to $14,000 in 15/16.
- **New Directions Program.** The program did not spend 87% of its budget in its inaugural year 15/16. This totaled $2.6 million in 15/16.
- **Enhanced School & Community-Based Services (Board of Supervisors Allocated).** The program did not spend 97% of its budget in its inaugural year 15/16. This totaled $4.6 million in 15/16.

AB 109 Realignment

Table 13. The Department has been able to spend down the small surplus of funds generated in realignment's early years.

	12/13	13/14	14/15	15/16
Budget	$ 73.9 M	$ 80.8 M	$ 75.8 M	$ 81.6 M
Actual	$ 69.7 M	$ 76.8 M	$ 84.8 M	$ 83.1 M
Variance	$ -4.1 M	$ -4.0 M	$ 9.0 M	$ 1.6 M
Var %	-6%	-5%	+12%	+2%

Los Angeles County has worked with a contractor to implement the majority of services provided to the AB 109 population. Because of this successful partnership and contract, and because the Department re-assigned sworn staff from SB 678 to meet the pressing needs of serving the AB 109 population, Probation was able to ramp up operations to spend down the small surplus generated in realignment's early years (see Table 13).

SB 678

Table 14. The Department has been unable to spend the funds allocated for evidence-based programs.

	12/13	13/14	14/15	15/16
Budget	$ 52.2 M	$ 35.1 M	$ 43.8 M	$ 43.4 M
Actual	$ 6.0 M	-	$ 12.5 M	$ 24.0 M
Variance	$ -46.5 M	$ -35.5 M	$ -32.1 M	$ -20.5 M
Var %	-89%	-101%	-73%	47%

The Department has not been able to spend the majority of funds allocated for evidence-based programs to provide services to new clients and people who violate probation (see Table 14). The recent Auditor-Controller's audit shows that in 2017, the SB 678 fund balance was at $167.6 million. Probation staff indicated that the prioritization of implementing the infrastructure for AB 109 impacted its ability to develop programs and spend down the SB 678 allocated funds.

Culture of Fiscal and Administrative Management

Although staff within the Department's Administrative Services Bureau generally indicate a commitment to client well-being and rehabilitation, our data show that management practices do not always support this rehabilitative orientation toward service delivery. The siloed organizational practices and lack common purpose among staff, which hinders the Department's ability to establish effective fiscal and administrative collaboration. Instead, administrative and fiscal staff orient their work inwardly, remaining focused on delivering only what they believe to within their specific—and siloed—spans of authority.

Throughout our conversations, staff emphasized their fear of stepping outside their realm of delegated responsibility, often saying "that's not my job" or "I don't have the authority to…" This narrow approach to work and job responsibility stems from the organizational culture that may be a result of leadership changes and other cultural challenges mentioned earlier. Instead of working toward a common goal, staff are instilled with the fear of making a mistake or being blamed for something. This precludes them from collaborating with each other, and prevents them from feeling empowered to initiate new and better administrative and fiscal practices. Without collaboration and a mission focus, the Department suffers the consequences of fragmented financial management processes, creating an administrative bureaucracy that is difficult for all staff to navigate.

At the time of publication, the Department's leadership reported that the Financial Services Division was undergoing an internal reorganization that aimed to tackle these organizational culture challenges through consistent engagement with operational staff. At the same time, the aforementioned challenges with Fiscal's organizational culture have been in existence for many years. For any change management effort within a large-scale operation to be successful, and for those changes to be reflected among mid-level managers and line staff, the Department's leaders will need to maintain consistent attention to nurturing those change management efforts.

Additionally, it is widely understood internally and externally that leadership turnover has greatly affected the administrative services within the Department. As chiefs have come and gone, staff reported that the priorities of the organization are inconsistent and do not stick. An unintended consequence of leadership change is that staff at all levels of the organization fear a punitive environment in which taking initiative is not rewarded but rather puts one at risk.

Administrative and fiscal staff reported feeling undervalued and disconnected to the impact of their work. They repeatedly referenced a lack of acknowledgement of their work and also stated that leadership should provide stronger directives to effect change. Their comments illustrate that staff feel disconnected from both change management and process improvement. At the same time, Department staff have been the only stable force through leadership churn. Their feelings of being disconnected from the "whole" affects their morale, and as a result creates low levels of staff engagement. Staff do not proactively address administrative concerns as they arise, but rather engage reactively when pressured to do so by outside forces (such as auditors, the press, etc.).

Similar to other law enforcement agencies, the Department has a strong adherence to the chain of command. However, this adherence to structure leads staff from every level to keep the chain of command central to their decision-making. The fear of not disrupting this chain contributes to a *de facto* fear-based mentality in which individual staff are dis-incentivized from participating in change efforts that would either improve their own working conditions or further the mission of the larger agency. Shifting toward a more participatory management structure would allow the Department to implement strategies that enable greater focus on clients, rehabilitation, and community, while at the same time proactively engaging administrative and fiscal staff.

Structure of Fiscal Management

Within the Department, each fiscal function operates as a separate team, without established pathways for collaboration and information sharing. The Fiscal Section operates under an accounting system that aligns with the Auditor-Controller's processes and other County agencies, but that system does not reflect the Department's programs and practices. This makes it difficult for fiscal staff to collaborate with program staff and also makes reconciliation with the budget difficult. There is no existing process by which fiscal and budget staff coordinate financial data, and program managers find themselves running communication between the two sections in order to move forward with program operations. While fiscal and budget staff offer birds-eye-view reporting across juvenile, adult, and administrative operations, neither one delivers program-specific reporting to individual operations within adult and juvenile services. As one employee put it, "there are issues with the feedback loop" between fiscal and budget, and program directors do not understand the nuances of their own activities. The reorganization of the Financial Services Division will allow for a more service-oriented staff that engages with programs and provide line item budget details.

While program managers feel that "Budget is not aligned with how programs operate," the Budget Section named the lack of resources that would be necessary to partner directly with programs. Budget staff hesitate to communicate directly with program staff because they have no ability to prioritize

requests at a programmatic or granular level. In a broader sense, the Department does not have a consolidated process by which it prioritizes programmatic budget requests, and the Budget Section also does not share program-specific budgets with operations managers. As an example of the disconnect between administrative functions, the Budget Section has not initiated collaboration protocols, does not utilize a transparent budget planning process, and does not share program budgets with the managers of those programs.

At the time of writing, RDA learned that programs do receive monthly reports provided to programs for the status of their program expenditures, and also that programs meet regularly within the context of a workgroup with the Financial Services Division. However, programs still do not have insight into over-arching financial decisions made at the top level, and often do not have information regarding overhead expenses that may be distributed throughout programs without explanations from on high. During publication, RDA also learned that additional budget analysts have been requested in order to provide more direct analytical support for specific grant programs, indicating an awareness of the need for additional analytic resources required to help support programs.

These two sections illustrate systemic problems within how the Administrative Services Bureau does business. One of the most visible and politically charged examples of the Department's collaboration issues is in contracting. Throughout our interviews with staff and stakeholders, we repeatedly heard about the frustrations experienced with contracting. Many cited the length of the contracting process, which can take 12-18 months, as a major bottleneck to providing needed (and already allocated) community services. On the one hand, some of this blame is unfairly directed at the Contracts Section, which adheres to the same processes required of all county departments. The process, which includes a period for contest and other additions, gives "everyone who feels qualified an opportunity to bid, and makes the process as equitable as possible." Still, 18 months is a long time between requesting a service and awarding a contract. Moreover, while county contracting rules may be outside of the Department's control, many respondents—including those who work in county departments that partner with Probation and those who work for organizations that contract with other county departments—noted that the Probation's Contracts Section interprets these rules significantly more stringently than do other LA County Departments. Further complicating this, one current contractor pointed out that there does not appear to be coordination of required contract documents within the Department's administrative teams; the contractor reported having to repeatedly answer the same questions from different teams within the Department and also reported needing to facilitate coordination between those teams. More generally, Contracts Section staff and program operations staff do not have efficiently coordinated teams with the right skills, knowledge, or expertise required to effectively and quickly write scopes of work (SOWs) for new programs and services.

Other stakeholders reported that the Department's stringent adherence to a specific interpretation of background check rules prevents contracting with partners or individuals that may be ideal in many ways barring their legal backgrounds, no matter how brief, how serious, or how distant. Some reported that requests for provisional clearance for individuals to address outstanding non-serious legal issues were denied.

"It's just a parking ticket, everything else in the record is clean. Can I have provisional clearance and give the individual six months to pay it off? [Probation] won't agree to that. They just won't cooperate, or engage in a way to make it doable. We don't have felons working for us, either, but actually, we do want felons. We want folks who have reformed. Plus, in the neighborhoods that we are working in we want engagement. We're talking about over-policed communities where everybody has got a record." – CBO leadership

Other partners noted that one way the Department has successfully implemented community services is through the use of inter-agency fund transfers. Other public agencies may be better equipped to contract with community providers, and to the extent that Probation has developed MOUs and transferred funds, the Department has created successful agency-to-agency partnerships that are able to be more nimble with providers and contracts.

Government contracts, and especially contracts within the county, require input from many stakeholders: subject-matter experts, legal, risk management, executive leadership, and more. With so many parties involved, the process of writing SOWs might be the actual bottleneck in the contracting process. Some public agencies have contract staff dedicated to building new programs and services. These staff specialize in developing SOWs for new programs, understand evidence-based programming, and have expertise in bringing the right collaborators to the table. The Department may bring subject-matter experts into SOW development once an idea has been established, but Contracts Section staff believe that program staff should have ultimate responsibility for developing SOWs.[20] This is an inappropriate expectation, even if it is the established policy within the agency. Developing new evidence-based programs and services is a highly specialized skill unto itself, and the Contracts Section does not currently have staff dedicated to this purpose. Contracts Management require program staff to develop SOWs, but program managers do not have the qualifications to develop new programs or SOWs.

Again, blame is tossed across the operations-administration divide, and neither side has the right staff at the right time to move forward. More importantly, neither side feels empowered to "own" the problem or its resolution. This disconnect causes bottlenecks in the contracting process. Also, another result of the wrong people developing contract language is that Probation's contracts are process-driven and focused on measuring services and "widgets" rather than understanding if services are having the intended impact. Other stakeholders suggested that the writers do not understand non-profit services and therefore do not understand how to develop scopes of work.

Said one community partner:

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[20] At the time of writing, Department leaders referenced internal policy regarding the division of responsibilities for SOW development. They reported that the Contracts Section's role is to specifically pay for services rendered once programs have approved billing, and that program operations are responsible for developing SOWs. As illustrated above, this reference back to existing policies is, in and of itself, one of the barriers to effectively contracting with community providers in an efficient and timely way.

"If they want to work on authentic partnerships, they have to get out of the comfort zone, become visible, and create spaces in the community for conversations with CBOs. These are the CBOs' and the community's kids, and they want the best for them. They want a voice in how their youth are being served."

Regarding the Department's internal accounting processes, staff complained about the lengthy and difficult processes required to request reimbursement for expenses incurred while in the field. As a result of the cumbersome policies, DPOs end up fronting money for client services and often do not request or receive reimbursement. For example, one staff member illustrated a regular situation in which he pays for client meals but never requests reimbursement because the effort required outweighs the $15 spent. But, over time, these small expenditures add up and affect staff morale.[21]

Additionally, line-staff have no vehicle by which they can make requests of Procurement. Through interviews, RDA learned that Procurement operates at the 30,000-foot level and determines Department-wide policies. For example, individual requests for hand sanitizer are rejected outright because Procurement is overly focused on equitable processes to the extent that if the budget will not allow all staff to have hand sanitizer on a regular basis, no staff can ever have hand sanitizer. The inability to be flexible and adaptable to the individual priorities of distinct programs is a barrier to effective delivery of services, and also takes a toll on morale. The overwhelming feeling at the staff level is that the Department is inflexible and unwilling to provide for their needs, and, as a result, staff operate within a mentality of scarcity.[22]

Ability to Partner with Communities

Staff from the administrative divisions to the program divisions understand that CBOs struggle to "do business" with the Department because of bureaucratic and financial challenges. This limits the Department's ability to partner with the community in which it is embedded, because it cannot contract the funds out to provide the services that clients need. We spoke with staff who recognize nonprofits and CBOs are frustrated with the Department's ability to get funding into the community and to pay for client services. The separation of budgeting, procurement, contracting, fiscal management, and other administrative functions compounds this barrier.

The Financial Services Division has separate teams for Budget, Fiscal, and Procurement, and the Contracts Section is within the separate Contracts and Grants Management Division. Each section or team demonstrates ownership and pride over their "piece" in the process, but at the same time line-level staff feel that the "whole" is both opaque and inaccessible to them. While Fiscal Management and Contracts and Grants Management report directly to the Administrative Deputy, and while these teams'

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21 Department leaders reported that prior audits found "egregious practices" within purchasing, leading the Auditor-Controller to remove purchasing resources from the agency. The Financial Services Division reported that, at the time of publication, it is seeking ways to meet employee's purchasing needs.

22 Again, Department leaders reported that purchasing and procurement policies were adjusted based on "egregious prior practices" and the existing policies, while cumbersome, are intended to ensure staff requires align with the Department's mission.

leaders attend monthly manager meetings to establish clearer lines of communication, this information sharing is not adequately filtering down to mid-level managers or line staff. There are no vehicles by which staff regularly collaborate or share information, and so there is insufficient communication between functions that inherently depend on each other. For example, Budget staff do not have the ability share program-specific budget information with program managers that are tasked with implementing services, and therefore do not know how much they have spent toward their allocation, and are frequently asked to request information from Fiscal and deliver that back to Budget in order to determine if they can move forward.[23]

Program requests to Budget, Procurement, or Contracts filter up through the chain of command rather than through inclusive and transparent conversations with executive decision-makers. Program directors that are responsible for implementing client-based services, for example, often do not have updated information from the Budget Section, and cannot, therefore, make informed decisions about what services to request through the Contracts Section. There is a wide communication gap between program operations and Contracts, and no effective processes by which fiscal functions collaborate on the back end to deliver client-oriented administrative services.[24] As a result, significant administrative delays and bottlenecks prevent Probation from getting allocated community funds into service contracts. Firewalls between each fiscal area create an environment of dysfunction and endless bureaucratic loops for employees from every corner of Probation.

Processes and procedures for operating within the Probation Department are not clear, and staff express feelings of fatigue due to ongoing change in direction. It is difficult to take new things on when protocols are unclear, and even more difficult to make suggestions when there is no clear venue for feedback. Changes in leadership contribute to the perception that decisions are being made behind closed doors, without strategic input from staff. Because decisions seem opaque, programs blame each other for problems or budget shortfalls. For example, staff from SB 678 suggested that when Probation implemented AB 109, AB 109 took their staff. On the flip side, AB 109 staff asserted that Special Services took their staff.

The lack of direct, clear, and unified communication leads Department staff to criticize each other. Said one employee, "There is no acknowledgement of middle-level management. That discourages people who work in silos." When taken within the context of the Department's fiscal management, the structural disconnect between fiscal functions and the lack of clear direction leads to disengagement from process improvement, and contributes to the "managed chaos" that prevents adequate planning to get funding into the community-based system of care. The inability to get funding into the community precludes the Department from developing meaningful partnerships with community organizations and from improving client services.

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[23] At the time of writing, the Financial Services Division reported that it is working toward a more collaborative zero-based allocation budget.

[24] Despite an array of qualitative evidence suggesting that there is a collaboration failure between program operations and Contracts, the Contracts Section reported that it requires program staff to utilize an approval form to verify communication among all parties. While this form may have the intention of facilitating collaboration, staff do not experience the process as intended.

Conclusion

The LA County Probation Department has been the subject of significant scrutiny over the past several years and, as indicated throughout this report, there is still much work to be done to align Department operations with best practices in community corrections, as well as in organizational management more broadly. Moreover, as this assessment demonstrates, challenges in one area of Department operations are not distinct from challenges in others: lack of clarity in organizational mission impacts staff morale, recruitment and hiring efforts, client services, fiscal operations; and limitations in data/IT infrastructure affect accountability, communication, approaches to client services, among others. These issues thus require complex and interrelated strategies to address.

At the same time, it is important not to understate or overlook the efforts currently underway to address these challenges, or that good work that is happening amid them. The Department's SB 678 CORE plan and partnership with ODR indicate a clear commitment to best practices, structured decision-making, community-based services, and partnerships with other organizations. Similarly, Campus Kilpatrick, the new JJCC Community Advisory Body, and the camp closure plan convey a commitment to working with county and community partners to provide the appropriate array of services to the appropriate youth in the appropriate setting.

Subsequent analyses as part of this study will seek to further support this effort by cross-walking the LA Probation Department's practices with those delineated in the research and policy literature as well as those practices in implementation in other jurisdictions in California and the United States.

Appendix A: Qualitative Methods

Face-to-face interviews or focus groups with 384 LA County Probation stakeholders (70% interviews/focus groups with Department staff and 30% agencies working with probation – DMH, LACOE, ODR, CBOs, advocates, and clients).

All levels of department staff engaged:

- Interim Chief Probation Officer
- Chief Deputy
- Deputy Chief
- Bureau Chief
- Administrative Deputy
- Chief Information Officer
- Acting Public Information Officer
- Executive Assistant
- Departmental Finance Manager
- Human Resources Manager
- Information Technology Manager
- Administrative Services Manager
- Consultant
- Senior Probation Director
- Director
- Non-sworn (secretary, analyst, clerk)
- DSO
- DPO I and II
- Supervisor

Data collection, coding, and analysis efforts:

- Interviews/focus groups were attended by two RDA/Leap staff (one lead facilitator and one note-taker).
- Majority (more than 90%) were recorded and transcribed. The small number that were not recorded electronically were recorded by multiple note-takers to obtain transcription-quality notes.
- Protocols were used for specific target populations with overarching questions to help triangulate responses. For example, RDA developed separate protocols for Field Directors, line staff, those in facilities, budget and fiscal, DMH, LACOE and CBOs, but all with overlapping questions spanning the five domains of interest (organizational culture, fiscal operations, facilities, client service delivery, and staffing/hiring/training).

- There was consistency in interviewers – the same individuals conducted the Department interviews and focus groups – with the same note-taker to maintain consistency; the only exception was Dr. Jorja Leap's interview with Sheila Mitchell.
- Researchers debriefed after interviews and focus groups to discuss major findings/themes and talk through the process if any clarification was needed or to ensure both researchers identified similar themes.
- Researchers were in contact regularly to discuss specific and cross-cutting themes. After approximately 200 interviews were conducted, a brief report of major findings was disseminated to the larger research team.
- After all department interviews and focus groups were conducted, researchers compiled a list of more than 55 categories/themes. They also uploaded all transcripts into Atlas TI. Two researchers (one from RDA and one from Leap) were responsible for coding all transcripts using these 55 categories/themes. The initial coding process took two weeks. First, each coder coded the same transcript and then we worked through similarities or differences. Then, we continued to compare coding of different transcripts to ensure inter-rater reliability. We also maintained an ongoing log of questions about codes or themes that would be answered on future calls or in the actual log/document.
- After all transcripts were coded, we performed queries in Atlas that pulled together all the quotes that were coded for each theme. For example, for the theme "relationship between probation and CBOs" the query was a 45-page document. We then read the queries numerous times and identified major findings that were most consistently cited by a broad range of interviews. We then developed a system of color-coding to go through all the quotes in the query document and highlighted (via color-coding) all the direct quotes that pertained to a specific finding. We continually checked in with the team member(s) who had been present at the interviews to validate our findings.

Appendix B. List of Department Trainings

Field Trainings		
• Traffic Accident Reporting Procedures • GPS Training • Social Media: Investigations, Threats, and Solutions • Active shooter for Probation • Homelessness and Reentry • ATC Responsivity • ATC 2.0 • Overview of Adult Field Supervision • EBP Training	• Intro to EBP • Implementing EBP • Conflict Management • FOSTT (Phase 1+2) • Synthetic Drugs • Bias vs performance • Prob. Supervision of Adult Clients with MI • Field Contact: Situational Awareness • Police and Probation in Schools	• Armed Academy • County Jail Gang Investigations • Determinate Sentencing Law Advanced • Supervision of Juvenile Sex Offender • SEO Academy • Juvenile Field Policy Meeting

Facilities Trainings		
• Enhance Supervision T4T • Suicide Prevention • Soft Restraints • Child Abuse Prevention and Reporting • SCM T4T • ART	• DOJ Telecommunications Training • SCM Recertification • JBI Web Based Training • RTSB HOPE Center • Hope Center Policy Training	• ART Booster • Lifeguard Training • Water Safety Pool Supervision • ES/SP • LA Model Training

Data Systems Trainings		
• LS/CMI • PEMRS • LS/CMI Implementation • LS/CMI Booster • PEDMS 2.0 • MS Project *	• APS Fundamentals • Adult Systems • PCMS Overview • Microsoft Advance • Outlook 365 • LARRC	• Microsoft Excel Advanced • Learning Portal System Update • Microsoft Excel Essentials • PREA

Custodial Services Trainings		
• Enhanced Supervision • Active Shooter • Soft Restraint • Standard First Aid • GPS Training	• First Aid/CPR • FOSTT (handcuffing) • Promoting Safe Environments	• De-Escalation • Field Contact: Situational Awareness • RTSB HOPE Center

Leadership Development Trainings		
• DPO I • PO Educational Advocacy Training • Manager's Leadership Academy (CPOC)	• DBT Manager's Training • Secrets to Being a Great Trainer • Persuasive Communication Skills	• Lesson Plan Development • Department of Workforce Development: Aging

Core Trainings		
• FPOC • JCOC	• DBT • Supervisor	• FPOC
Social Services Trainings		
• Child Abuse Prevention and Reporting • Homelessness and Reentry • Suicide Prevention • Think Trauma Implementation • ART • DBT Core • CSEC	• RTSB/DSB Child Abuse T4T • Substance Abuse and Recognition • Embracing the diversity of GLBTQ Youth • Anger Management • Integration of Care (PSB) • Prob. Supervision of Adult Clients with MI	• Police and Probation in Schools • ART Booster • Mental Health 101 • Strength Based Probation Case Management • Mental health Simulations

Appendix C. Fiscal Allocations and Expenditures for Key Funding Streams

County General Fund

YEAR	REVENUES				EXPENDITURES/APPROPRIATIONS			
	Adopted	Actual	Variance	VAR %	Adopted	Actual	Variance	VAR %
General Operations								
2012-13	$335,380,000	$278,134,202	$57,245,798	17%	$813,552,000	$756,112,031	$57,439,969	7%
2013-14	$342,914,000	$302,840,618	$40,073,382	12%	$837,572,000	$773,330,458	$64,241,542	8%
2014-15	$340,634,000	$317,216,463	$23,417,537	7%	$862,033,000	$821,875,916	$40,157,084	5%
2015-16	$350,661,000	$312,244,944	$38,416,056	11%	$895,954,000	$861,140,797	$34,813,203	4%
Juvenile Court Wards								
2012-13	$-	$-	$-		$2,891,000	$1,273,054	$1,617,946	56%
2013-14	$-	$-	$-		$2,391,000	$1,576,213	$814,787	34%
2014-15	$-	$9,107	$(9,107)		$2,641,000	$2,514,281	$126,719	5%
2015-16	$-	$(5,464)	$5,464		$3,291,000	$3,243,768	$47,232	1%
Field Services								
2012-13	$141,324,000	$106,370,016	$34,953,984	25%	$235,509,000	$194,506,752	$41,002,248	17%
2013-14	$148,338,000	$105,774,782	$42,563,218	29%	$245,193,000	$208,881,659	$36,311,341	15%
2014-15	$110,676,000	$101,685,813	$8,990,187	8%	$247,496,000	$222,971,274	$24,524,726	10%
2015-16	$149,023,000	$122,524,757	$26,498,243	18%	$254,314,000	$236,886,374	$17,427,626	7%
Juvenile Institutions								
2012-13	$76,972,000	$64,374,001	$12,597,999	16%	$337,003,000	$333,124,575	$3,878,425	1%
2013-14	$77,319,000	$92,234,182	$(14,915,182)	-19%	$355,653,000	$339,201,085	$16,451,915	5%
2014-15	$86,766,000	$100,992,930	$(14,226,930)	-16%	$363,373,000	$359,288,496	$4,084,504	1%
2015-16	$89,811,000	$100,789,347	$(10,978,347)	-12%	$371,422,000	$360,363,999	$11,058,001	3%
Special Services								
2012-13	$100,869,000	$93,340,728	$7,528,272	7%	$119,303,000	$112,540,405	$6,762,595	6%
2013-14	$101,042,000	$90,287,837	$10,754,163	11%	$103,535,000	$97,884,913	$5,650,087	5%
2014-15	$94,403,000	$97,809,885	$(3,406,885)	-4%	$111,102,000	$103,639,711	$7,462,289	7%
2015-16	$94,053,000	$83,137,205	$10,915,795	12%	$124,467,000	$118,786,022	$5,680,978	5%
Support Services								
2012-13	$16,215,000	$14,049,457	$2,165,543	13%	$126,267,000	$114,667,245	$11,599,755	9%
2013-14	$16,215,000	$14,543,818	$1,671,182	10%	$130,800,000	$125,786,559	$5,013,441	4%
2014-15	$16,215,000	$4,900,402	$11,314,598	70%	$137,421,000	$133,462,154	$3,958,846	3%
2015-16	$17,774,000	$5,799,099	$11,974,901	67%	$142,460,000	$141,860,635	$599,365	0%
CBO Contracts								
2012-13	$-	$-	$-		$4,211,000	$3,235,888	$975,112	23%
2013-14	$-	$-	$-		$3,855,000	$2,520,569	$1,334,431	35%
2014-15	$-	$-	$-		$5,437,000	$3,466,177	$1,970,823	36%
2015-16	$-	$-	$-		$4,899,000	$2,571,447	$2,327,553	48%
TOTALS								
2012-13	$670,760,000	$556,268,404	$114,491,596	17%	$1,638,736,000	$1,515,459,951	$123,276,049	8%
2013-14	$685,828,000	$605,681,236	$80,146,764	12%	$1,678,999,000	$1,549,181,455	$129,817,545	8%
2014-15	$648,694,000	$622,614,600	$26,079,400	4%	$1,729,503,000	$1,647,218,009	$82,284,991	5%
2015-16	$701,322,000	$624,489,888	$76,832,112	11%	$1,796,807,000	$1,724,853,042	$71,953,958	4%

JJCPA

YEAR	BUDGET	SPENT	VARIANCE	VAR%
Screening, Assess, and Treatment				
2012-13	$3,886,997	$3,241,856	$645,141	17%
2013-14	$4,494,000	$4,102,047	$391,953	9%
2014-15	$4,494,264	$4,076,282	$417,982	9%
2015-16	$4,527,514	$3,868,734	$658,780	15%
Multi-Systemic Therapy				
2012-13	$468,108	$347,147	$120,961	26%
2013-14	$513,011	$288,378	$224,633	44%
2014-15	$512,829	$256,008	$256,821	50%
2015-16	$516,623	$206,074	$310,549	60%
Special Needs Court Program				
2012-13	$1,154,181	$636,812	$517,370	45%
2013-14	$1,264,893	$1,264,351	$542	0%
2014-15	$1,264,492	$1,263,361	$1,131	0%
2015-16	$1,273,847	$1,273,838	$9	0%
School-Based Probation Supervision				
2012-13	$8,628,715	$10,229,979	$(1,601,264)	-19%
2013-14	$12,727,334	$10,781,481	$1,945,853	15%
2014-15	$12,727,849	$12,555,270	$172,579	1%
2015-16	$12,822,015	$11,651,378	$1,170,637	9%
Abolish Chronic Truancy Expansion				
2012-13	$375,413	$375,414	$(1)	0%
2013-14	$411,425	$375,198	$36,227	9%
2014-15	$411,187	$411,187	$-	0%
2015-16	$414,229	$414,229	$-	0%
Youth Substance Abuse Intervention				
2012-13	$952,438	$667,522	$284,916	30%
2013-14	$1,043,797	$1,043,797	$-	0%
2014-15	$1,043,883	$1,043,883	$-	0%
2015-16	$1,051,606	$1,051,606	$-	0%
Gender Specific Services				
2012-13	$1,508,804	$711,267	$797,537	53%
2013-14	$1,419,375	$803,989	$615,386	43%
2014-15	$1,419,384	$929,479	$489,905	35%
2015-16	$1,429,886	$796,081	$633,805	44%
After-School Enrichment & Supervision				
2012-13	$1,683,963	$1,717,088	$(33,125)	-2%
2013-14	$1,845,489	$1,567,050	$278,439	15%
2014-15	$1,846,362	$1,700,722	$145,640	8%
2015-16	$1,860,022	$1,513,492	$346,530	19%
Housing-Based Day Supervision				
2012-13	$1,092,871	$739,312	$353,559	32%
2013-14	$1,197,699	$774,820	$422,879	35%
2014-15	$1,197,585	$981,482	$216,103	18%
2015-16	$1,206,445	$1,105,730	$100,715	8%
High Risk/High Needs Program				
2012-13	$5,245,722	$4,916,902	$328,820	6%
2013-14	$5,748,901	$4,894,171	$854,730	15%

2014-15	$5,749,302	$4,598,314	$1,150,988	20%
2015-16	$5,791,839	$4,681,458	$1,110,382	19%
Inside Out Writing				
2012-13	$198,986	$167,838	$31,148	16%
2013-14	$218,075	$199,618	$18,457	8%
2014-15	$217,863	$215,676	$2,187	1%
2015-16	$219,475	$204,991	$14,484	7%
New Directions Program				
2012-13	$-	$-	$-	
2013-14	$-	$-	$-	
2014-15	$-	$-	$-	
2015-16	$2,966,250	$397,091	$2,569,159	87%
Enhanced School and Community-Based Services (BOS Allocated)				
2012-13	$-	$-		
2013-14	$-	$-	$-	
2014-15	$-	$-	$-	
2015-16	$4,820,000	$156,459	$4,663,541	97%
JJCPA TOTALS				
2012-13	$25,196,198	$23,751,138	$1,445,060	6%
2013-14	$30,883,999	$26,094,901	$4,789,098	16%
2014-15	$30,885,000	$28,031,665	$2,853,335	9%
2015-16	$38,899,751	$27,321,160	$11,578,591	30%

YOBG

YEAR	BUDGET	SPENT	VARIANCE	VAR %
Risk and Needs Assessments				
2012-13 Salaries & Benefits	$243,000	$124,180	$118,820	49%
2012-13 Total	$347,000	$124,180	$222,820	64%
2013-14 Salaries & Benefits	$243,000	$109,252	$133,748	55%
2013-14 Total	$550,000	$109,252	$440,748	80%
2014-15 Salaries & Benefits	$243,000	$109,734	$133,266	55%
2014-15 Total	$550,000	$109,734	$440,266	80%
2015-16 Salaries & Benefits	$243,000	$125,905	$117,095	48%
2015-16 Total	$550,000	$125,905	$424,095	77%
Camps: CEO/CGR/CDG/CRM (data come from different sources; variance reflects actual expenditures on camps not only YOBG-approved values)				
2012-13 Salaries & Benefits	$15,424,657	$24,141,026	$(8,716,369)	-57%
2012-13 Total	$16,794,657	$28,066,054	$(11,271,397)	-67%
2013-14 Salaries & Benefits	$16,462,000	$23,264,621	$(6,802,621)	-41%
2013-14 Total	$17,832,000	$27,734,379	$(9,902,379)	-56%
2014-15 Salaries & Benefits	$17,832,000	$26,037,041	$(8,205,041)	-46%
2014-15 Total	$17,982,000	$30,942,149	$(12,960,149)	-72%
2015-16 Salaries & Benefits	$17,812,000	$29,284,039	$(11,472,039)	-64%
2015-16 Total	$17,832,000	$27,734,379	$(9,902,379)	-56%
Aftercare and Reentry Services				
2012-13 Salaries & Benefits	$2,972,000	$1,304,678	$1,667,322	56%
2012-13 Total	$3,367,000	$1,629,927	$1,737,073	52%
2013-14 Salaries & Benefits	$2,972,000	$1,603,447	$1,368,553	46%
2013-14 Total	$3,167,000	$2,204,677	$962,323	30%
2014-15 Salaries & Benefits	$2,972,000	$2,252,004	$719,996	24%
2014-15 Total	$3,017,000	$2,753,148	$263,852	9%
2015-16 Salaries & Benefits	$2,972,000	$2,448,832	$523,168	18%
2015-16 Total	$3,017,000	$2,753,148	$263,852	9%
Program Administration and Evaluation				
2012-13 Salaries & Benefits	$297,000	$192,893	$104,107	35%
2012-13 Total	$297,000	$192,893	$104,107	35%
2013-14 Salaries & Benefits	$297,000	$183,345	$113,655	38%
2013-14 Total	$297,000	$183,345	$113,655	38%
2014-15 Salaries & Benefits	$297,000	$181,501	$115,499	39%
2014-15 Total	$297,000	$184,667	$112,333	38%
2015-16 Salaries & Benefits	$297,000	$167,657	$129,343	44%
2015-16 Total	$297,000	$167,657	$129,343	44%
Life Skills Contract				
2012-13 Salaries & Benefits	$-	$-	$-	
2012-13 Total	$-	$-	$-	
2013-14 Salaries & Benefits	$1,000,000	$-	$1,000,000	
2013-14 Total	$1,000,000	$-	$1,000,000	
2014-15 Salaries & Benefits	$1,000,000	$-	$1,000,000	
2014-15 Total	$1,000,000	$-	$1,000,000	
2015-16 Salaries & Benefits	$-	$-	$-	
2015-16 Total	$-	$-	$-	
YOBG TOTALS				
2012-13	$20,805,657	$30,013,054	$(9,207,397)	-44%
2013-14	$22,846,000	$30,231,654	$(7,385,654)	-32%
2014-15	$22,846,000	$33,989,698	$(11,143,698)	-49%
2015-16	$21,696,000	$30,781,089	$(9,085,089)	-42%

AB 109

ONGOING COSTS	BUDGET	SPENT	VARIANCE	VAR %
Salaries & Employee Benefit				
2012-13	$46,393,000	$42,123,166	$4,269,834	9%
2013-14	$50,901,000	$52,422,448	$(1,521,448)	-3%
2014-15	$53,583,000	$61,670,263	$(8,087,263)	-15%
2015-16	$58,026,000	$65,274,912	$(7,248,912)	-12%
Services & Supplies				
2012-13	$24,858,000	$21,996,272	$2,861,728	12%
2013-14	$23,290,000	$17,896,915	$5,393,085	23%
2014-15	$19,052,000	$12,828,469	$6,223,531	33%
2015-16	$19,052,000	$14,038,964	$5,013,036	26%
Commitments				
2012-13	$-	$-	$-	
2013-14	$-	$-	$-	
2014-15	$-	$6,731,660	$(6,731,660)	
2015-16	$-	$2,007,808	$(2,007,808)	
ONE-TIME COSTS	BUDGET	SPENT	VARIANCE	VAR %
Programs				
2012-13	$-	$2,347,694	$(2,347,694)	
2013-14	$6,586,000	$5,159,779	$1,426,221	22%
2014-15	$3,170,000	$3,170,000	$-	0%
2015-16	$3,600,000	$1,634,227	$1,965,773	55%
Capital Assets				
2012-13	$2,628,000	$3,258,749	$(630,749)	-24%
2013-14	$-	$1,287,629	$(1,287,629)	
2014-15	$-	$381,686	$(381,686)	
2015-16	$900,000	$176,561	$723,439	80%
AB 109 TOTALS				
2012-13	$73,879,000	$69,725,880	$4,153,120	6%
2013-14	$80,777,000	$76,766,771	$4,010,229	5%
2014-15	$75,805,000	$84,782,078	$(8,977,078)	-12%
2015-16	$81,578,000	$83,132,471	$(1,554,471)	-2%

Attachment D. Model Jurisdiction Report

LA Probation Governance Study

Model Jurisdiction Report

Prepared by:

Resource Development Associates

September 2017

LA Probation Governance Study

Model Jurisdiction Report

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About Resource Development Associates

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other states. Our mission is to strengthen public and non-profit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to planning, grant-writing, organizational development, and evaluation.

Table of Contents

Executive Summary

This report highlights probation practices that jurisdictions from across the country have implemented in an effort to improve community supervision for youth and adults. The jurisdictions highlighted in this report are not necessarily model jurisdictions in every way. Instead, they are jurisdictions that have effectively implemented evidence-based and best practices in probation supervision in order to support improved outcomes for youth in county custody and youth and adults under community supervision.[i]

RDA draws on practices that have been implemented in numerous jurisdictions across the country including:

- ❖ Maricopa County, AZ
- ❖ Multnomah County, OR
- ❖ New York City, NY
- ❖ San Francisco County, CA
- ❖ San Joaquin County, CA
- ❖ Santa Clara County, CA
- ❖ Solano County, CA
- ❖ Washington D.C.
- ❖ Wayne County, MI

Much of the information included from New York and Washington, D.C., stems from a site visit to each jurisdiction that RDA organized for a cross-system LA County stakeholder group to attend. RDA conducted follow-up interviews with staff from New York and Washington, D.C., as well as with staff and leadership from the other jurisdictions delineated above. Additionally, RDA reviewed a variety of reports and evaluations related to these jurisdictions, as well as departmental documentation, such as policies and procedures, job descriptions, etc. to gather additional details around the work highlighted in this report.

Chapter 1: Organizational Assessment

This section highlights factors that impact or are related to organizational performance and outcomes. We assess factors across four domains: organizational culture; external environment; organizational capacity and structure; and racial disparities.

Organizational Culture

Organizational culture is a system, both explicit and implicit, of shared assumptions, values, and beliefs, which govern how people behave in an organization. This section describes the New York City Department of Probation's (NYC DOP) efforts to shift its organizational culture toward one that more explicitly focused on client wellbeing and partnerships with the communities in which most probation clients reside.

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[i] There is no perfect jurisdiction, nor is there any jurisdiction truly comparable to Los Angeles County. Moreover, differences in legal landscape of different jurisdictions and the consequent variation in the roles of probation departments across the country makes direct comparisons across all functions impossible.

As part of a new approach focused on client well-being and healthy development, NYC DOP launched the Neighborhood Opportunity Network (NeON) initiative (a community-based probation model discussed in greater detail below) in 2011. Initially, a number of probation officers expressed uncertainty with the new approach, so NYC DOP took steps to shift the organizational culture and clarify new expectations for staff.

Among the most significant lessons learned by those who led NYC DOP's culture shift were the importance of:

❖ Building staff buy-in and morale;
❖ Engaging staff in the change process by soliciting input on ways to implement change;
❖ Shifting symbols that exist within the physical and social environment;
❖ Identifying champions of change within the organization; and
❖ Over-messaging the new vision and mission along with successes along the way.

These lessons learned highlight an important notion: In order to build buy-in and improve morale, leadership must explain the benefits of implementing new supervision approaches and highlight early successes.

External Environment

Probation departments, like all public agencies, are embedded within external environments that impact operations, opportunities, and barriers. Probation departments must work with and respond to outside inquiries and scrutiny from advocacy organizations, local government, and media outlets, among others. It is imperative that probation departments develop trusted relationships with these external bodies in order to manage pressures that could arise from disparate, often competing, perspectives.

In order to develop productive relationships with political leaders (e.g., City Council and the Board of Supervisors), department leadership from Washington, D.C.'s Department of Youth Rehabilitation Services (DYRS) and Maricopa County's Probation Department both focus on developing trust with political leaders and proactively sharing data to ensure that political leaders have an accurate understanding of their operations and client populations.

DYRS has been similarly proactive about sharing data with the local media, as well as intentional about promoting stories about organizational and client successes to build support for many of their reform efforts. In order to strengthen relationships with local community members, DYRS facilitated a collaborative process with advocates, ministers, and other community stakeholders to build a community-based continuum of care.

Organizational Capacity & Structure

Organizational capacity refers to an organization's internal resources, processes, and capabilities. This section highlights how the organizational structure of probation departments, including their strategic leadership and planning, internal communication processes, and data capacity impact operations and efficiency.

As the second largest department in the country, NYC DOP has developed operational structures that work together to create an efficient and effective organization. NYC DOP takes a regionalized approach so that under Juvenile and Adult Operations there are Associate Commissioners who oversee Assistant Commissioners and Supervisors who are responsible for operations in each of the City's five boroughs. The Department ensures there are structures in place to encourage regular coordination and collaboration between each region and division.

In order to be most successful in organizational change, leaders need to create a shared desire to attain a goal or move in a particular direction, and also empower others to provide leadership and become champions of change. New York's strategic planning process involved staff, clients, and the community in order to enhance buy in within each group around the direction of the Department. Furthermore, NYC DOP internally communicated their mission, vision, goals, and objectives after developing their strategic plan with valuable input from staff, clients, and the community. In addition, they also clearly communicated the strategies and tactics they intended to implement in order to reach these goals.

Maricopa County's Probation Department and Washington D.C.'s DYRS both use data for quality assurance and performance management in order to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices to promote positive organizational- and client-level outcomes. Consistently identifying department goals and using data to track their implementation is paramount to the success of the organization.

Racial Disparities

While there is substantial variation in the total numbers and rates of individuals on probation in counties across the country, there are clear racial disparities that exist with regards to who is under supervision. The key themes highlighted across jurisdictions that are actively working to reduce racial disparities are the importance of using data to identify disparities and continuously collaborating with cross-system stakeholders to identify where disparities exist and how they can be reduced. For example, San Joaquin County Probation and Santa Clara County Board of Supervisors established a data team and the Juvenile Justice System Collaborative (JJSC) respectively, to review data, identify where disparities exist, and establish potential mechanisms for reducing disparities. In addition, Multnomah County is currently focused on reducing disparities in juvenile detention by reducing biases found in their detention risk assessment instrument (RAI).

Chapter 2: Hiring, Staffing, and Training

The labor force of any organization is crucial to its success. Hiring candidates with the necessary skills and experience to fulfill a department's mission, promoting effective workforce management, and offering high-quality and comprehensive workplace training and development programs all contribute to a well-functioning and productive department. This section describes best practices in hiring, staffing, and training within several jurisdictions across the country.

Hiring

Probation in New York City and Solano County emphasize the importance of transparency and communication with regards to hiring to ensure that candidates possess a clear understanding of a probation officer's role and the department's approach. By having detailed job descriptions and holding information sessions these jurisdictions effectively provide candidates with a clear understanding of the expectations of the department, helping ensure that individuals who apply for jobs are best suited to carry out the department's mission.

Staffing

Leadership from Multnomah and Solano County expressed the importance of using data to inform staffing decisions. Regular monitoring and forecasting of staff caseloads enables departments to make immediate adjustments so that staff have similarly assigned workloads. Additionally, regular assessment and discussion of staff performance helps ensure that staff's responsibilities align with their strengths.

Multnomah County's Department of Community Justice (DCJ) uses dashboards and assessments to monitor and assess staff workloads. The dashboards identify any increases or decreases in populations, which allows management to adjust staffing in response. Caseloads are also constantly monitored to ensure that they are meeting target caseload size. Solano County Probation also bases caseload sizes around the specific activities and interactions expected of officers within the Probation Department, and the time it takes to successfully complete these activities with each client. Solano County even hired a workload consultant to identify exactly how much time it takes probation officers to complete their work.

Training

Though all probation departments are required to meet state training standards for new and continuing staff, they also generally have flexibility to select what types of trainings are provided and how these trainings are implemented. Interestingly, while probation leadership from New York City, Multnomah County, and Maricopa County spoke about certain types of trainings that they have found to be successful—such as restorative practices, EPICS, or leadership skills—they all stressed the importance of sustaining and maintaining skill development. They identified booster trainings, observational assessments, and individual coaching as necessary to reinforce and deepen skill development and ensure uniform implementation across the department.

Chapter 3: Client Service Delivery

Probation departments should focus their services on clients who pose a legitimate risk to public safety, and utilize validated risk assessment and need assessment tools to determine each client's risk for recidivism and supervision intensity, as well as to identify service needs to be addressed through strengths-based case management and connections with services.[1] Successful community supervision is highly dependent on the rapport built between POs and their clients, and increasingly probation officers

are applying motivational interviewing techniques, cognitive behavioral interventions, and trauma-informed approaches to help build rapport with their clients and enhance their readiness for change.

Supervise the Right People the Right Amount

This section highlights work being done in New York, Multnomah County, Maricopa County, and Wayne County to promote public safety through a harm reduction model. In New York City, adults who score low-risk on a risk and needs assessment tool are put on an administrative caseload with only telephone or kiosk check-ins. By not actively supervising low-risk clients, this opens up additional resources dedicated for working with medium and high-risk populations. Similarly, in Maricopa County, low-risk cases also do not report in person, and some low-risk cases go unsupervised (with conditions attached that they must successfully complete). Most notably, as a part of the County's Justice Reinvestment Strategy, individuals can earn time credit and early termination from probation. In Multnomah County, a Day Reporting Center (DRC) that is non-residential, highly structured, and targets criminogenic needs is offered as an alternative to incarceration for probation clients that many other jurisdictions would hold in jail, including probation violators. Finally, Wayne County has placed emphasis on implementing and utilizing prevention and diversion options to reduce the number of youth officially processed in the County.

Structured Decision Making

SDM is the use of a formal and standardized procedure for guiding probation officers in their recommendations to the court, particularly around client dispositions and placements. The goal of SDM is to ensure that probation recommendations are more consistent, fair, and effective. In implementing SDM, probation departments generally use a grid that lists out what sorts of recommendations should be made based on risk assessment results and offense severity.

NYC DOP's Commissioner of Probation received input from an array of stakeholders prior to implementing SDM so that by the time they finalized the tool and began implementation they had a great deal of buy-in from multiple stakeholders. Preliminary data indicates that since SDM implementation, the use of placement has gone in NYC. Multnomah County has implemented an externally validated detention risk assessment instrument (RAI) to support structured decision-making in detention screening as well.

Case Management and Supervision Approach

Probation officers should utilize validated risk and need assessment tools to determine clients' risk for recidivism and supervision intensity, as well as service needs to be addressed through strengths-based case management and connections with services. Additionally, successful probation officers build rapport with their clients by striking a balance between law enforcement and intervention roles, and by applying techniques such as motivational interviewing techniques, cognitive behavioral interventions, and trauma-informed approaches.

RDA highlights NYC DOP's innovative approach to case management and supervision, which includes spending substantial upfront time engaging with clients and developing individualized action plans (IAPs) and the establishment of Neighborhood Opportunity Networks (NeONS). NeONs are community-based probation offices located in the communities where the largest numbers of youth and adult probation clients live. Here, probation clients can check-in on computerized kiosks, meet in-person with their POs, and access services and programs through extensive partnerships with community-based organizations and public agencies.

Solano County and Multnomah County have undergone reform efforts to their Juvenile Divisions in order to improve youth outcomes under supervision. For example, the Juvenile Division of the Solano County Probation Department has prioritized training on non-coercive techniques and skills-development among probation officers and also implemented a Response Matrix to create greater consistency in probation officer responses to violations of clients' terms of probation. In an effort to improve outcomes for high-risk youth under supervision and their families in Multnomah County, the Juvenile Division follows the Functional Family Probation Model, a model that engages, motivates, assesses, and works with high-risk youth and their families.

Supervising Transitional Age Youth

Neurological research verifies that young adults (ages 18-25) are developmentally distinct from older adults and more similar to their younger counterparts. Because of this, the transition to adulthood is especially challenging for justice-system-involved young adults, as they are more likely to have personal histories that can further disrupt psychosocial development. For these reasons, probation departments across the country are developing specialized units to work with the transitional age youth (TAY) population.

Within San Francisco's Adult Probation Department there is a specialized unit that supervises TAY ages 18 to 25 and in New York City there is the "Anyone Can Excel" (ACE) unit for 16-24 year olds. Both units use a strength-based approach towards case management and service delivery, and prioritize probation officers working to build rapport with their clients through the development of individualized case plans. For TAY clients, service delivery focuses on addressing their comprehensive needs by providing and connecting them with evidence-based services and critical resources such as housing, mental health treatment, and vocational training through partnerships with community providers. In addition, NYC DOP formally partners with individuals with a history of incarceration to provide a transformative mentoring intervention designed to meet young people where they are in the process of pro-social engagement.

Continuum of Services

In order to provide individuals under community supervision an opportunity to change course and not further penetrate the justice system, it is imperative for an accessible suite of services to be in place. Probation departments should collaborate with community members in the planning process in order to

best identify the needs of the community, and develop a continuum of services that meet the needs of individuals on probation.

Above and beyond developing a system of services to support clients on probation, New York and Washington, D.C. shifted their approach to maintain a central focus on leveraging indigenous supports and providing meaningful services to justice-involved youth and adults within the communities they live. Both jurisdictions established centers, namely the NeONS and MLK Achievement Center, which are designed to support basic needs and provide opportunities including education, employment, mental health, and substance use services, among others. Furthermore, NYC DOP and Washington, D.C. foster collaborative efforts to reduce high-risk behavior by partnering with community organizations, agencies, and educational institutions to provide an array of services including transformative mentoring and parent peer support programs.

Juvenile Diversion

Research reflects a shifting juvenile justice paradigm acknowledging that youth should be diverted from formal processing to the greatest extent possible. This is because youth on probation experience higher reoffending rates than comparable youth whose cases are diverted rather than processed in juvenile court.[2] This section highlights the emphasis that is placed on juvenile diversion in Wayne County and Multnomah County, respectively.

In Wayne County, the Juvenile Services Division relies largely on prevention and diversion programs to provide services for youth. Prevention programs are intended to eliminate court contact for at-risk youth altogether, while diversion programs provide court-involved youth an opportunity to stop further penetration into the juvenile system. Approximately 1,200 referrals to diversion programs and 7,500 referrals to prevention programs were made in the 2013-14 fiscal year. At the same time, the state ward caseload dropped to approximately 620 youth, compared to approximately 3,400 youth in 1999. Recidivism also dropped from above 50% to 16% and the County incurred drastic cost saving through the reduced reliance on state training and residential care facilities.[3] Similarly, youth in Multnomah County who have committed low-level offenses for the first time are typically diverted and referred out to the Community Healing Initiative (CHI), which are designed to decrease violence by providing culturally appropriate community support to youth and families.

Chapter 4: Facilities

This section highlights that when youth are incarcerated, they should remain in the communities where they live (or near where they live) so that they remain close to their prosocial supports and their lives are interrupted to the least extent possible. The facilities they are detained/placed in should be clean and safe, and offer youth appropriate living conditions.

Location

When jurisdictions commit to keeping young people close to home and probation departments make a commitment to using SDM in determining recommendations for placements, they typically also need to build out a local continuum of supports and services, as well as less secure placement alternatives. A key goal of NYC's Close to Home Initiative was to keep young people from New York City who are put in placement near their families and home communities. Previously, young people who had been adjudicated as juvenile delinquents were placed in facilities hundreds of miles away, where it was difficult for them to visit with their families, remain connected to their communities, or earn school credits. Under Close to Home, young people are placed in or near the five boroughs, close to an array of resources that were built out to support their rehabilitation and their safe re-integration into local communities

Juvenile Detention and Placement Facilities

This section highlights New York's Leake & Watts Non-Secure Placement facility, Washington, D.C.'s New Beginnings Secure Placement Facility, and Santa Clara County's William F. James Boys Ranch, each which borrow from the Missouri Model. None of these facilities look like jails; instead they are developmentally-appropriate environments conducive to the rehabilitate goals of the probation department. The physical layouts and environments are very different from typical juvenile facilities, and they provide a therapeutic atmosphere for detained youth where large emphasis is placed on education, as well as addressing the criminogenic needs of youth.

Youth placed at Leake & Watts attend school each day at Passages Academy in Belmont, which is operated by the New York City Department of Education. Staff from the facility travel with youth to and from school, and also accompany youth at school throughout the day. A key element of the Leake & Watts facility is that program staff target criminogenic risk and work to help youth develop tools and skills that they will need to address personal challenges upon release.

The New Beginnings Facility is a co-ed facility that houses the Maya Angelou Academy. Classes are co-ed, and the educators from Maya Angelou Academy see it as their responsibility to help address the barriers to learning that their students present, including trauma and poor social skills. Classes are designed to be as enriching as the classes youth would receive if they were at a high-quality community-based high school, and they have authors, poets, and young playwrights come in and present on-site, as well as mentors from American University.

In Santa Clara County, under former Chief Sheila Mitchell's leadership, the average census in juvenile hall dropped from nearly 370 youth per day in 2004 to approximately 140 youth per day in 2013. Santa Clara County operates co-ed facilities, and in alignment with the Missouri Model, the County implemented the Enhanced Ranch Program (ERP) model at the William F. James Boys Ranch, moving from prison-style barracks to small family-like settings where staff implemented a cognitive behavioral service delivery model to improve youth outcomes.

Chapter 5: Fiscal Operations and Financial Management

Regarding fiscal operations and the financial management of probation departments, it is important to note that there are few, if any, model jurisdictions or jurisdictions that are comparable to Los Angeles County. However, there are a number of practices and an emerging body of research to inform a study of financial management. Methodologically, RDA conducted an extensive, but focused literature review and interviewed several probation leaders from California and New York to gain from their experiences.

Community Partnerships

Challenges with lengthy contracting and regulatory processes are not unique to any one jurisdiction, and RDA found a range of practices employed by various jurisdictions as means of more effectively partnering with the communities they serve. These practices also show solution-oriented strategies that help jurisdictions circumvent bureaucratic requirements and realize their goals and objectives. For instance, one alternative is an agency-to-agency partnership. Public-private partnerships can also be an effective means of reducing barriers in contracting and procurement processes, although they are more difficult to approach and take political buy-in and leadership to achieve. Another way to formally partner with the private sector is through master contracting with a CBO that can more easily distribute funds to the community or subcontract to other CBOs.

One research study of several public agencies within a single metropolitan area revealed a number of strategies to deal with barriers to effectively contracting with community partners. This study found that "governmental agencies typically did more than simply issue RFPs and wait for responses. There were often formal and informal initiatives taken both before and after the RFP had been issued."[4] The staff took a more active, targeted approach to outreach as a means of engaging CBOs and persuading them to participate. In addition, there are ways to reform internal procurement or contracting processes to be more effective.

Participatory Management Approaches

In a participatory management framework, staff have more opportunities to partake in decision-making that relates to their own work and working conditions. The Clinton/Gore-era 'Reinventing Government' movement highlighted the benefits of participatory management from an administrative perspective. Research from that period uncovered the dysfunction of hierarchical, centralized bureaucracies. Reinventing government under a participatory management framework meant envisioning new roles for public sector leaders. These roles included:

1. Developing a clear vision;
2. Creating a team environment;
3. Empowering and communicating with employees;
4. Putting clients first;
5. Cutting red tape; and
6. Creating clear accountability.

Implementing these six practices can transform the culture of governmental bureaucracies to be more inclusive of staff in decision-making processes. The literature has shown participatory management to reduce employee stress, increase job satisfaction, and reduce turnover.[5][6][7]

Financial management practices such as accounting, procurement, contracting, etc., are not neutral, disconnected, or weak activities that occur in a black box. Rather, when 'loosely coupled' with operational practices, financial management can be a mechanism imbued with the power to bring consensus between the competing drives of operations and administration.[8] As many accounting researchers have argued, financial management must be seen within the setting in which it is deployed.[9] Because the management of administrative functions is woven into the institutional fabric in which it sits, the research and practices illustrated in the section above demonstrate that, when it comes to managing the finances of a large public agency, it is essential to unify operations and administration under the umbrella of a shared vision and common goal.

Introduction

Across the country, many probation departments are implementing new strategies, including evidence-based practices and community-based services, while placing increased emphasis on rehabilitation and youth development in order to promote public safety. In addition, there is an increased focus on harm reduction through supervising only those who need to be supervised, for the amount of time they should be under supervision.[10 11 12 13 14 15 16 17] Building on RDA's *Review of Best Practices in Probation*, this report highlights probation practices that jurisdictions from across the country have implemented in an effort to improve community supervision for youth and adults.

Because there is no such thing as a perfect jurisdiction, and there is also no jurisdiction exactly like Los Angeles County's, RDA researched jurisdictions across the country to identify those that have implemented model practices in specific areas, such as data-driven performance management or strategic leadership and planning. The jurisdictions highlighted in this report are not necessarily model jurisdictions in every way. Instead, they are jurisdictions that have effectively implemented evidence-based and best practices in probation supervision in order to support improved outcomes for youth in county custody and youth and adults under community supervision.

Organization of the Report

The structure of this report largely mirrors the structure of RDA's *LA Probation Assessment* report. The first section examines model practices at the organizational level, focusing on elements such as culture and infrastructure. Each subsequent section highlights model practices across four specific functions: staffing, hiring, and training; client service delivery; juvenile facilities; and fiscal operations.

Review of Jurisdictions Included in Report

As noted above, there is no perfect jurisdiction, nor is there any jurisdiction truly comparable to Los Angeles County. Moreover, differences in legal landscape of different jurisdictions and the consequent variation in the roles of probation departments across the country makes direct comparisons across all functions impossible. For example, in New York City, juvenile facilities are operated by the local child welfare department, the Administration of Children's Services, rather than by the probation department, as in California counties. Moreover, New York City, which operates its own probation department, is a single city that overlays five separate counties. These differences notwithstanding, this report focuses particular attention to the New York City Department of Probation (NYC DOP), the second largest probation department in the Country, and one what has undergone substantial change in organizational culture and approach to client service delivery over the past decade. This report also focuses heavily on the Washington, D.C., Department of Youth Rehabilitative Services (DYRS), an organization that has many of the same functions as LA County's Probation Departments. These two jurisdictions were the subject of site visits coordinated by RDA and attended by a cross-system stakeholder group from LA County.

In addition to drawing on the work being done in New York and Washington, D.C., RDA also draws on probation practices that have been implemented in numerous jurisdictions across the country. Table 1 below summarizes the areas of focus in each jurisdiction highlighted in this report.

Table 1. Summary of Model Practice Areas Highlighted in Each Jurisdiction

Jurisdiction	Model Practice Areas
Maricopa County, AZ	❖ Political Environment ❖ Data Driven Decision Making and Performance Management ❖ Supervise the Right People the Right Amount
Multnomah County, OR	❖ Reducing Racial Disparities ❖ Staffing ❖ Training ❖ Supervise the Right People the Right Amount ❖ Structured Decision Making ❖ Case Management and Supervision ❖ Juvenile Diversion
New York City, NY	❖ Organizational Culture ❖ Community Involvement ❖ Hiring ❖ Training ❖ Supervise the Right People the Right Amount ❖ Structured Decision Making ❖ Case Management and Supervision ❖ Supervising Transitional Age Youth ❖ Continuum of Services ❖ Juvenile Facilities
San Francisco County, CA	❖ Supervising Transitional Age Youth
San Joaquin County, CA	❖ Reducing Racial Disparities
Santa Clara County, CA	❖ Reducing Racial Disparities ❖ Training ❖ Juvenile Facilities
Solano County, CA	❖ Hiring ❖ Staffing ❖ Case Management and Supervision
Washington D.C.	❖ Political Environment ❖ Community Involvement ❖ Media ❖ Data Driven Decision Making & Performance Management ❖ Continuum of Services ❖ Juvenile Facilities
Wayne County, MI	❖ Supervise the Right People the Right Amount ❖ Juvenile Diversion

Methodology

Much of the information included from New York and Washington, D.C., stems from a site visit to each jurisdiction that RDA organized for a cross-system LA County stakeholder group to attend. RDA conducted follow-up interviews with staff from New York and Washington, D.C., as well as with staff and leadership from the other jurisdictions delineated above. Additionally, RDA reviewed a variety of reports and evaluations related to these jurisdictions, as well as departmental documentation, such as policies and procedures, job descriptions, etc. to gather additional details around the work highlighted in this report.

Table 2 and Table 3 below highlight each individual that RDA interviewed for this report, as well as the jurisdiction and/or content area for which they were interviewed.

Table 2. Individuals Interviewed by RDA

Jurisdiction/Content Area	Individual Interviewed
Maricopa County, AZ	❖ **Barbara Broderick**, Chief of Adult Probation
Multnomah County, OR	❖ **Scott Taylor**, Director of Multnomah County Department of Community Justice
New York City, NY	❖ **Sharun Goodwin**, Deputy Commissioner of Adult Operations ❖ **Gineen Gray**, Deputy Commissioner of Juvenile Operations ❖ **Bob Costello**, Assistant Commissioner for Staff Development (also oversees ACE Unit for young adults) ❖ **Stephen Cacace**, Director of Community Resource Unit ❖ **Michael Forte**, Deputy Commissioner of Administration ❖ **Vincent Schiraldi,** Former Deputy Commissioner of Probation
San Francisco County, CA	❖ **Ernest Mendieta**, AB 109 Division Director
San Joaquin County, CA	❖ **Kayce Rane,** Rane Community Development
Santa Clara County, CA	❖ **Sheila Mitchell**, Former Chief of Probation
Solano County, CA	❖ **Christopher Hansen**, Chief of Probation
Washington D.C.	❖ **Vincent Schiraldi**, Former Chief of Staff for the Department of Youth Rehabilitation Services
Wayne County, MI	❖ **Dan Chaney**, Former Director of Wayne County Department of Children and Family Services

Table 3. Individuals Interviewed by RDA, by Content Area

Content Area	Individual Interviewed
Racial Disparities	❖ **James Bell**, Founder and President of Burns Institute
Fiscal Operations & Financial Management	❖ **Michael Forte,** Deputy Commissioner of Administration ❖ **Wendy Still,** Chief of Probation, Alameda County ❖ **Dawn Hawk,** Chief Operating Officer, Philanthropic Ventures Foundation ❖ **Jeanne Woodford,** Former Warden of San Quentin State Prison, Director and Undersecretary of the California

Department of Corrections and Rehabilitation, and Executive Director of Death Penalty Focus
- ❖ **Michael Jacobson,** Executive Director, City University of New York's Institute for State and Local Governance
- ❖ **Christie Myer,** Chief of Probation, Tulare County

Chapter 1: Organizational Assessment

This section highlights factors that impact or are related to organizational performance and outcomes. We assess factors across four domains: organizational culture; external environment; organizational capacity and structure; and racial disparities. Below, we provide key findings before moving into deeper discussions about each domain.

Key Findings

1. In order to successfully shift a probation department's culture, leadership should focus on building staff buy-in, improving morale, and engaging staff in the change process. This includes identifying champions of change and messaging extensively about the organization's mission and vision, as well as promoting successes along the way.
2. Intentionally developing relationships with external entities, including local government, community representatives, and the local media, builds trust to mitigate the impact of setbacks.
3. Involving staff, clients, and the community in the strategic planning process generates buy-in within each group about the direction of the department.
4. Consistently identifying department goals and using data to track their implementation is paramount to the success of the organization.
5. Reducing racial disparities requires ongoing review of data both within a probation department and with law enforcement and community service partners to regularly identify where disparities exist and collaboratively implement mechanisms for reducing them.

Organizational Culture

Organizational culture is a system, both explicit and implicit, of shared assumptions, values, and beliefs, which govern how people behave in an organization. A shared culture has a strong influence on the people in the organization and dictates how they act, talk, and perform their jobs.[18] The section below describes the NYC DOP's efforts to shift its organizational culture toward one that more explicitly focused on client wellbeing and partnerships with the communities in which most probation clients reside.

New York City

As part of a new approach focused on client well-being and healthy development, NYC DOP launched the Neighborhood Opportunity Network (NeON) initiative (a community-based probation model discussed in greater detail below) in 2011. Initially, a number of probation officers expressed uncertainty with the new approach, so NYC DOP took steps to shift the organizational culture and clarify new expectations for staff.

Among the most significant lessons learned by those who led NYC DOP's culture shift were the importance of:

- ❖ Building staff buy-in and morale;
- ❖ Engaging staff in the change process by soliciting input on ways to implement change;

❖ Shifting symbols that exist within the physical and social environment;
❖ Identifying champions of change within the organization; and
❖ Over-messaging the new vision and mission along with successes along the way.

These lessons learned highlight an important notion: In order to build buy-in and improve morale, leadership must explain the benefits of implementing new supervision approaches and highlight early successes.

Building Staff Buy-in and Morale

NYC DOP's leadership utilizes multiple mechanisms to build staff buy-in and morale. One way to foster buy-in for change is to establish a positive workplace environment. The leadership team works to create this positive environment in a number of ways. They develop trainings and continuous coaching opportunities to teach their staff new approaches for working with their clients. They also reward officers for implementing the new practices they have been taught. In addition to working with and rewarding staff at work, leadership also holds department-wide "working parties," such as an annual holiday party and picnics. These gatherings help bring staff who may feel disconnected together so that they have an opportunity to hear about the Department's success, acknowledge exemplary practice by their colleagues, and engage with one another. This helps create greater cohesion among staff and provides leadership an opportunity to recognize specific staff members who are implementing the desired changes.

On top of bringing staff together and highlighting the good work of individuals, the primary mover of staff buy-in and morale is for them to see that the new approaches are resulting in better client outcomes. One probation staff member expressed:

"I've had 32 years in probation, and my work at the NeON has been the most satisfying, the most engaging. It's restorative. We are not looking just at behavior, [we are really] looking at the person. You feel wonderful about what you are doing – you see change in their lives."
– Deputy Probation Officer

This highlights the importance of developing strategies for communicating early successes so that staff can see and hear about the effectiveness of the change (discussed in greater detail in the section "Messaging Success," below).

Engaging Staff in Change

An important mechanism for promoting a positive culture while implementing change is to engage staff in the production of change. New York City's Commissioner of Probation began his tenure with a listening tour, where he and his team asked questions from staff at all levels and divisions about the work environment. This helped to ensure that staff felt heard, and also allowed the Commissioner to receive valuable feedback about practices currently in place.

During the listening tour, the Commissioner and his team asked staff for their perspectives about the strengths and needs of the Department, as well as about their work with their clients and a range of department functions and operations. During the tour, it became clear that there was deep-seated mistrust among staff, and skepticism that leaders were genuinely interested in their input. To demonstrate that they were indeed interested in staff input, leadership followed the listening tour by disseminating a written survey. They ultimately utilized findings from the listening tour and staff survey to develop a simple strategic plan that corresponded to the needs of the Department. This helped staff see that the new leadership team valued their knowledge and input, which helped them develop rapport and begin to repair the mistrust between staff and leadership.

Creating structured opportunities for probation staff to co-create change resulted in not only increased buy-in but also substantive innovation. Probation leaders recognized that some of the most innovative ideas used at the NeONs were generated by staff. These included bringing educational services onsite so individuals can earn their high school diploma or GED, as well as running a sports-focused program that connects clients to mentors and employment training.

Symbolizing Change

Symbols convey meaning and communicate expectations, and are entrenched in the social and physical environments of organizations. The leaders of change within NYC DOP understood the importance of symbols for conveying meaning and communicating expectations. As they advanced change in the City's community supervision approach, they also changed the physical environment by replacing things like the artwork on the walls of probation buildings, so that they would embody hopeful messages (e.g., "If at first you don't succeed, try, try again," "Ask for help," "1. Improve yourself. 2. Change the world. Start here. Start small.").

Figure 1. Symbols of Change at the Bronx NeON
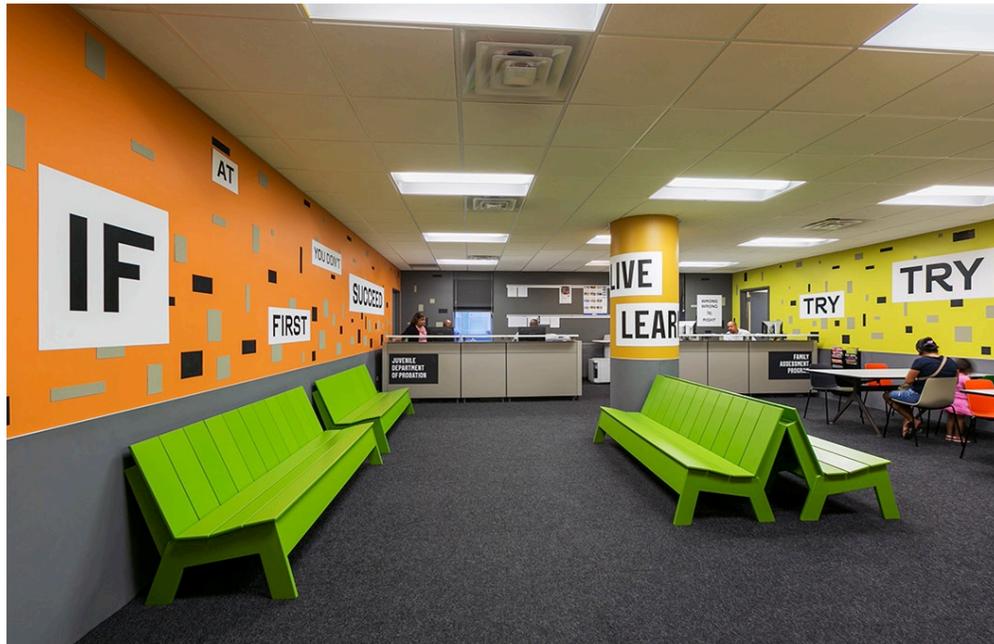
Symbols can also manifest in terminology, and NYC DOP leaders recognized the importance of changing how they talked about their clients. Prior to the reforms, probation staff generally referred to probation clients as "offenders" and "felons," which reduced them to their crime, rather than "clients," which denotes a person deserving of respectful service. Finally, the leaders of change expended time and effort to redesign the physical environment where clients and probation officers meet (see more about NeON on Page 44).

Cultivating Champions

The former Commissioner of Probation and current Deputy Commissioner of Adult Operations expressed that staff are more willing accept counsel and influence from their peers than from outside experts. For this reason, change is more likely to take hold if champions for change are cultivated at every level within the organization. New York used a train-the-trainers model as they moved toward practices like Structured Decision Making, which targets criminogenic need through assessment and case planning and emphasizes youth development and skills development as the intended outcomes of the work. In identifying trainers, they "trained up people who love this stuff to act as champions." In other words, they identified people who already had a rehabilitative orientation and strong relationship skills early on to serve as trainers and to persuade their peers. This created in-house expertise and training resource, and allowed for more trust between trainer and trainee than a traditional training model might afford.

Messaging Success

NYC DOP developed skills around telling their story, both internally and externally, and the former Director of Communications for Probation offered five basic principles for an effective communication strategy:

1. **Do your homework**: Create a strategic plan with no more than five key goals.
2. **Find easy wins**: Early on, identify small (or large) successes among those five goals and communicate those wins internally and externally.
3. **Crowdsource**: Allow staff to contribute their stories to the narrative of a changing department, through video, intranet, facilitated social media/electronic newsletter, etc.
4. **Be creative**: Be prepared to react to external circumstances with creativity and innovation (e.g., Hurricane Sandy caused devastation and NY probation used it as an opportunity to enlist individuals on probation and probation officers to work side-by-side providing relief – then they publicized it).
5. **Believe your own hype**: A message will seem disingenuous if leaders themselves are not committed to the vision it promotes. By contrast, a leader who is passionate about the change he or she is asking for will inspire and motivate people toward that vision.

Key aspects of the communication strategy were keeping things simple by choosing five key goals to highlight in their strategic plan, and then continuously reporting back on these goals. Focusing on no more than five goals makes it much more manageable to clearly communicate progress to staff, which is important for building staff buy-in into the direction of the Department. For external communication, the Department created informational one-pagers they distributed far and wide. For internal communication, one strategy they used was creating shorts with testimonials from probation staff who were using new strategies and approaches, stating very clearly how and why these new approaches had improved their sense of efficacy (Department of Communications staff would prompt staff: "Tell us about a client you have who is doing great," and begin filming). Every other month they would post to the internet a new 2-minute video featuring probation staff having an impact. These videos inspired hope that the job could be rewarding, evoked emotion, and fostered new connections within the agency. They recommended that leaders of change in similar situations should try to find some "easy wins" that they can report on early in the campaign for change to generate enthusiasm and faith in the potential for progress. They also advised that communicators "believe your own hype" because authentic commitment comes through in any communication, internal or external.

External Environment

Probation departments, like all public agencies, are embedded within external environments that impact operations, opportunities, and barriers. Probation departments must work with and respond to outside inquiries and scrutiny from advocacy organizations, local government, and media outlets, among others. It is imperative that probation departments develop trusted relationships with these external bodies in order to manage pressures that could arise from disparate, often competing, perspectives.

driven, and Chief Broderick recognized that Probation needed to be able to tell its story, make recommendations, and back them up with data. Chief Broderick immediately began utilizing data to demonstrate the needs of the Department to the Board of Supervisors, and over time their relationship strengthened, as did her ability to secure resources for the Department.

In order to secure additional treatment options for individuals on probation, the Chief used data to clearly demonstrate the needs of clients across different communities, and mapped this to a geographic census of available treatment options. By demonstrating a lack of treatment options within certain communities, while also highlighting the client need, the Chief was able to make a compelling case that resonated with the Board of Supervisors, ultimately resulting in additional funding being allocated to support treatment options within specific communities.

According to Chief Broderick, board members have occasionally expressed dissatisfaction with Probation. In some of these instances, the Chief used data to assuage concerns. For example, when board members were concerned about the number of clients with sexual offenses living in their districts, the Chief used data to demonstrate that this was a misconception and that no district housed significantly more clients with sexual offenses.

Community Involvement

Communities benefit when probation departments have a positive effect on the individuals they serve. As such, probation departments should look to cultivate community resources and build partnerships wherever appropriate. For instance, probation departments should collaborate with community members to develop community-based continuums of care that leverage stakeholder input and meet the needs of the community.

Washington, D.C.

In order to build trust between DYRS and local community members in Washington, D.C., leadership facilitated a collaborative process for building a community-based continuum of care. The agency heavily engaged with advocates, ministers, and other community stakeholders by inviting them to planning meeting to develop recommendations. These recommendations formed the basis for the final plan. One of their strongest recommendations was to regionalize the continuum of care to enhance the services provided to clients. They also highlighted the need to identify lead entities that would be the holders of subcontracting agreements for smaller organizations to receive funding for their work.

Bringing in community members to help build the continuum of care not only resulted in building trust and bridging the gap between the community and the agency, but it also allowed DYRS to identify service options, such as ballet and tai chi, that may not have occurred to them otherwise.

New York City

Each borough in New York has an Assistant Commissioner who oversees all operations within the borough. In order to strengthen relationships with local community residents and organizations, the

Deputy Commissioner asked each Assistant Commissioner to establish a community planning steering committee that included, at minimum, a religious leader, a local business owner, a law enforcement representative, and formerly incarcerated individuals and their family members. The Assistant Commissioner was expected to identify these stakeholders to join the steering committee and work with them to assess local needs, identify the types of programs and services to bring into the community, develop and score RFPs, and assess the effectiveness of intervention strategies.

The Department also raised funds for arts programming involving people on probation in every borough. The steering committee in each neighborhood was given discretion to prioritize the arts programs to focus in on in their respective community. From here the Department developed an RFP for services and worked with Carnegie Hall to facilitate interviews between community stakeholders and all finalists.

The community planning steering committees played important roles in developing programming and services. Through this community-involved process, the NYC DOP built stronger relationships in the communities they serve.

Media

The media can be influential in shaping how probation departments are viewed by outside entities, as well as their own staff. In order to ensure that the media accurately portrays their work, probation departments should actively engage with the media and urge them to include data whenever they are running reports on isolated incidents. Providing the overall context will help prevent individual acts committed by individuals under supervision from being seen as widespread systemic issues.

Washington, D.C.

As noted above, in order to counter negative media stories, DYRS contests negative stories with data. For instance, when a newspaper wanted to run a story on a violent crime committed by a youth who had absconded from DYRS custody, DYRS aggressively insisted that the newspaper also include data from DYRS demonstrating a reduction in abscondance since the implementation of reforms in order to counter the perception that reforms had led to public safety threats and other negative outcomes.

Additionally, if DYRS knew they were going to be criticized by the media, they would connect with the Office of Juvenile Justice Delinquency Prevention, retired judges, the Public Defender's Office, and other supportive outlets. These allies would then publicly speak on DYRS's behalf and point out where the media might be misleading public perception.

Organizational Capacity & Structure

Organizational capacity refers to an organization's internal resources, processes, and capabilities. The following sections highlight how the organizational structure of probation departments, including their strategic leadership and planning, internal communication processes, and data capacity impact operations and efficiency.

Organizational Structure

As touched on in RDA's *LA Probation Assessment* report, LA County is a massive jurisdiction with the country's largest probation department. The Department has approximately 6,600 budgeted positions operating out of more than 80 locations across the county. It directly oversees more than 70,000 individuals (slightly more than 60,000 adults and approximately 10,000 youth), a number greater than any other probation department both nationally and globally.[19] Staffing a department of this size requires both breadth and depth of employees across and within units, facilities, and area offices. Therefore, the organizational structure of the Department is inherently complex in its needs, and it is difficult to make a direct comparison to any other department.

This section features some efficient and effective processes of NYC DOP, which is the second largest department in the country after Los Angeles County. Below, we highlight how NYC DOP's operational structures work together to create an efficient and effective organization.

New York City

NYC DOP is a single department with separate Adult, Juvenile, and Administrative Operations. There is one Commissioner who oversees the Department of Probation as a whole and Deputy Commissioners who oversee Adult, Juvenile, and Administrative Operations. The City has taken a regionalized approach so that under Juvenile and Adult Operations there are Associate Commissioners; these Associate Commissioners directly oversee Assistant Commissioners and Supervisors who are responsible for operations in each of the City's five boroughs. There are two Assistant Commissioners in each borough; one who directly oversees adult operations and another who directly oversees juvenile operations. Finally, under each Assistant Commissioner there are Branch Chiefs who are responsible for specific elements of client service delivery such as Investigations and Intake, Intensive Engagement cases, NeON cases, etc. Again, these services are separated by adult and juvenile probation.

The organizational structures in Adult and Juvenile Operations mirror each other, and the Deputy Commissioners of Adult and Juvenile Operations expressed that they communicate daily to share information on cases they have in common, as well as partner on upcoming community events. They also attend cabinet meetings every other week where the Commissioner of Probation and all Deputy Commissioners connect to discuss policy and program implementation. Emphasizing the Department's community-based approach to supervision, Adult and Juvenile Operations also have strong relationships with community across boroughs. This is the result of Assistant Commissioners and Supervisors who oversee operations within each borough having the autonomy to make decisions about client service delivery within their jurisdiction. This allows them to transparently work with the community and to implement appropriate services.

The role of Administrative Operations is to support both Adult and Juvenile Operations. Within Administrative Operations there are Departments of Human Resources, Information Technology, Fiscal and Budgeting, Facilities, Fleet, Quality Assurance, Training, and Management and Assessment Planning. Because the Department has been operating in this manner for years, there are structures in place to

encourage regular coordination and collaboration between divisions. These structures allow Department leadership to collaboratively develop policies and assess resources across Juvenile and Adult Operations in real time. Because there are both common and separate funding streams for Juvenile and Adult Operations, as well as structured opportunities to collaboratively develop policies and programs, leadership is able to build consensus around where money should be allocated.

Strategic Leadership and Planning

As described in RDA's *Review of Best Practices in Probation*, leadership exists throughout an organization, and should not be confused with authority or position. Leaders are most effective when they create a shared desire in a group to attain a goal or to move in a particular direction. In order to be most successful in organizational change, leaders must empower others to provide leadership, and champions of change need to be identified and recognized throughout the organization. [20] [21] We describe what this process looked like in New York as they developed their strategic plan.

New York City

NYC DOP involved staff, clients, and the community in the strategic planning process in order to enhance buy-in within each group around the direction of the Department. Once the planning process was complete, the main strategy for cultivating staff buy-in and change was to over-communicate the Department's vision and mission and celebrate staff that were implementing new approaches and experiencing successes with clients. For instance, as noted above, the Department created shorts with testimonials from probation staff who were using new strategies and approaches, stating very clearly how and why these new approaches had improved their sense of efficacy, and distributed these in department-wide emails.

To begin the strategic planning process, the then-Commissioner of Probation conducted a listening tour that included 19 separate focus groups of departmental staff, as well as meetings with key external stakeholders. As noted previously, during the listening tour the Commissioner and his team asked respondents about what they thought the strengths and needs of the Department were, including the strengths and weaknesses of their service delivery approach. Additionally, leadership sought input from judges, prosecutors, public defenders, clients, and community members to learn about their perspectives on the Department, including their service delivery approach and the accessibility of community-based treatment and services.

After seeking input from a range of stakeholders, NYC DOP published its mission, vision, goals, and objectives online. They also periodically held public meetings, such as town hall meetings, where cabinet members, including the Commissioner of Probation and Deputy Commissioners of Adult and Juvenile Operations, talked through each part of the plan; the heads of Juvenile and Adult Operations each talked through their sections of the plan, highlighting progress around intended goals, as well as the direction the NYC DOP was heading.

Internal Communication

Leaders must repeatedly articulate values that drive their beliefs about needed change, and also support and reward others who do so in order to help these values and beliefs permeate the organization.[22] Over-communicating successes stemming from implementing change also helps to improve staff buy-in and morale. We describe what this process looked like in New York as they underwent change.

New York City

NYC DOP internally communicated their mission, vision, goals, and objectives after developing their strategic plan with valuable input from staff, clients, and the community. In addition, they also clearly communicated the strategies and tactics they intended to implement in order to reach these goals. The strategies and tactics were described in detail and updated periodically, and information was shared internally via email and written posts and videos posted on their website. At least yearly, NYC DOP released a handful of one- to two-minute videos highlighting areas where it improved during the previous year, as well as areas where they fell short and needed to enhance their efforts. In addition, NYC DOP also published testimonials that highlighted probation officers who were implementing new approaches and achieving success with their clients. In this manner, they relayed to their staff what they planned to implement, updated them continuously on how implementation was going, highlighted what success looked like, and clearly showed the direction the Department was headed.

While some probation staff immediately accepted the changes, others were reluctant. Skeptical staff were the target audience of internal communications aimed at increasing buy-in for the new approach. By over-communicating the message and highlighting successes, NYC DOP was able to improve staff morale and facilitate successful change.

Data-Driven Decision Making and Performance Management

As described in RDA's *Review of Best Practices in Probation*, probation departments should use data to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices in order to help promote positive organizational- and client-level outcomes.[23]

The probation department's executive management team should have a set of measurable goals to collect data on, and also hold regular meetings to assess the data and decide what practices to change, maintain, and/or amend in order to meet goals.[24] This section highlights some of the ways that Maricopa County Probation Department and Washington, D.C., DYRS utilize data for these purposes.

Maricopa County

The Maricopa County Probation Department has adopted the Managing for Results model. This model relies on managers developing clearly defined goals and using data to consistently measure outcomes in order to assess the extent to which they achieve these goals. As a part of the Managing for Results model, the Department has established five major goals and delineated specific actions they are implementing to achieve these goals. Data are collected on each goal/activity, and outcomes are

measured on a weekly, monthly, quarterly, and annual basis. This allows the Department to continuously identify issues by looking at data, and to develop services and infrastructure to respond to these issues, and measure the extent to which goals are being reached (i.e., issues are being ameliorated).

One of Maricopa County Probation's current goals is to increase consumer satisfaction, including the satisfaction of both probation clients and crime victims. Toward this end, they recently surveyed victims to assess their satisfaction with the Probation Department. Overall, there was an increase in victim satisfaction since their last survey, but there were some complaints about a lack of responsiveness in a timely manner. When the Department identified this finding from the survey, they broke the results down regionally in order to assess which offices were doing well and which had room for improvement. In the field offices that appeared to have room for improvement, the Probation Department implemented additional trainings and follow-up coaching, and also strategized around resources that might help to improve response times, such as equipping officers with iPhones. The Department continues to train and coach officers from areas with the lowest satisfaction in communication and responsiveness to victims. It also conducts ongoing surveys to assess whether strides have been made in this area and to identify other areas for improvement.

In 2015, Maricopa County Probation also surveyed clients for results to be included in their annual agency report. For the 2015 annual report, the Department collected anonymous questionnaires from 935 probation clients. Over a two-week period, the Department received paper surveys via a submission box in the lobby of every probation office. The surveys asked probation clients questions about how they have experienced probation supervision, and included questions on whether their PO:

- ❖ Treats them with respect;
- ❖ Spends enough time with them;
- ❖ Listens to them;
- ❖ Works with them to help them complete probation successfully;
- ❖ Lets them know how they are doing on probation;
- ❖ Asks for input when making plans for them;
- ❖ Compliments them for good behavior; and
- ❖ Offers to see them more often if they are having problems.

The questionnaire also asked probation clients how much the following practices influence their success on probation:

- ❖ My PO treating me with respect by being patient, honest, fair, understanding, reasonable, supportive, helpful, a good listener, and non-judgmental;
- ❖ My PO communicating with me;
- ❖ My PO keeping me informed about how I am doing on probation; and
- ❖ My PO providing me with referrals and assistance, especially for employment and transportation.

Not only does implementing a consumer satisfaction survey exemplify how to use data to identify issues and assess performance, it also demonstrates that the probation department cares about how probation services are being experienced by clients and families. This conveys an important message to the community as well as probation personnel.

Finally, Maricopa County also utilizes data for quality assurance purposes to assess the performance of probation staff. While probation officers' performance is not directly attached to client outcomes, the Department does assess the extent to which probation officers are implementing expected activities and processes. An example of this is that the Department reviews case plans to assess whether POs use the appropriate assessment tool to develop and update their case plans.

Washington, D.C

Using data for quality assurance and performance management is a critical component of implementing change and measuring success. Data can facilitate the implementation of desired changes by illustrating new criteria for assessing staff performance and holding staff accountable for implementing the desired changes. In Washington, D.C., DYRS built a quality assurance team at the New Beginnings Facility that was tasked with assessing certain measures they were required to report on because of a lawsuit. They also developed additional measures to assess staff performance and client outcomes, such as health, hygiene, and safety, among many other measures.

As a process, the quality assurance team negotiated all measures to track with the executive team. Once agreed upon, quality assurance staff developed metrics for reporting on outcomes. Each quarter, the DYRS director would review progress achieved towards all approved quality assurance measures. In order to minimize disruption of work, staff members were only required to attend presentations relevant to their division. For example, the doctor would come in when they were reviewing physical health measures while the principal attended when they were reviewing educational measures, etc.

A key to the quality assurance team's success in D.C. was that they obtained trust within the facility, and were able to learn and share information with the superintendent and his managers that was previously unknown. For instance, at the New Beginnings facility they had a goal of having 80% of youth receive programming, 80% of their waking hours. The superintendent could not measure this through observation, and by assessing this measure the facility learned that (1) youth weren't always participating when there were programs occurring on their living units and (2) youth who *were* participating more frequently in programming were less likely to be involved in staff incidents. Because the superintendent and staff were all interested in reducing these incidents, this learning promoted greater adherence and commitment to programming standards so that when youth were expected to be participating in programs, staff and teachers were more diligent in attempting to engage youth.

Racial Disparities

While there is substantial variation in the total numbers and rates of individuals on probation in counties across the country, there are clear racial disparities that exist with regards to who is under supervision. James Bell, founder and president of the Burns Institute, a nonprofit organization focused on

community-centered approaches to eliminating racial and ethnic disparities in justice systems,[25] noted that a prerequisite for reducing disparities is a commitment to collect data on the issues and work collaboratively towards addressing them. Without a true commitment to reduce disparities, having the tools and data in place to track and measure them will not produce change. With this prerequisite in mind, the key themes highlighted across jurisdictions that are actively working to reduce racial disparities are the importance of using data to identify disparities and continuously collaborating with cross-system stakeholders to identify where disparities exist and how they can be reduced.

Multnomah County

In Multnomah County, Oregon, significant racial disparities across all levels of the justice system led to the county's participation in the Macarthur Foundation's Safety and Justice Challenge. In 2016, research showed racially disparate outcomes at every discretion point in the justice system, including decisions to cite in lieu of arrest, decisions to prosecute, sentencing patterns, and the likelihood of a probation or parole violation to result in jail stays.

The Director of Multnomah County's Department of Community Justice (DCJ), which provides supervision and treatment services for youth and adults, expressed that the County is currently focused on reducing disparities in juvenile detention by reducing biases found in their detention risk assessment instrument (RAI). The revised tool is designed to ask questions that adjust for and/or neutralize cultural bias, as well as bias created by earlier decisions made about who should and should not penetrate the juvenile justice system. For instance, the RAI initially asked a question about whether youth come from a "good family structure"; this question could be biased toward two-parent households and therefore against minority youth, so they changed the wording on the instrument to ask whether there is an adult willing to ensure that the youth appears in court. As these questions emerge, Multnomah County continuously assesses and revises their tool to address cultural biases that impact scoring results and detention decisions.

Beyond assessing and revising their RAI, the DCJ also implemented an active internal research unit that builds dashboards to assess who is in detention by on race, age, and gender. As they identify disparities, the Department looks further into each case to see what delinquent acts brought youth into the system. By examining the entire system, the County has identified specific processes and practices that produce some of their racial disparities in justice involvement. For example, data showed that disparities existed regarding who was punished for mass transit platform violations. After a collaborative data review sessions with justice partners showed the impact of these disparities, the District Attorney's Office decided to no longer prosecute these cases.

San Joaquin County

San Joaquin County Probation has pursued several initiatives to help advance more positive probation practices in general. With regards to addressing racial and ethnic disparities specifically, the Probation Department received a Reducing Racial and Ethnic Disparities grant from the Board of State and

Community Corrections. With this grant, the County developed a data team to review data, identify where disparities exist, and establish potential mechanisms for reducing disparities.

The data team creates quarterly reports utilizing data gathered from justice system partners to examine racial disparity at various points in the system. These quarterly reports are reviewed by a coalition of justice partners that includes Probation officials, the District Attorney's Office, judges, and defense attorneys, who meet quarterly to review and discuss the trends in, causes of, and strategies to reduce racial disparity.

Santa Clara County

In 2008, the Santa Clara County Board of Supervisors established the Juvenile Justice System Collaborative (JJSC) to be chaired by the County Executive Office. The JJSC is dedicated to preventing youth from penetrating the juvenile justice system by improving processes and implementing evidence-based practices. A key goal of the JJSC is to reduce disproportionate minority contact with the juvenile justice system.

The JJSC works together to review data and identify where racial disparities exist and develop mechanisms for reducing disparities. For example, a committee comprised of juvenile justice system and community stakeholders (formed by the JJSC) piloted a modified RAI that was meant to take greater account of the County's local context. In collaboration with the Burns Institute, the County piloted the modified tool on 300 sample cases and decided not to implement the modified instrument because results indicated that the tool could increase racial disparities in detention rates. This process demonstrates the intentionality with which reforms are made in Santa Clara County, as they take into account the racial impact of reform efforts.

The former Chief of Probation, Sheila Mitchell, noted that the development of the JJSC was key to the County's efforts for reducing racial disparities. Over the years, the JJSC's work has been continuously reinforced by the Board of Supervisors, the Probation Department, and other cross-system stakeholders so that the focus on reducing disparities is not just the "soup of the day," but rather a maintained focus. Each year, the JJSC highlights pressing issues, leading to the exploration and implementation of new mechanisms to reduce disparities in juvenile justice.

Chapter 2: Hiring, Staffing, and Training

The labor force of any organization is crucial to its success. Hiring candidates with the necessary skills and experience to fulfill a department's mission, promoting effective workforce management, and offering high-quality and comprehensive workplace training and development programs all contribute to a well-functioning and productive department. Below, we provide key findings around hiring, staffing, and training and then describe best practices in these areas within several jurisdictions across the country.

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Key Findings

1. Providing candidates a clear understanding of a probation officer's role and department's approach—through strategies such as detailed job descriptions and information sessions—ensures that individuals who apply for jobs are best suited to carry out the department's mission.

2. A multifaceted hiring process that includes individual interviews, group interviews, and skills testing, such as writing tests, video clip observations, and situational analyses, allows departments to assess candidates' skills sets across multiple domains.

3. Determining the amount of time needed to serve different client populations and regularly monitoring and forecasting staff caseloads enables departments to make immediate adjustments so that staff have similarly assigned workloads.

4. Booster trainings, observational assessments, and individual coaching are necessary to reinforce and deepen skill development and ensure uniform implementation across departments.

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Hiring

As government agencies, probation departments' hiring processes operate within a civil service system. Depending on the jurisdiction, civil services may develop job descriptions, create and administer hiring exams, and apply rules that govern the selection process. This section discusses how probation departments in New York City and Solano County have worked within the structure of the civil service system to improve their hiring processes. Both counties emphasized the importance of transparency and communication with regards to hiring to ensure that candidates possess a clear understanding of a probation officer's role and the department's approach.

Solano County

Solano County, California, located in the Northeastern Bay Area, has a population just over 400,000 and a Probation Department with approximately 230 staff. The Solano County Probation Department has taken steps to modify its job descriptions and hiring process to ensure that candidates have a clear understanding of how the Department approaches its work and what it means to be a Solano County probation officer. Solano County has two classifying positions for the position of a deputy probation officer—deputy probation officer (entry) and deputy probation officer (senior)—and both positions call for the same fundamental approach of rehabilitation and evidence-based practices (see entry level job description in Appendix A).

The knowledge of evidence-based practices, principles of social and correctional case and group work, family systems theory, child development, and behavior and motivational theories are listed as required knowledge for senior probation officers. Entry-level DPOs must have knowledge of principles, practices, and techniques of communication, interviewing, counseling, resistant-defensive behavior, personality theory and self-image, and stress and change theory, as well as self awareness-objectivity techniques for understanding others and personality types.

Both job descriptions stress communication and social skills. Officers are expected to communicate and coordinate with external players to support the success of clients under probation. Communication skills are explicitly required in order to build and maintain cooperative working relationships with peers, offenders,[ii] other agencies, and professionals. Furthermore, qualifying candidates must exhibit specific social skills that allow them to work effectively and fairly with all clients. The job description specifically calls for candidates that are able to learn how to "deal firmly and fairly with offenders of various socio-economic backgrounds and temperaments." The call for knowledge of objectivity techniques for understanding other personality types supports this requirement.

While there are required abilities to enforce public safety through physical restraints, there is more emphasis on de-escalation and crisis intervention skills. For example, the entry-level job description states that candidates must "learn to recognize personality types and varying behaviors and to diffuse hostile and aggressive behavior." Officers are also expected to refer clients for services, both job descriptions state that candidates must also be able to make referrals to local and regional providers of social, medical and/or other specialized services.

In addition to these detailed job descriptions, the Probation Department provides information sessions to candidates directly before they take the civil services test. In these hour-long information sessions, the Chief Probation Officer spends half an hour discussing the vision and mission of the agency, the type of employee sought by the Department, and how the Department uses best practices in its work. The Chief explicitly states that the Department is looking for employees who want to change lives and if candidates applied because they want to carry a gun and give orders, then they are better suited to work across the street at the Sheriff's Office. After the Chief's presentation, a background investigator describes the backgrounds process. Candidates then have an opportunity to ask questions to both the Chief and the backgrounds investigator about the hiring process, the job, and the Department. Leadership stressed how the information sessions serve as filters to make sure that the Department receives quality candidates who understand what it means to be a probation officer in Solano County.

After the information session, candidates take a multiple-choice civil service exam and a writing test. Those that pass these steps go on to interview panels, where candidates meet with three staff: a Probation supervisor, Probation line staff, and someone from an outside county agency such as Health and Human Services or the Sheriff's Department. This panel asks structured interview questions and involves staff at different levels to make the hiring process more inclusive. The last steps involve an interview with the Chief and Deputy Chief and the background check.

New York City

In New York City, the DOP does not create its job descriptions. Rather, the Department of Civil Service works with the DOP to conduct a job analysis, which then informs job descriptions and testing processes. Before they can revise job descriptions, the DOP must fully institutionalize a new approach throughout the Department so that Civil Service can conduct another job analysis. In the absence of updated job descriptions, NYC DOP tries to affect the hiring pool by focusing recruitment efforts, including attending career fairs and working with local colleges and university with criminal justice and social work programs to establish a pipeline of job candidates.

After candidates take the civil service test, they are placed on the civil service list, known as the hiring pool. Candidates from this list are then invited to an all-day interview and assessment run by DOP. This day includes individual interviews; group interviews; video clip observations, in which candidates mimic investigation work by observing a video and writing about it; and situational analysis through the Behavioral Personnel Assessment Device (BPAD). Candidates watch the BPAD scenario, then an interviewer asks them structured questions about the scenario and scores these answers using a tool. As described on its website, BPAD does not test knowledge, but helps assess candidate's interpersonal skills in job-specific situations (http://www.bpad.com/probation/probation-entry.html).

New York City's civil service rules require DOP to hire based on candidate's rank on the civil service list, which is in order of exam score. However, they are only required to hire one of every three ranked candidates, what they term the one-in-three rule. Therefore, though NYC DOP must hire one of the top three candidates, they are not required to hire all top three candidates. DOP goes down the list in threes, hiring at least one in each group until they have filled all the slots available. This allows DOP to ensure that all candidates have technical proficiency, as measured by the civil services exam, and also allows DOP to look more holistically at a candidate's performance in the interviews and observational assessments.

After candidates are selected and job offers are sent out, the training academy begins within four to eight weeks. During that time, candidates go through the background investigation and medical and psychological screening. A DOP hiring manager estimated that about 80% of candidates make it through the background check and screenings. Criminal history is considered during the background check, but there are no blanket exclusions. In other words, there are no convictions that make candidates ineligible to work for DOP. Rather, Probation assesses each candidate individually and takes into consideration the circumstances of any prior justice involvement, including how long ago the crime occurred.

Staffing

As discussed in this section, staffing refers to workforce management processes that department management uses to ensure that the right staff are in each position and that work is effectively allocated. The size of Los Angeles County, both in population and geography, make staffing particularly challenging. Leadership from Multnomah County and Solano County spoke to the need for data to inform staffing decisions. Regular monitoring and forecasting of staff caseloads enables departments to

make immediate adjustments so that staff have similarly assigned workloads. Additionally, regular assessment and discussion of staff performance helps ensure that staff's responsibilities align with their strengths.

Multnomah County

In Oregon, the Multnomah County DCJ emphasis on data-driven decision making extends to staffing. DCJ uses dashboards and assessments to monitor and assess staff workloads. The dashboards identify any increases or decreases in populations, which allows management to adjust staffing in response. Caseloads are also constantly monitored to ensure that they are meeting target caseload size. These caseload sizes are based on the expected intensity of the interaction between the probation officer and client. If there is a need for additional staff to due to spikes in population or due to vacancies, DCJ can bring in retired officers to fill spots temporarily. These individuals are already trained and have the necessary credentials to work as probation officers.

Solano County

Similar to Multnomah County, Solano County also bases caseload sizes around the specific activities and interactions expected of officers within the Probation Department. To identify exactly how much time it takes officers to complete their work, the Department hired a consultant to conduct a workload analysis. This analysis resulted in a supervision policy with specific instructions for interactions between probation officers and clients, such as what is required in the initial meeting. The workload analysis also produced a series of workload measures that are based on Level of Service/Case Management Inventory (LS/CMI) scores. Supervisors frequently look at staff caseloads to ensure they are equally distributed.

Supervisors also meet with their staff individually on a quarterly basis to review staff performance. If there are any performance issues, a performance improvement plan is developed and staff meet more frequently with their supervisor. To assess staff performance, a supervisor and a member of the quality assurance team observe interactions with clients and provide feedback that aligns with training staff receive on Effective Practices in Community Supervision (EPICS) and motivational interviewing. If Probation management regularly hears negative feedback about how a probation officer works with clients from the officer's supervisor, quality assurance person, and/or colleagues, then management will transfer the probation officer to a position that does not involve client-facing work.

Similar to hiring new probation officers, individuals seeking a promotion also go through two rounds of interviews. The first is a screening interview with two staff from outside agencies, such as Health and Human Services or the Sheriff's Office, and one staff person from Probation. As noted by the Chief of Probation, involving external interviewers allows candidates to be assessed from a different perspective and also limits any nepotism that could occur, since these external interviewers have not worked with the candidate. The second interview is with the Chief of Probation, the Deputy Chief, and an external individual with the same philosophy as the Probation Department. Promotions are determined based on the feedback from these interviews, coupled with a candidates performance reviews. (Note that this

process is less feasible in a jurisdiction the size of Los Angeles where the promotion process is more likely to vary by staff role.

Training

Though all probation departments are required to meet state training standards for new and continuing staff, they also generally have flexibility to select what types of trainings are provided and how these trainings are implemented. Interestingly, while probation leadership from New York City, Multnomah County, and Maricopa County spoke about certain types of trainings that they have found to be successful—such as restorative practices, EPICS, or leadership skills—they all stressed the importance of sustaining and maintain skill development. They identified booster trainings, observational assessments, and individual coaching as necessary to reinforce and deepen skill development and ensure uniform implementation across departments.

New York City

All personnel, probation officers, as well as clerical staff who interact with clients in New York City undergo a full 40-hour week of all-day trainings, plus additional ongoing training continuing over several months. Probation staff receive training in motivational interviewing, community engagement, cultural competency, trauma-informed care, and the six agency drivers (see the NeON description on Page 44), among other relevant subject areas.

While the training itself is valuable, perhaps more important is the ongoing coaching individuals receive upon completion of mandatory trainings. For example, after officers receive training on case plans, called Individual Action Plans (IAPS), they have field-based coaching. Trainers go to each office for a week, with the first two days of group training followed by three days of individual coaching. Individual coaching is employed whenever new practices are introduced. For example, when NYC DOP began using a new case management program, coaches assisted staff in understanding how to use the software and explained its benefits.

NYC DOP has found training on restorative practices to be particularly effective, largely because this approach spans different functional and skill areas. NYC DOP has taken steps to improve this training. Initially, it was off-the-shelf and while officers understood why it was important, they did not recognize how to apply restorative practices to their work. To ensure officers used restorative practices, NYC DOP refined the training and tailored it to the Department.

To make sure that trainings are relevant and useful to staff, NYC DOP is in the process of decentralizing training. Rather than relying on a centralized training unit to identify training needs and release a list of trainings that staff can attend, they have created the expectation that operational areas drive training. Though NYC DOP previously encouraged staff to request trainings, it is now an expectation that staff will think critically about what training they need and want.

Multnomah County

DCJ has been moving toward evidence-based practices since 2011. They have worked with the University of Cincinnati Corrections Institute (UCCI) to implement the EPICS model. This shift required staff to place a more intentional emphasis on client skills training, client emotional management, adaptation to client style (versus client adaptation to officer style), and incorporation of evidence-based literature (as opposed to subjective experience) as the foundation of their work. It also required probation officers to structure their sessions with clients differently and to monitor how closely those sessions aligned with the EPICS model. Four years into adopting the EPICS model, DCJ's fidelity monitoring showed that 60% of cases followed the model with fidelity.

Extensive training and coaching was required to support this shift. First, the entire probation officer staff was required to participate in three full days of training delivered by the UCCI training team. As a follow-up, they all received monthly "booster" sessions, also delivered by the UCCI trainers, as well as coaching sessions. For the coaching sessions, each PO was asked to provide a tape-recorded client session, which the UCCI coach would code for how effectively the PO used the EPICS techniques, recognize his or her progress, and then support the PO in applying the techniques more effectively (as applicable). Toward the end of the first year, a team of DCJ staff who had already undergone the training and the five-month follow up boosters and coaching was trained by UCCI (during five full-day sessions) to become trainer-coaches, to eliminate DCJ's reliance on UCCI.[iii] The DCJ trainer-coaches then took over the training and coaching; coaching and booster trainings were reduced to quarterly; and the three-day plus five-month training-coaching protocol was incorporated into the new employee induction process (delivered by internal trainer-coaches).

Table 4. Multnomah County Training

Training Description	Participants	Trainers	Frequency
Initial Year			
Three-day training on effective practices in corrections (risk-need-responsivity, cognitive behavioral interventions including cognitive restructuring, goal-setting, structured skill-building, etc.)	All Probation Officers	UCCI	Once
Monthly "booster" training sessions via video-conference (could be delivered as online training)	All Probation Officers	UCCI	Monthly for 5 months
Coaching sessions, based on one monthly tape-	All Probation	UCCI	Monthly

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[iii] Initially, Multnomah DCJ assigned PO supervisors to serve as coaches. They would rotate through this role so that every supervisor had a chance to coach POs in the new model. They found that supervisors gained a lot of understanding of the model this way. Eventually, however, they found that supervisors were overwhelmed with the new duties, which were laid on top of their regular duties. DCJ then decided to hire additional staff and create a team of 24 whose sole duties were to deliver training and coaching.

recorded client session	Officers		After Booster Sessions
Five-day training on how to become a trainer-coach	Supervisors or Designated Coaches	UCCI	Once
Ongoing			
Three-day training on effective practices in corrections	All New Probation Officer	Internal Trainers	As needed
Monthly coaching sessions with NEW POs, based on tape-recorded client sessions	All New POs	Internal Coaches	Monthly for 5 months
Quarterly "booster" training sessions	All Probation Officers	Internal Coaches	Quarterly
Quarterly coaching sessions, based on tape-recorded client sessions	All Probation Officers	Internal Coaches	Quarterly

In addition to EPICS training, Multnomah incorporated regular officer coaching sessions. Similar to the basic EPICS construct, the implementation team asked all EPICS-trained probation/parole officers to submit one tape-recorded client session per month to a designated EPICS coach. The coach would then provide feedback on their EPICS fidelity. An integral component to note regarding the coaching process involves client consent to participate in coaching.

There are two dozen EPICS coaches in Multnomah County. In general, these officers are removed from an active caseload for a six-month period to serve as a full-time coach. At the end of a given term, the officers rotate back into their caseloads and are replaced by new line officers. Of note, it was subsequently discovered that these rotational term periods were allowing officers to incorporate new, advanced skills and knowledge into their caseloads.

Santa Clara County

When juvenile populations declined in the county, the Santa Clara County Probation Department (SCCPD) began to reconsider workforce training and development. With smaller caseloads, staff had more time to develop relationships with clients. To support a rehabilitative approach, SCCPD began offering training on trauma-informed care, case planning, and cognitive behavioral therapy. As staff learned new skills and became proficient in these areas, staff classifications also shifted in order to reflect new skillsets.

The SCCPD also offers specialized training for staff who work with specific populations. For example, staff at the Reentry Assistance Program at a juvenile ranch received training in evidence-based practices focused on four areas: practice skills, motivational interviewing, case planning, and rewards and sanctions.[26] Staff who work in the Dually Involved Youth unit receive cross-training with Department of Family and Children's Services social workers around topics including Child and Family Practice Model,

Trauma-Informed Practice, Cultural Humility, Juvenile Justice 101, Dependency 101, and TARGET Trauma.[27]

Chapter 3: Client Service Delivery

As noted in RDA's *Review of Best Practices in Probation*, probation departments should focus their supervision and services on those clients who pose the greatest risk to public safety. Probation officers should utilize validated risk assessment and need assessment tools in order to determine each client's risk for recidivism and supervision intensity, as well as to identify service needs to be addressed through strengths-based case management and connections with services.[28] Successful community supervision is also highly dependent on the rapport built between POs and their clients, and increasingly probation officers are applying motivational interviewing techniques, cognitive behavioral interventions, and trauma-informed approaches in order to help build rapport with their clients and enhance their readiness for change.

Findings

1. Banking low risk caseloads and offering early release for individuals in long-standing compliance with their probation terms is consistent with evidence-based corrections and helps to reduce potential harms that come from supervising low-risk populations, as well as conserve resources for higher-risk cases.

2. Structured Decision-Making (SDM) helps guide probation officers in their recommendations to the court, particularly around juvenile dispositions and placements, so that their recommendations are more consistent, fair, and effective.

3. By providing services to help probation clients meet basic needs, as well as utilizing a community-based, client-centered supervision approach, probation officers can build trust with clients while improving client reporting and outcomes.

4. Collaborating with clients to develop individualized case plans that include long-term goals along with short-term activities to complete between meetings helps to build rapport and buy-in from clients.

5. Formally partnering with individuals with a history of justice system involvement to engage youth in structured and transformative mentorships is an effective model for supporting young adults on probation and changing antisocial attitudes, beliefs, and actions.

6. By providing access to various art programs, not only as a form of creativity and self-expression, but also as an avenue for employment, probation departments can help create employment opportunities that clients are passionate about.

7. Probation should only actively supervise the highest risk youth and use prevention and/or diversion programs to reduce harm and decrease penetration into the juvenile justice system for others.

Supervise the Right People the Right Amount

With probation departments across the country under transformation, a number of agencies are focusing on increasing public safety through a harm reduction model which includes reducing unnecessary probation contact by only supervising those who need to be supervised, for an appropriate period of time. In order to do so, some jurisdictions focus on prevention and diversion efforts, while also

relying more on incentives like shortening probation terms for good behavior, rather than sanctions like revocation and incarceration. This section highlights work being done in New York, Multnomah County, Maricopa County, and Wayne County to promote public safety though a harm reduction model.

New York City

In New York City, a Probation Officer in the Investigation/Intake Unit administers the Level of Service Inventory-Revised Screening Version (LSI-R:SV) risk and needs assessment to all adults sentenced to Probation and the Youth Level of Service (YLS) risk and needs assessment to all youth placed on probation. Adults who score low-risk are put on an administrative caseload with only telephone or kiosk check-ins. By not actively supervising low-risk clients, this opens up additional resources dedicated for working with medium and high-risk populations. Over the past decade, as New York City's actively supervised probation population has decreased drastically, funding has not decreased at the same pace. As a result, there are additional funds available to the Department that are used to implement new programs such as the NeON arts and sports programs, discussed in greater detail below.

The DOP also implemented SDM, also described in greater detail below, to ensure that probation recommendations are more consistent, fair, and effective, as well as to reduce the number of placements of the city's youth. Early results demonstrate that SDM has had the intended effect. NYC DOP has also been intentional about strictly limiting the circumstances in which the Department can put youth in custody pre-adjudication or recommend any custody post-adjudication. In particular, youth cannot be placed back in custody on the basis of truancy or any other violation of probation terms that does not pose a threat to public safety. For example, DOP has a presumption against detaining or recommending placement for youth involved in commercial sexual activity, unless they are also involved in other activity that puts the general public at risk, since commercial sexual activity in and of itself does not pose a risk to public safety.

Multnomah County

In 1994, Multnomah County opened a Day Reporting Center (DRC) as an alternative to incarceration. The DRC program is non-residential, highly structured, and targets criminogenic needs such as anti-social thinking, impulsivity, lack of employment and education, antisocial peers, substance abuse, and mental health concerns. It is operated by the DCJ (the same agency that runs probation). Clients have frequent contact with DRC staff. In some cases, they meet with staff daily. Clients participate in cognitive-behavioral skill-building groups, and are active agents in their case planning, setting priorities and goals with DRC staff and their probation officers.

The DRC is used for probation clients that many other jurisdictions would hold in jail, including probation violators. The existence of this program allows jail beds to be available for more serious offenders, and evaluations have demonstrated that individuals who complete the program have reduced rates of recidivism.

The philosophy of the juvenile justice system is to only actively supervise the highest risk cases with long histories of justice involvement. In fact, in Multnomah County there are numerous offenses for which

pre- or post-adjudication detention are not an option. Moreover, there is only one facility that that holds approximately 190 beds; on any given day today the County is only using approximately 38 of these beds to detain youth.

Rather than detaining and/or actively supervising the majority of youth, Multnomah County prioritizes juvenile diversion or informal probation where youth are not actively supervised. The County contracts with culturally specific providers who work with the Community Healing Initiative to lead the juvenile diversion effort. In addition, the County also has a Peer Court program to divert youth who have committed first time low-level offenses. The primary goal of the County's approach, along with ensuring public safety, is to keep penetration into the juvenile system at a minimum.

Maricopa County

In Maricopa County, the Offender Screening Tool is administered to each individual prior to sentencing. Based on their risk score each individual is assigned to a probation unit. In order to minimize harm and not waste resources, low-risk cases do not report in person, and some low-risk cases go unsupervised (with conditions attached that they must successfully complete).

Most notably, as a part of the County's Justice Reinvestment Strategy, individuals can earn time credit and early termination from probation. For each month in compliance with their case plan and community service hours, individuals received twenty days credit (some populations are excluded from this policy, including individuals convicted for sex offenses). Additionally, if an individual is in compliance with the conditions of his/her case plan for a sustained period, the Probation Department will go back to court and seek termination of the case. At these court hearings, the victim is given the right to be heard, and the prosecutor can weigh in. According to Chief Broderick, the judge grants termination in the vast majority of these cases (approximately nine out of every 10 times).

Wayne County

Wayne County, Michigan, has transformed its juvenile justice system over the course of the past two decades, placing focus on harm reduction through reducing the number of youth who penetrate the juvenile justice system. There has been huge emphasis placed on implementing and utilizing prevention and diversion options in the County in order to reduce the number of youth officially processed and improve outcomes.

As a result, since 1999:

- ❖ The average daily number of youth in secure detention has decreased from over 500 to approximately 108 youth per day;
- ❖ The average daily number of youth in state training schools has decreased from approximately 731 to three youth per day;
- ❖ The state ward caseload has decreased from approximately 3,400 youth to 620 youth; and
- ❖ Recidivism rates have dropped from approximately 50% to 16%.[29]

Dan Chaney, former Director of the Juvenile Services Division in Wayne County, noted that a change in one area of the juvenile justice system impacts all areas of a system. For Wayne County, this meant that improving the continuum of services and reducing the number of youth penetrating the system resulted in lower rates of detention and wardship, smaller caseloads, fewer out-of-home placements, and better outcomes.

Structured Decision Making

SDM is the use of a formal and standardized procedure for guiding probation officers in their recommendations to the court, particularly around client dispositions and placements. The goal of SDM is to ensure that probation recommendations are more consistent, fair, and effective. In implementing SDM, probation departments generally use a grid that lists out what sorts of recommendations should be made based on risk assessment results and offense severity.

New York City

As noted previously, probation officers utilize validated risk and needs assessment tools in order to identify the criminogenic risks and needs of individuals on Probation. NYC DOP uses the LSI-R:SV with adult clients and the YLS tool with juvenile clients in order to inform their case planning efforts and supervision intensity. In addition to determining levels of supervision and informing case plans, risk scores also play a large role in the City's SDM process that was rolled out within juvenile operations in 2012.

During the implementation process, the probation commissioner received input from an array of stakeholders about the grid so that by the time they finalized the tool and began implementation they had a great deal of buy-in from multiple stakeholders. They went through seven versions of the SDM tool before landing on the current, finalized version highlighted in Figure 2 below.

Figure 2. NYC DOP's Structured Decision Making Grid for Juvenile Placement

MOST SERIOUS CURRENT ARREST CHARGE	LIKELIHOOD OF RE-ARREST		
	HIGH OR VERY HIGH	**MODERATE**	**LOW**
CLASS I: A, B felonies (violent & non-violent), violent C felonies	**BOX #1** Out of Home Placement[1]	**BOX #2** Out of Home Placement or Alternative to Placement	**BOX #3** Alternative to Placement or Probation (To Be Specified)
CLASS II: Non-violent C felonies, violent D felonies	**BOX #4** Out of Home Placement or Alternative to Placement	**BOX #5** Alternative to Placement or ESP (Level 3 Probation)	**BOX #6** Level 1 or 2 Probation
CLASS III: Non violent D, All E felonies, misd assault and misd weapons possession	**BOX #7** Alternative to Placement or ESP (Level 3 Probation)	**BOX #8** Level 1 or 2 Probation	**BOX #9** Level 1 Probation or CD
CLASS IV: A misdemeanors except assault and weapons and all B misdemeanors[2]	**BOX #10** Level 1 or 2 Probation	**BOX #11** CD or ACD	**BOX #12** ACD or short term one time consequence or Dismissal

MANDATORY CONSIDERATIONS:
1. Must consider CD or ACD for youth with no unsealed priors. Decision is based on the circumstances of the case.
2. If case goes to trial, use most serious finding offense

DISCRETIONARY OVERRIDES:
POs have discretion to recommend either a more or less restrictive option than the grid provides. However, all overrides - up or down - must be submitted with justification for approval to the PO's supervisor and Borough Director

The YLS and SDM were rolled out at the same time one borough at a time. Within each borough, roll-out entailed three months of intensive support for probation, attorneys, and judges, with ongoing meetings after this initial period. When the tool was first introduced, various court stakeholders had many disagreements and a level of conflict persisted for the first six months. Probation then created a "bench book" to provide judges, prosecutors, and defense attorneys with an explanation of the YLS assessment tool and SDM process. Proceedings went more smoothly after the bench book, and there are currently restrictions on the extent to which the tool can be overridden.

Based on 2016 data provided by NYC DOP, approximately 53% of the time judges follow the SDM recommendation, 28% of the time they underride the recommendation and place clients in less secure settings, and approximately 19% they override the recommendation and place clients in more secure settings. Based on these findings, the use of placement has gone down since the introduction of SDM.

Multnomah County

Multnomah County has implemented an externally validated detention RAI to support structured decision-making in detention screening. Prior to implementing the RAI, probation staff made detention decisions based primarily based on their experiences and opinions, given the circumstances of each case.[30] The RAI allows for more objective decisions and a reduction of bias.

RAI scores are based on the seriousness of the new offense and previous criminal history, as well as aggravating (e.g., no community ties, history, or running away, etc.) and mitigating circumstances (e.g., school attendance, adult availability, first violation). The score determines a youth's risk to re-offend or fail to appear for a hearing. The RAI score results in a measurement of high, medium, or low need for

supervision (there are also circumstances where the tool may be overridden and youth are detained for domestic violence or weapon charges), and conditions for release as indicated below:

❖ RAI score of 0-6 = unconditional release
❖ RAI score of 7-11 = conditional release
❖ RAI score of 12 or greater = detained

Probation staff in Multnomah County continuously assess the RAI tool and modify it based on statistical data analyses that help to determine the extent to which specific questions introduce bias across race, class, and/or gender, among other factors, as well as the tool's performance as a risk assessment instrument. Since the initial implementation of the RAI, the County has developed three updated versions of the assessment tool.[31]

Case Management and Supervision Approach

As described in RDA's *Review of Best Practices in Probation,* probation officers should utilize validated risk and need assessment tools to determine clients' risk for recidivism and supervision intensity, as well as service needs to be addressed through strengths-based case management and connections with services.[32] Additionally, successful probation officers are able to build rapport with their clients by striking a balance between law enforcement and intervention roles, and by applying techniques such as motivational interviewing techniques, cognitive behavioral interventions, and trauma-informed approaches in order to help build rapport with their clients and enhance their readiness for change.[33] Below, RDA highlights NYC DOP's innovative approach to case management and supervision.

New York City

When an adult reports to Probation in New York, an intake probation officer conducts the LSI-R:SV and assigns each individual to the appropriate caseload based on his/her risk score, among other factors such as age and location of residence, discussed in greater detail below. All individuals who score low are put on an administrative caseload where they check-in only via telephone or kiosk. Individuals scoring medium to high-risk check in with greater frequency and have more intensive interactions under community supervision. Scores can be overridden only if both intake officers and their supervisors agree it is appropriate based on history and pre-sentence investigation.

All probation officers in New York are trained in motivational interviewing, community engagement, young brain development, and stages of change (see *Training* section above for more detail around NYC DOP's training approach). For individuals under active supervision, probation officers spend substantial upfront time engaging with clients, developing IAPs (discussed in great detail below and in Appendix B)[iv], and making referrals to services. At their first meeting, POs conduct the full LSI-R:SV, as well as mental health and substance use screenings in order to determine the needs of their client and appropriate

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[iv] Until recently these were implemented with greater consistency with the TAY population. Currently there is great emphasis on ensuring POs are developing and updating IAPs consistently with all adults under community supervision, including young adults.

treatment and service referral options. In conducting these assessments, POs begin to develop an understanding of the values and beliefs of each individual they are supervising, including their readiness for change and their attitudes toward employment, their family, peer relationships, etc. This is important so that POs and clients can work together to develop actionable goals that their client can meet, and build on as they work toward larger goals highlighted in their IAP.

While the service delivery components described above are key components of NYC DOP's supervision approach, what truly defines their unique approach are the NeONs.

Neighborhood Opportunity Networks

NeONs are community-based probation offices located in the communities where the largest numbers of youth and adult probation clients live. Here, probation clients can check-in on computerized kiosks, meet in-person with their POs, and access services and programs through extensive partnerships with community-based organizations and public agencies. More specifically, NeONs offer a broad suite of services that are helpful to many individuals on Probation and community members alike, and also align with Maslow's hierarchy of needs:

- ❖ Basic (physiological) needs:
  - o Food pantry
  - o Health insurance enrollment
  - o Photo IDs issued
  - o Transit support

- ❖ Safety needs:
  - o Mental health and substance abuse assessment and referral
  - o Parent support program

- ❖ Esteem needs:
  - o Pre-employment services (CBO-run at NeONs)
  - o Employment services
  - o GED (High school equivalency exam)

- ❖ Self –Actualization:
  - o City University of New York College Ready Now program (financial aid to Hofstra and Bronx CUNY)
  - o Free verse poetry classes and performances

Figure 3. Maslow's Hierarchy of Needs
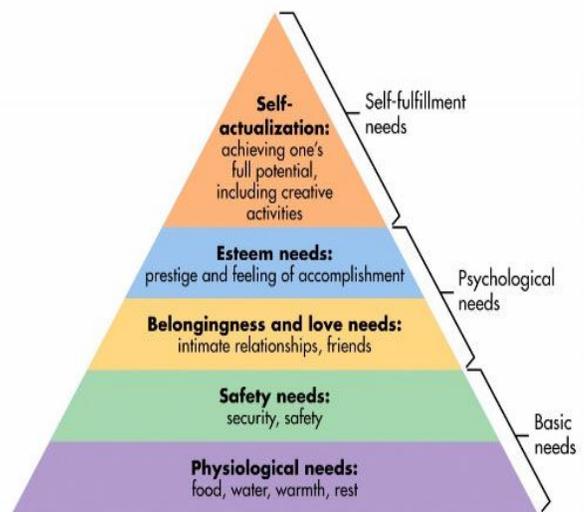
Probation personnel recognize the NeON approach as a paradigm shift from what probation used to be. By delivering services and supports to meet basic needs, the NeONs demonstrate that the Department supports the well-being of their clients. By co-locating education, employment, mental health, and

substance abuse services at the NeONs, NYC DOP enables clients to access the supports they need to satisfy the terms of their probation, all in one place. Also, by providing additional programs such as Arches, NeON Arts, and Parent Peer Support Programs (all described in greater detail below), among others, the NeON approach demonstrates to clients that Probation cares about them, and wants them to be their best selves. These messages are meaningful to clients, and appear to increase trust, improve client reporting, and result in better client outcomes.

> *"You can't say 'we've tried everything,' because, no you haven't. What we had been doing for decades in probation wasn't working. As a PO it can be hard to get clients to report, but when we opened the NeONs and offered clients what they needed and wanted, clients reported and came three times a week because they wanted to."*
> *– Ana Bermudez, Commissioner of Probation*

Figure 4. below provides a snapshot of a NYC DOP office prior to and after implementing the NeON model. Consistent with what one would expect to see in a community resource center, the NeONs are designed to be physically welcoming.

Figure 4. NYC DOP Office in Queens Before and After Developing NeONs

L: Queens Adult, 162-24 Jamaica Ave., 2010. Photo courtesy of the NYC DOP. | R: Resource Hub, 2012. Photo by David Sundberg, courtesy of Esto.

In order to create these beautiful spaces, NYC DOP had to redesign a number of probation offices. The South Bronx NeON, for example, had been a neighborhood-located satellite probation office. At that time, the office resembled your typical correctional setting with a reception desk surrounded by bullet-proof glass. NYC DOP transformed this space into a NeON by taking down the glass and removing rows of industrial chairs, as well as painting walls, installing artwork, replacing waiting area chairs with colorfully-painted benches and tables, building a small stage for performances and presentations, and much more.

According to probation officers working at the NeONs, the everyday execution of their jobs feels remarkably different at the NeONs.

> *"As a PO prior [to the NeONs], it was difficult to get clients to report. Once we started offering services, clients began reporting to Probation because they wanted to, not because they had to. When I saw clients coming in multiple times per week*

voluntarily I knew we were on to something."
– NYC DOP Deputy Probation Officer

Not only do probation staff experience the difference afforded by the NeON model, community advocates also see a change.

"When this started, I was the biggest critic of the NeON and now I'm the biggest
advocate. I didn't think Probation could be a part of social change."
– NYC Community Advocate

An important component to the NeON model is that all of the services and supports (except checking in at kiosks or in-person with probation officers) are open to the community. This is meaningful for three major reasons:

1. It reduces the stigma of using the NeON services.
2. It allows members of a client's support system (spouses, parents, siblings, friends, etc.) to also access services, which increases the client's likelihood of success.
3. It transforms the NeON from a conventional probation office to a community resource that serves as a resiliency factor at the neighborhood level.

Solano County (Juvenile Division)

Solano County received a grant from the Sierra Health Foundation to launch the Positive Youth Justice Initiative in 2012. Utilizing a positive youth development and trauma-informed approach, Solano County's juvenile division seeks to invest in youth, treat trauma, and provide wraparound service delivery to youth under community supervision. The goal of this approach is to reduce barriers to youth's successful transition to adulthood, including structural biases that exacerbate the over-representation of youth of color in the juvenile justice system.

Currently in Solano County, juvenile probation officers (as well as those supervising adults) are not armed, and pepper spray is not permitted in juvenile detention facilities. These policies, while controversial among some probation personnel, help ensure that the Probation Department prioritizes training on non-coercive techniques and skills-development among its officers. Policies like these are instrumental in how the role of the probation officer is envisioned, conceived, and enacted. They also help to emphasize that probation officer duties should center around cognitive-behavioral interventions, the practice of using incentives and graduated sanctions, and a focus on meeting clients' criminogenic needs (rather than a focus on control).

Along with these reform efforts, the Juvenile Division of the Solano County Probation Department has implemented a Response Matrix (see Appendix C) to create greater consistency in probation officer responses to minor, moderate, or major violations of probation clients' terms of probation. Similar to the use of a Structured Decision Making tool, which is used at the front-end to ensure consistency in placement decisions, a Response Matrix ensures probation officers hold the same understanding of commensurate responses to what the Department deems as low-severity, moderate-severity, and high-

severity probation violations. Recommended responses to probation violations align along the severity of the violation, as well as the assessed risk level of the client. Solano County's Response Matrix is designed so that a moderate-risk client who has a low-severity probation violation might receive a verbal admonishment, or a writing assignment, while a very high-risk client who has a high-severity probation violation may have an increase in supervision or may be remanded back into custody. In effect, the use of the Response Matrix in Solano County has significantly reduced the number of youth returning to custody on the basis of a probation violation. Such a tool can also guard against the capricious implementation of justice that can occur when the practices, training, and values of officers vary widely across a department.

Multnomah County (Juvenile Division)

As noted previously, Multnomah County's DCJ aims to only actively supervise the highest risk cases with long histories of justice involvement. Rather than detaining and/or actively supervising the majority of youth, Multnomah County prioritizes juvenile diversion or informal probation where youth are not actively supervised.

In an effort to improve outcomes for high-risk youth under supervision and their families, DCJ sought an evidence-based service delivery model. Specifically, for youth on active probation, the Functional Family Probation (FFP) model is followed.

In using FFP, the County strives to:

- ❖ Engage and motivate youths and families to participate in probation and in services to which the family is referred;
- ❖ Use proven assessment tools to identify the youth and family's greatest needs and most important areas for change;
- ❖ Focus on the strengths of the youth and his or her family members;
- ❖ Link youths and families to appropriate and effective services;
- ❖ Support youth and families and monitor attendance and participation in services to which they've been referred; and,
- ❖ When youth and family participation in referred services is complete, help youths and families maintain positive change for future success.[34]

Since DCJ believes the families of youth ultimately play the most critical role in supporting youth to make positive changes, FFP focuses on relationships and families rather than on the individual youth. As an integrative supervision and case management model, FFP is used to engage, motivate, assess, and work successfully with high-risk youth and their families. Following the arrest, a Juvenile Court Counselor meets with families throughout the course of supervision. All services offered through FFP are community-based, evidence-based, and designed specifically for youth and their families.[35]

Supervising Transitional Age Youth

Young adulthood is a transitional period that can range from age 18 to 25. As noted in RDA's *Review of Best Practices in Probation*, neurological research has recently verified that young adults are developmentally distinct from older adults and more similar to their younger counterparts. Because of this, the transition to adulthood is especially challenging for justice-system-involved young adults, as they are more likely to have personal histories that can further disrupt psychosocial development. [36] [37] For these reasons, probation departments across the country are developing specialized units to work with the transitional age youth (TAY) population.

San Francisco

Within San Francisco's Adult Probation Department there is a specialized unit that supervises TAY ages 18 to 25. A validated risk and needs assessment, the COMPAS, is administered to every TAY client and each client works collaboratively with their probation officer to develop an Individual Rehabilitation Treatment Plan (IRTP). TAY on probation have input in developing their IRTP and collaborate with probation officers to agree on what goals to prioritize as well as the necessary activities to achieve these goals. Monthly contact is based on COMPAS risk scores:

- ❖ High-risk clients have one office visit and one home visit per month.
- ❖ Medium-risk clients have one office visit every month and one home visit every two months.
- ❖ Low-risk clients do not actively report and have periodic telephone check-ins.

TAY clients also have access to resources at the Community Service Assessment Center (CSAC), a one-stop reentry community center. At the CSAC, clients can access intensive clinical case management; individual, group, and family counseling; dialectical behavior therapy; drug therapy; drug monitoring; and referrals for substance abuse treatment, housing, parenting, academic, and vocational support through linkages in the community. Together, these services support a model of service delivery that is client-centered, strength-based, and trauma-informed. The TAY unit also partners with a violence prevention program, Interrupt, Predict and Organize that provides participants with job readiness training through a community based organization. Participants that successfully complete the training program are often placed in City departments.

In San Francisco, justice involved young adults between the ages of 18 and 25 "who have legal and social service needs" have the opportunity to be referred to Young Adult Court (YAC). YAC is a collaborative justice court program designed to promote positive life outcomes and avoid recidivism by providing added supports specific to the needs of TAY. Ultimately, the court strives to align opportunities for accountability and transformation with the unique needs and developmental stage of this age group.

In the YAC program, the probation officers, case managers, and partner staff work closely together to identify and address the needs of participants. YAC largely focuses on leveraging the probation officer and YAC staff as a support system for the participant. The program values connection with the client as an essential element of success; therefore, POs are trained in motivational interviewing and trust building.

YAC's approach to service delivery focuses on addressing the comprehensive needs of their clients by providing and connecting clients to evidence-based services and critical resources such as housing, mental health treatment, and vocational training through their partnership with city agencies and community providers. Community treatment and case management is provided by the Family Service Agency/Felton Institute (FSA), which follows a trauma-informed model for service delivery. FSA provides a strengths-based and client-centered approach for youth who are also challenged by substance abuse and co-occurring disorders and are deemed high-risk to reoffend. YAC staff and partners closely coordinate efforts with probation officers so that clients access a unique blend of services, contingent on the results of their IRTP and an Individualized Achievement Plan. Clients are engaged in YAC for a period of one year by transitioning through four phases, with an ongoing relationship of care in the areas of job readiness, housing, educational support, and parenting.

YAC accepts participants from varying risk levels, including violent and nonviolent misdemeanors and felonies. Upon program completion, participants are given the opportunity to reduce their sentence from felony to misdemeanor and/or be expunged.

New York City

In New York, individuals on probation are usually assigned an Investigation Probation Officer, an Intake Probation Officer, a Supervision Probation Officer, and a Step-Down Probation Officer. Investigation Probation Officer work with a client to develop reports for the court while Intake Probation Officer do intake and conduct the LSI-R:SV to determine which unit clients should be assigned to. Once assigned to a unit, each client typically works with one probation officer until the terms of their supervision are stepped down, at which point the client would be transferred to another probation officer until their probation is terminated. Contrary to the typical process, 16- to 24-year-olds who are assigned to the "Anyone Can Excel" (ACE) unit in New York only work with one probation officer. ACE emphasizes the importance of the relationship between the probation officer and client for this population. The unit focuses primarily on ensuring that probation officers are more than a liaison to service referrals, and instead leverages them as primary change agents for clients. ACE accomplishes this by conducting a validated risk and needs assessment with all TAY clients and utilizing information from the assessment to collaboratively develop IAPs with their clients.

Conversations between probation officers and their clients provide the framework for the IAPs. This approach is based on the importance of recognizing where clients are in readiness for change, as well as guiding clients to take ownership of their trajectory on probation. Rather than reading off a list of activities that clients must complete, clients and their probation officer work together to prioritize goals and action items based on LSI-R:SV score outcomes and client needs. For instance, if a probation officer and client identify attaining full-time employment as a goal on the IAP, then action steps might include filling out three applications prior to their next check-in and conducting a google search on the type of jobs that may interest the client.

The ACE unit uses a strengths-based approach towards service delivery, and probation officers are trained and coached on restorative practices, group facilitation, and motivational interviewing skills. POs

also receive training in Positive Youth Development and adolescent brain development. ACE unit probation officers are also expected to utilize the Carey Guides, a set of 33 handbooks that help officers use evidence-based practices with their clients. ACE uses these guides to support the implementation of a cognitive behavioral framework for addressing criminogenic needs and common case management issues.

All TAY clients are expected to complete a 16-week course called Decision Points. This course is an evidence-based, cognitive-behavioral correctional program designed to target clients' antisocial thoughts and address participants' risk, needs, and responsivity in a group setting. Decision Points is delivered in a repeating series of five group sessions where the trouble cycle and decision-making process is reviewed and connected to real life issues.

In addition to Decision Points, ACE clients are connected to services such as YouthWrap, Arches, and the NeON Arts and Sports programs, described in greater detail below. YouthWrap is a program developed after Hurricane Sandy that was established as a weekend restoration assistance project that continues to receive funding today. Some ACE clients are also connected to the Young Adult Success Corps, which is for higher functioning clients who have successfully completed YouthWrap. These individuals, through a partnership with City Services, receive paid internships at a nonprofit working four times a week, while every fifth day they receive professional development opportunities. The Young Adult Success Corps is a 10-month program, and upon successful completion many clients are offered full-time employment.

Continuum of Services

In order to provide individuals under community supervision an opportunity to change course and not further penetrate the justice system, it is imperative for an accessible suite of services to be in place. As noted in RDA's *Review of Best Practices in Probation*, structured partnerships should exist with service providers who help to address the following needs:

- ❖ Physical health
- ❖ Mental health
- ❖ Trauma/PTSD
- ❖ Substance use
- ❖ Housing
- ❖ Education/workforce development
- ❖ Employment
- ❖ Legal aid
- ❖ Family support/reunification
- ❖ Benefits
- ❖ Mentorship
- ❖ Criminal thinking
- ❖ Transportation
- ❖ Positive youth development

Probation departments should collaborate with community members in the planning process in order to best identify the needs of the community, and develop a continuum of services that meet the needs of individuals on probation. Above and beyond developing a system of services to support clients on probation, New York and Washington, D.C., shifted their approach to maintain a central focus on leveraging indigenous supports and providing meaningful services to justice-involved youth and adults within the communities they live.

New York City

As described above, the NeON approach is a total paradigm shift from what probation used to be. In New York there is a central focus on delivering services and supports within community-based probation sites. These sites are meant to support basic needs and provide opportunities including education, employment, mental health, and substance use services, among others.

Arches Transformative Mentoring

In addition to providing a suite of services described previously, in New York City there is an effort to formally partner with individuals with a history of incarceration or offending who have now committed to supporting the community and its young people. Commissioner Bermudez explained:

> *"We saw that we were having a continuing issue with violence, so we needed*
> *'credible messengers.' We worked to create mentorship programs to address those*
> *needs, to help work with and protect our young people."*
> *– Ana Bermudez, Commissioner of Probation*

NYC DOP contracts with nonprofit organizations in targeted neighborhoods to provide a transformative mentoring intervention designed to meet young people where they are in the process of pro-social engagement. This intervention focuses on changes in cognition and thinking that often precede the ability to secure concrete attainments in education and employment. Credible Messengers work in partnership with probation and leverage their own life experiences to serve as mentors to probation clients. Not all credible messengers are returning felons, but they are all people who transformed their lives. The transformative mentoring approach that Arches uses is modeled after a model developed and validated by The Mentoring Center in Oakland, CA. The mentoring takes place in nine-month cycles, with two meetings a week (meetings always include a hot meal).

An Arches program operates in each borough and aligns with the NeONs. Core components of Arches include:

❖ A group process where mentors and participants become an important support system;
❖ Cognitive based interventions utilizing interactive journaling;
❖ Mentors who are on call, available 24/7, and doing "whatever it takes" to support youth;
❖ A positive youth development approach; and
❖ A paid stipend.

The group process is the core component of Arches, and mentors are paid for working with participants and mentees receive stipends for each group session completed. Group sessions target critical thinking, behavioral issues, difficult feelings, and peer associations, all of which are important criminogenic needs. Arches also connect participants to educational, vocational, and therapeutic programs when needed. Additionally, the program takes youth on field trips to college, skiing, and other places and experiences to which they may not have been exposed.

NeON Arts

Another unique aspect of NYC DOP's NeON approach is their focus on the arts, not only as a form of creativity and self-expression, but also as an avenue for employment. NeON Arts offers theater, dance, free verse poetry, and fashion design, as well as other programming such as filmmaking and editing. Carnegie Hall partners with NYC DOP and facilitates the RFP process in order to help identify which programs to fund, and as a result the programs are typically high-quality and well-run.

Through Carnegie Hall's Weill Music Institute, NeON clients participate in music writing workshops and perform their compositions with professional musicians. For instance, the South Bronx NeON has a poet-in-residence, Dave Johnson, who conducts a workshop that includes clients and staff. He also organizes weekly poetry slams that are open to the public. Their work was recently collected in Free Verse, a new journal published with help from See ChangeNYC, an initiative of the NYC Department of Design and Construction. Additionally, the Artistic Noise program helped young people in the Bronx interpret Family Court Law through art and the Groundswell Mural Project has connected Brownsville NeON clients with professional artists to research, plan, and paint several large murals.

One of the NeON Arts programs, the Animation Project, uses computer animation to teach behavior modification techniques. The Animation Project collaborates with Arches to give participants an opportunity to learn filmmaking within a group process with support from credible messengers. The skills these individuals learn are sought after and can result in legitimate employment opportunities. In Brooklyn, the branch chief is also a DJ and he developed a menu of arts services in which clients can participate. One of these services is a DJ class he teaches, and two clients he taught now have well-paying jobs as DJs.

Parent Peer Support Program

The NeONs also feature Parent Peer Support Programs that support the families of young people who are in the justice system. Former Commissioner of Probation Vincent Schiraldi initiated a survey with families and met with them to better understand their needs and the support they were seeking. This effort resulted in the discovery that parents do not understand how the system works or who the players are, and they struggle with the language/terminology used in the system. These challenges led to the creation of the Parent Peer Support Program.

The program provides parents with "peer coaches" to guide them through their child's involvement in the juvenile justice system. Community Connections for Youth trains the parents of system-involved youth to serve as "peer coaches" for parents who are currently navigating the juvenile justice system. Peer coaches are on site at the Bronx Family Court Probation Office from 9:00 AM to 5:00 PM, Monday through Friday, to help families navigate the juvenile justice system. Peer coaches also connect families to parent support groups and family strengthening programming, and are also available on call during evenings and weekends to support parents in crisis situations.

Washington, D.C.

As noted previously, in Washington, D.C., DYRS brought in the community to actively participate in planning meetings to build recommendations for a community-based continuum of care. As a result of this process, they developed a regionalized continuum of care to reflect the needs of the city's communities. There are also two achievement centers to provide support in the community.

Achievement Centers

The Martin Luther King (MLK) Achievement Center is similar to the NeON model, and according to Director Clinton Lacey, the MLK Achievement Center exemplifies "what love looks like" in juvenile justice, with a focus on care, compassion, and commitment and an emphasis on identifying and developing young people's strengths. The center partners with vendors to provide an array of programs that are tailored to at-risk youth and their families. These programs are intended to stimulate and empower participants by fostering education, career development, life skills, and healthy living. These partnerships with community organizations, agencies, and educational institutions yield a collaborative effort to reduce high-risk behavior in guiding youth as they develop a capability to navigate the world around them in positive and productive ways.

The MLK center contains a larger computer lab (with various classes offered by the University of the District of Columbia), barbershop and cosmetology studio, a culinary kitchen, and two conference rooms dedicated to the most current programming, and also hosts events throughout the year for youth and their families, including: career and health fairs; family nights; guest speaker panels; substance abuse education classes; movie nights; groups that cater to gender-specific or other issues; and support groups, among others. The MLK Center also provides resources such as "The Closet" which offers youth options ranging from basic clothing to professional attire for job interviews. Beyond programming and services, the Achievement Centers are a safe space where young people are provided food, drinks, and the most basic life essentials.

Figure 5. The MLK Achievement Center in Washington, D.C.
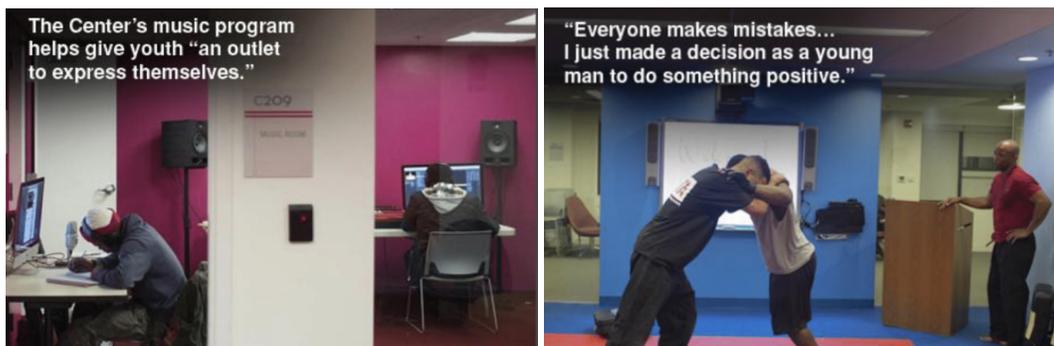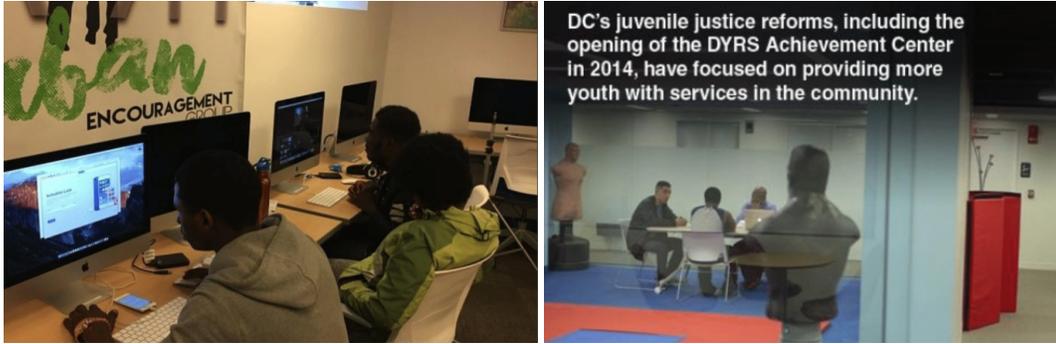
In addition to case management staff and social workers, Youth Engagement Specialists, Youth Peer Advocates, Program Managers, and other employees with a background in addressing high risk youth work with individuals on probation. These employees, assigned to specific wards throughout D.C., work collaboratively with the agency's Case Management Division and Group Homes to facilitate each young person's enrollment and participation in Achievement Center programming. According to Director Lacey, youth who routinely engage with Achievement Center programs demonstrate improved outcomes. Participants are more likely to secure gainful employment and identify temporary and permanent housing options, which promotes overall stability.

Credible Messenger Program

DYRS funds six Credible Messenger programs, which are operated by community-based organizations. As noted above, Credible Messenger mentoring is a process through which individuals from similar backgrounds engage youth in structured and intentional relationships that help them change their attitudes, beliefs, and actions. During the procurement process, DYRS prioritized authenticity and reach into the community to allow individuals and organizations with less formal experience with RFP processes to demonstrate their ability to be a part of the Credible Messenger program.

DYRS's Credible Messenger programs have the following key components:

❖ Transformative mentors hired to work with youth;
❖ Family engagement specialists hired to work with families;
❖ Restorative justice/Covenant of Peace curriculum;
❖ Economic and educational opportunities and capacity building for community organizations; and
❖ Safe spaces in neighborhoods with positive youth development activities.

According to DYRS leadership, Credible Messenger programs benefit youth and their families, as well as the mentors themselves and the larger community. The programs, as implemented in D.C., are set up to effectively meet the needs of youth to prepare them to succeed and improve their life outcomes. They also provide mentors with opportunities for personal growth, professional development, and employment. The community benefits because the program helps build the capacity of community providers while also cultivating outlets for restorative justice.

Juvenile Diversion

As noted in RDA's *Review of Best Practices in Probation,* research reflects a shifting juvenile justice paradigm acknowledging that youth should be diverted from formal processing to the greatest extent possible. This is because youth on probation experience higher reoffending rates than comparable youth whose cases are diverted rather than processed in juvenile court.[38] The following sections highlight the emphasis that is placed on juvenile diversion in Wayne County and Multnomah County, respectively.

Wayne County

Wayne County's Juvenile Services Division relies largely on prevention and diversion programs to provide services for youth. Prevention programs are intended to eliminate court contact for at-risk youth altogether, while diversion programs provide court-involved youth an opportunity to stop further penetration into the juvenile system.

Cases referred to prevention programs are typically for school truancy or referrals from the Human Services Agency, while those referred to diversion programs are felony offenses. The Juvenile Assessment Center, which oversees all of the County's prevention, diversion, and adjudicated cases, works with the prosecutor to identify cases for diversion. For cases that make it past the prosecutor, the court can, and often does, refer youth for diversion. In fact, the former Director of the Juvenile Services Division expressed that sometimes, in more serious cases, the prosecutor will pass a case through to the court in order to generate court buy-in on the case.

Each year in Wayne County, thousands of cases that previously resulted in detentions, petition filings, and placements are now handled through referrals to Youth Assistance Programs. Youth in these programs have very high success rates, as do youth who are formally processed in Wayne County. Approximately 1,200 referrals to diversion programs and 7,500 referrals to prevention programs were made in the 2013-14 fiscal year. At the same time, the state ward caseload dropped to approximately 620 youth, compared to approximately 3,400 youth in 1999. Recidivism also dropped from above 50% to 16% and the County incurred drastic cost saving through the reduced reliance on state training and residential care facilities.[39]

Multnomah County

Multnomah County's DCJ offers several diversion programs in an effort to redirect youth who have committed delinquent acts from the justice system through programming, supervision, and supports. To promote the goals and values of the Department, DCJ has collaborated with community partners to engage youth in services and programs that address some of the root causes of delinquency.

Youth who have committed low-level offenses for the first time are typically diverted and referred out to the Community Healing Initiative (CHI), a community-centered collaborative partnership. CHI is designed to decrease violence by providing culturally appropriate community support to youth and families. Such services include case management, advocacy, counseling, parenting classes, mentoring, and rehabilitation. While at CHI, youth work with a team that includes representatives from public

safety, social services, and community-based agencies. Together, the team and youth plan and implement activities focused on positive youth development, family support, and community protection.

Some youth aged 12-17 with first time, low-level offenses may be referred to a Four Cities Peer Court if they agree to make an admission to a law violation. Youth who enter the Peer Court are required to engage a parent, guardian, or other pro-social adult in their pre-court interview and Peer Court proceeding. While in Peer Court, the youth will be assigned a volunteer student defense attorney and a student prosecuting attorney. Once the case is heard, the jury (also peers) decides what type of accountability fits the law violation. The presiding judge, an adult attorney who is licensed in Oregon, maintains order, guides the process, and oversees sentencing. The goals of the project are to keep youth in school, support drug/alcohol-free youth, deter high-risk behavior, and provide education about the legal system.

Chapter 4: Facilities

As highlighted previously, probation departments should implement SDM in order to determine whether youth should be detained and/or placed in out-of-home placement, and these options should only be used as a last resort with youth. When youth are incarcerated they should remain in the communities where they live (or near where they live) so that they remain close to their prosocial supports and their lives are interrupted to the least extent possible. Facilities should be clean and safe, and offer youth appropriate living conditions. Facilities should not look like jails; instead they should be developmentally-appropriate environments conducive to the rehabilitate goals of the probation department, and all staff personnel should be trauma informed. [40] [41] In addition, there are several examples of well-run co-ed facilities that successfully house both girls and boys.

Key Findings

1. Creating opportunities for youth placed out of home to remain in or near the communities they live helps to keep them connected to their family and prosocial supports, as well as attend schools in their communities.
2. All juvenile facilities should be safe, physically appealing, and provide a rehabilitative environment that is open and well lit. Juvenile facilities should not look like jails.
3. Probation staff in juvenile facilities should be trauma-informed and utilize a positive youth development approach to help target criminogenic risk, and work to help youth develop tools and skills that they will need to address personal challenges.
4. To the greatest extent possible, youth placed out of home should sleep in open, dorm-like spaces rather than locked cells and also attend school in the community, accompanied by staff who travel with them to and from school.
5. Having accredited single-subject teachers and small class sizes, as well as an emphasis on social-emotional skill building, relationship-based teaching, and high expectations for students attending schools in locked facilities can help motivate youth who were not engaged with education prior to placement.

Location

When jurisdictions commit to keeping young people close to home and probation departments make a commitment to using SDM in determining recommendations for placements, they typically also need to build out a local continuum of supports and services, as well as less secure placement alternatives. This section highlights some of the work that took place in New York under the Close to Home Initiative which realigned New York's juvenile justice system so that New York City, rather than the state, is responsible for supervising all justice-involved youth.

New York City

A key goal of NYC's Close to Home Initiative was to keep young people from New York City who are put in placement near their families and home communities. Previously, young people who had been adjudicated as juvenile delinquents were placed in facilities hundreds of miles away, where it was

difficult for them to visit with their families, remain connected to their communities, or earn school credits. Under Close to Home, young people are placed in or near the five boroughs, close to an array of resources that can support their rehabilitation and their safe re-integration into local communities. Youth who are sentenced remain within New York City facilities operated by the Administration for Children Services, and attend a Department of Education program. The Close to Home Legislation allows youth to stay in the Department of Education and continue earning credits towards graduation with little interruption to their education.

Under the Close to Home Initiative, New York needed to develop a new, locally operated system and continuum of community-based interventions. In order to plan for and implement a new vision for juvenile justice they formed a Dispositional Reform Steering Committee. The stakeholder group was comprised of representatives from Family Court (the equivalent of a delinquency court in California), Mayor Michael Bloomberg's Office, the Law Department (which provides the City with legal representation), the Legal Aid Society, the Police Department, the City Council, the Administration for Children's Services, the DOP, the Department of Education, the Office of the Criminal Justice Coordinator, the Health and Hospital Corporation, and members of the advocacy community. Together, the stakeholder group came together to create a vision and plan for developing the supports and services necessary to support New York's justice-involved youth.

Juvenile Detention and Placement Facilities

This section highlights three model facilities from New York City, Washington, D.C., and Santa Clara County respectively. New York's Leake & Watts Non-Secure Placement facility, Washington, D.C.'s New Beginnings Secure Placement Facility, and Santa Clara County's William F. James Boys Ranch are described below.

New York City (Leake & Watts Non-Secure Placement Facility)

Prior to New York State's Close to Home initiative, youth placed at the Leake & Watts Non-Secure Placement Program would have been placed in a secure state-run facility. Youth placed at Leake & Watts Non-Secure Placement Program are between the ages of 12 and 17, deemed medium and high-risk, and typically stay for approximately 12 to 18 months. Youth placed here have often been through many prior programs and alternatives to placement.

Leake & Watts Non-Secure Placement Program follows the Missouri Model. Immediately upon entering the facility, it is apparent that the physical layout and environment is very different from a typical juvenile facility. Rooms are open and well lit, and the walls are painted vibrant colors with pictures and motivational quotes interspersed around the facility. Youth sleep in dorm-style rooms with their own beds in an open space.

Residential practices emphasize order and safety. Youth line up quietly when transitioning between activities. They are expected to make their beds every morning and attend school. Staff often see unmade beds as a sign that a youth might be having issues. When that is the case, staff follow up with the youth to assess the situation. Youth at Leak & Watts are allowed one hour of recreation each day,

which might include television or pool, and there are video games in the recreation room that youth are allowed to play during recreation time on the weekend. Staff work in shifts and are never allowed to sleep while they are on-site.

Youth placed at Leake & Watts attend school each day at Passages Academy in Belmont, which is operated by the New York City Department of Education. Staff from the facility travel with youth to and from school, and also accompany youth at school throughout the day. At Passages Academy, youth earn credits towards graduation in a learning environment that is designed to be safe and educational. At the end of the school day, youth check-in at Leak & Watts immediately upon their return from school.

A key element of the facility is that program staff target criminogenic risk and work to help youth develop tools and skills that they will need to address personal challenges. Youth are given the YLS assessment pre- and post-adjudication, at placement, and upon exit. They are provided services such as substance abuse treatment and mental health services in order to address their criminogenic risk and needs to the greatest extent possible – although youth with acute mental health diagnoses are not placed at this facility. Motivational enhancement therapy and cognitive behavioral therapy approaches are used in individual and group clinical treatment. Circles and group processes are also used extensively to build community and cultivate positive peer relationships. For youth at this facility, transitional and after care planning begins 75 days into placement, and one case manager, from the City's Administration for Children's Services, oversees each client's case from the beginning to end of supervision.

Washington, D.C. (New Beginnings Youth Development Center)

In Washington, D.C., the primary secure post-adjudication facility is the New Beginnings Youth Development Center (New Beginnings). It is a new 60-bed co-ed secure campus located about an hour outside of the District in Laurel, Maryland.

New Beginnings is built on land that previously housed the Oak Hill Detention facility, which had a rated capacity of 208 but often housed as many as 260 youth. A 1989 inquiry found that Oak Hill staff had beaten youth under there care with bricks, knives, chairs, milk cartons, and fists, causing broken teeth and noses, a dislocated shoulder, kidney injuries, and eyes swollen shut. The Oak Hill facility, however, remained in place with few changes to staff or practices until 2009, when New Beginnings was constructed as its replacement at a cost of $46 million.

The current staff at New Beginnings is a mixture of new employees and staff who used to work at Oak Hill. All New Beginnings staff receives training in Aggression Replacement Training (ART), Moral Reconation Therapy, Reality Training Therapy, and LGBT competency training, among other areas. ART group leaders also receive ongoing coaching from outside consultants. Staff performance reviews and measures are not yet tied to observable skill development associated with the trainings listed above, but DYRS is moving in that direction. DYRS, rather than Probation, oversees custody of confined youth and handles services in the community for system-involved youth in Washington.

At New Beginnings, staff are called "Youth Development Representatives," and room confinement is not ever used as punishment. Youth may be placed in a locked room only for brief cool-downs of 10 minutes, and a law passed in Washington, D.C. in April, 2017 prevents punitive confinement, although this was the philosophy of New Beginnings long before the law change. The director of DYRS, Clinton Lacey, explained that "Love here is explicit," and believes that, "Nobody should be judged by their worst day or the worst thing they've done." The philosophy at New Beginnings is guided by what they call the "Covenant of Peace" which includes the following elements:

- ❖ My life matters
- ❖ Forgiveness
- ❖ Family
- ❖ Honesty

While New Beginnings is a locked facility and youth are confined in very small dormitories, the dormitories at this facility are decorated nicely and every room has a chalkboard wall, desk, bookshelf, bed, colorful bedspread, and rug. Doors are metal and locked, but painted to look like wood. Bedtimes are staggered, and sleep time is the only time youth are confined to their rooms. There is a large open grass lawn at the center of all living units, as well as a cafeteria with an open salad bar, fruit, and other healthy foods prepared on-site and a medical center which has nurses 24/7, a doctor, and mental health clinicians on duty during the day. Finally, there is also a large gym where youth can play basketball and get exercise, and where marathon weekends with credible messengers are held. During these marathon weekends, credible messengers from the community lead discussions and exercises around the Covenant of Peace.

Figure 6. The New Beginnings Youth Development Center

The school at New Beginnings, the Maya Angelou Academy, is operated by a nonprofit charter organization. The educators see it as their responsibility to help address the barriers to learning that their students present, including trauma and poor social skills. Youth participate in pull-out meetings with therapists and service providers during the school day. Classes are co-ed and are designed to be as enriching as the classes youth would receive if they were at a high-quality community-based high school. They have authors, poets, and young playwrights come in and present on-site, as well as mentors from American University. Every month, youth go on college tours.

Students at Maya Angelou get "PR points" for their participation in school. If students meet their weekly PR point expectation, they receive $25 that gets banked each week during their stay. This, along with the small class sizes, emphasis on social-emotional skill, relationship-based teaching, and high expectations, motivates students who may have been disengaged from their education prior to their arrival. Students also have access to certification programs in barbershop/cosmetology, auto shop, construction, digital schooling, and culinary arts at the New Beginnings facility. There is also a lawn-mowing training and service programs that allow youth to go out into the community and provide lawn care during the summer. For the auto shop and summer lawn care programs, youth leave the confines of New Beginnings and are outfitted with ankle bracelets.

According to the school director at New Beginnings, there are eight teachers who are single-subject credentialed (secondary credential). At baseline, the youth generally have a 5th grade skill level, and on average they move up two skill levels while they are enrolled at the school. Post-release, students are paired with advocates employed by the Maya Angelou Academy who help them with the transition back to high school. The school follows students with support, scholarships, and success plans until they graduate from college, and there is a college and alumni support position to maintain this effort.

Santa Clara County

From 2004 to 2013 in Santa Clara County, under former Chief Sheila Mitchell's leadership, the average census in juvenile hall dropped from nearly 370 youth per day to 140 youth per day, and the Department's use of community alternatives increased by over 500 percent. The County operates co-ed facilities, and in alignment with the Missouri Model, implemented the Enhanced Ranch Program (ERP) model at the William F. James Boys Ranch, moving from prison-style barracks to small family-like settings with a therapeutic atmosphere (as seen in Figure 7 below).[42]

Figure 7. William F. James Ranch after Implementing the Enhanced Ranch Program

After recognizing that the previous model was not fostering youth development and resulting in a high number of behavioral incidents, Santa Clara County's Probation Department implemented the ERP, an evidence-based cognitive behavior model, to improve service delivery and outcomes for youth at James Ranch.[43] The ERP serves high-risk, high-need youth with gang affiliations and substance abuse histories. Under the ERP there has been a decrease in the ranch population and an increase in the ratio of staff to youth (1:6 for days and evenings and 1:12 at night; previously it was 1:15 for days and evenings and 1:30 at night). The program has demonstrated success, helping to reduce the number of probation violations by nearly 60 percent since implementation.[44]

While the ERP drastically improved conditions and service delivery at James Ranch, the aftercare component of the model was significantly limited in its ability to provide youth the support, services, and supervision needed to make a successful transition back into the community. To address this gap, SCCPD implemented the Reentry Assistance Program (RAP) to provide wraparound services for youth exiting James Ranch. The model hinges on an integrated, multi-agency, community-based process grounded in the philosophy of supporting both youth and their families in order to provide the most effective continuum of care.[45]

In RAP, a multidisciplinary team (MDT) meets with youth 60 days and 30 days prior to their release. Utilizing the Juvenile Assessment and Intervention System (JAIS), a validated youth risk and needs assessment, the team-based approach allows for all MDT members to collectively determine the needs,

services, and supervision strategy with each youth. Upon release, an assigned probation officer begins "high-touch" case management with RAP youth. RAP probation officers carry small caseloads (15 cases maximum) and spend considerable time with the MDT planning and meeting with children and their family members, which has led to significantly fewer violations amongst RAP youth over time. [46] [47]

Chapter 5: Fiscal Operations and Financial Management

Regarding fiscal operations and the financial management of probation departments, it is important to note that there are few, if any, model jurisdictions or jurisdictions that are comparable to Los Angeles County. However, there are a number of practices and an emerging body of research to inform a study of financial management. Methodologically, RDA conducted an extensive, but focused literature review and interviewed several probation leaders from California and New York to gain from their experiences.

Key Findings

1. Alternatives to traditional financial management practices can be effective means of circumnavigating bureaucratic burdens and more effectively partnering with communities. These alternatives include public-public partnerships, public-private partnerships, and thinking outside the box when it comes to implementing standard processes.

2. Participatory management approaches to fiscal operations can transform a department to be more effective. Steps toward participatory management include: developing a clear vision; creating a team environment; empowering and communicating with employees; putting clients first; cutting red tape; and creating clear accountability.

3. Implementing strategies to manage change within fiscal operations can support the effective delivery of services. These strategies include using a crisis as a catalyst for change by developing a shared vision; overcoming conflict by creating a team dynamic; emphasizing quality improvement by prioritizing high-quality client services; finding opportunities to partner with communities; and devolving decision-making authority to empower and communicate with staff.

Community Partnerships

Formalize Structured Partnerships

Challenges with lengthy contracting and regulatory processes are not unique to any one jurisdiction, and RDA found a range of practices employed by various jurisdictions as means of more effectively partnering with the communities they serve. These practices also show solution-oriented strategies that help jurisdictions circumvent bureaucratic requirements and realize their goals and objectives. One alternative is an agency-to-agency partnership. Said one former Deputy Probation Commissioner from New York, procurement and contracting is "always a nightmare… one area most places do have a fair amount of flexibility is in government-to-government contracting." The City University of New York (CUNY) is part of the local government structure, and the NYC DOP leveraged the skills and expertise of a fellow government agency to provide substantive services for the department. CUNY not only provided direct services to the Department by training POs but also indirect services by hiring subcontractors that would have otherwise been held up in NYC DOP's lengthy processes. "In some ways you are getting around the procurement processes, but, on the other hand, these are the [services] that universities do."

Public-private partnerships can also be an effective means of reducing barriers in contracting and procurement processes, although they are more difficult to approach and take political buy-in and

leadership to achieve. Now in its third round of funding, Alameda County's 'Innovation in Reentry Grants Program' represents a unique collaboration between the public sector and philanthropy. The County's Health Care Services Agency contracted with Philanthropic Ventures Foundation to administer the grants and to act as a fiscal repository so that CBOs would more quickly receive grant funds. This enabled the County to implement new and innovative programming without the lengthy processes of scope development and contracting.

Another way to formally partner with the private sector is through master contracting with a CBO that can more easily distribute funds to the community or subcontract to other CBOs. Public organizations are typically slowed by requirements (e.g., the bidding process) not set by the organizations themselves. Agencies can more quickly fund community-based services through other vehicles such as master service agreements, intra-fund transfers, or partnerships with foundations.

Cutting Red Tape

One research study of several public agencies within a single metropolitan area revealed a number of strategies to deal with barriers to effectively contracting with community partners. This study found that "governmental agencies typically did more than simply issue RFPs and wait for responses. There were often formal and informal initiatives taken both before and after the RFP had been issued."[48] The staff took a more active, targeted approach to outreach as a means of engaging CBOs and persuading them to participate. Despite resource limitations, the government employees in this study "often provided technical assistance to potential suppliers through bidders' conferences or special workshops in which the RFP specifications were explained and questions answered. While this process may have helped to produce more suitable proposals from potential providers, it also required considerable investment of public agency staff time, which was generally in short supply."[49]

As a means of overcoming a shortage of suitable providers, some governmental agencies took the initiative to provide assistance in establishing the necessary organizational structure. Again, while this is outside the typical roles and responsibilities of government employees, providing this level of initiative enabled the agency to achieve its goal of successfully contracting the delivery of needed services. "For example, as part of a community organization process, county staff helped citizens to establish facilities such as a halfway house for deinstitutionalized mental patients, a parent-child center, and a day treatment program for the frail elderly. Once incorporated as nonprofit, public-benefit corporations, such fledgling agencies were loaned staff and received technical assistance and consultation by governmental agencies."[50] This study also found that government agencies also provided loans to CBOs to invest in capital improvements or took measures to purchase buildings that they then leased to the CBOs. "Such efforts represent forms of public-private partnerships that are infrequently discussed, perhaps because they are departures from the conventional image of open, competitive bidding." [51]

In addition, there are ways to reform internal procurement or contracting processes to be more effective. This, in turn, enables the agency to be more responsive to community needs. For example, public sector leaders can more quickly implement decisions by empowering those that are the closest to the work to take action. Though the details and rules may take longer to catch up, in Australia, public

sector leaders circumvented lengthy procurement procedural delays by issuing government credit cards for small purchases.[52]

When it comes to the contracting process, there is often tension between those that administer the process itself and those that are requesting the services. Operational knowledge, such as understanding the ins and outs of a particular service or approach to delivering services, does not qualify an operational subject-matter expert to develop the specific, measurable objectives and activities within a scope. At the same time, administrative knowledge, such as understanding the steps and requirements for implementing a technically compliant contract, also does not qualify an administrative subject-matter expert to develop a scope. A lack of clarity around the roles and responsibilities for developing scopes for new services can lead to tension. In San Francisco, former Chief Probation Officer Wendy Still addressed this challenge by hiring specialized contracts staff whose jobs were explicitly designed to focus on developing of new programs and working with operations to develop scopes of services. By leveraging their expertise in researching and identifying evidence-based practices and integrating them *into the contracts unit*, Chief Still noted that San Francisco Probation was able to make the process more efficient.

Participatory Management Approaches

In a participatory management framework, staff have more opportunities to partake in decision-making that relates to their own work and working conditions. The Clinton/Gore-era 'Reinventing Government' movement highlighted the benefits of participatory management from an administrative perspective. Research from that period uncovered the dysfunction of hierarchical, centralized bureaucracies. Reinventing government under a participatory management framework meant envisioning new roles for public sector leaders. These roles included:

7. Developing a clear vision;
8. Creating a team environment;
9. Empowering and communicating with employees;
10. Putting clients first;
11. Cutting red tape; and
12. Creating clear accountability.
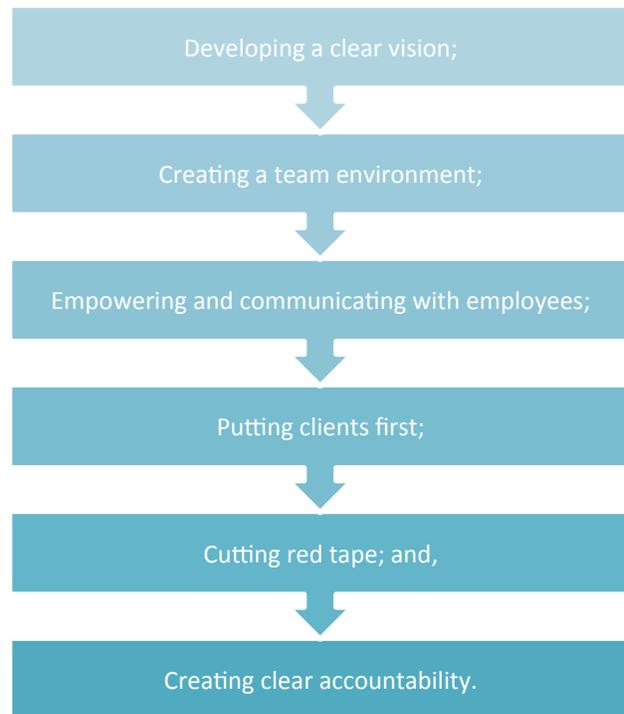
Developing a clear vision;

Creating a team environment;

Empowering and communicating with employees;

Putting clients first;

Cutting red tape; and,

Creating clear accountability.

Implementing these six practices can transform the culture of governmental bureaucracies to be more inclusive of staff in decision-making processes. The literature has shown participatory management to reduce employee stress, increase job satisfaction, and reduce turnover.[53] [54] [55] Conversely, not

empowering and not communicating with staff has the negative consequences of reducing staff connection to the agency's core functions and alienating them from agency-level decisions by limiting their involvement in the decision-making process itself.[56]

Including staff in decision-making is essential to effectively coordinating within a large department. Jeanne Woodford, former Undersecretary of the California Department of Corrections and Rehabilitation (CDCR), explained how she tried to increase administrative efficiencies at CDCR:

> *"At our meetings were the heads of all the divisions. If I was having a specific problem that required a budgetary response, they were in the room. I had a chance to explain it with the director right there and turn to them, in real time, in the room."*
> *—Jeanne Woodford, former Undersecretary of the CDCR*

The transformation of public management requires a wide, inter-disciplinary skillset, and the fastest way to gain all those skills is to bring the right people into the room at the same time. [57]

Clear Visioning

Developing a clear unified vision is the first step toward making agencies more efficient and effective. For Erie County, New York, a fiscal crisis was the catalyst for system reform. Their cross-system response began with developing a clear vision, which paved the way for inter-departmental collaboration. In 2001, the County's Departments of Probation, Social Services, and Mental Health used the financial crisis as a catalyst for developing a common goal. Leaders from these three departments began meeting during early stages of the crisis to identify potential avenues for collaboration as a means of saving funds as well as moving to effective practices that directly benefited community members. They were united under a common goal — to mitigate the deleterious effects of the financial crisis on their departments' client services. As a result, they were able to develop a shared vision and plan of action that resulted in cost savings, enabled effectively blended funding, and strengthened their functional collaboration. Their success depended on their ability to forge inter-departmental agreements that allowed both blended funding and functions, moving beyond typical policy and regulatory constraints.[58] [59]

Team Environment

Among partners with different goals or practice objectives, such as those within different functional teams or even different agencies, conflict will inevitably occur during the course of doing business. However, conflict does not have to be a barrier toward effective collaboration. Instead, using conflict as a learning opportunity is a way to increase the strength of those relationships, and build a team-oriented trusting environment. Within the Erie County partnership, conflicts occurred when staff "held and acted upon stereotypical views of each other; when ideological, historical, or political differences allowed certain agencies to dominate partnerships whilst others were marginalized; where there was a lack of clear vision, sense of common purpose or clarified responsibilities and when there was a failure to communicate on a regular basis."[60] Those same opportunities for communication breakdowns, however, turned into opportunities for strengthening the relationship when the staff channeled the conflict into constructive opportunities for feedback and compromise. A relational approach focuses on

strengthening the relationships between two actors rather than focusing on opposing team priorities. "That is not to suggest that organizational priorities are not important but far too often the immediate priorities of different agencies become the driving force for inter-agency partnerships to the detriment of the long-term future of such arrangements." Positioning the three agencies as one team, rather than three, helped create the environment for a successful partnership.

To overcome the inevitable conflict of interests within a cross-functional partnership, the actors should adopt a relational approach to collaboration that includes:

❖ Respect, empathy, and a valuing of diversity as a basis for relationship and communication;
❖ Willingness to negotiate, compromise, and be accountable and, where conflicts do occur, a readiness to use mediation focused practices to resolve them;
❖ Commitment to a common vision, agreed priorities and clear lines of responsibility and accountability;
❖ Clarification of the ideological, historical, and practice areas where disagreements may occur and tentative plans to address these;
❖ Genuine opportunities for participation and consultation—not only for agencies which have key responsibilities or financial interest but also for those which may have short-term and community-based interests; and
❖ Constant dialogue; even occasional friendly phone calls, rather than communicating only when something goes wrong. [61]

Following these guidelines contributes to the development of a partnership infrastructure that can overcome many obstacles and effectively accomplish agreed-upon goals. These guidelines were developed for probation partnerships with other public agencies, but can easily be adapted to guidelines for partnerships within a single bureaucratic agency that, in itself, operates as a set of functional teams—such as an agency that separates administrative functions such as budgeting or contracting from practice operations.

Client-First Approach

During a time when funding was evaporating, leadership from the Erie County partners increased investment in overhead rather than reducing it. They invested resources in real-time data dashboards and information systems to support their change process and ensure high-quality services for clients. Their investment in data-driven decision-making assisted with a) ongoing goal setting, b) monitoring of performance milestone achievement, c) learning opportunities for improvements in the efficacy of practice, and d) identifying and adjusting to emerging challenges. [62] This framework is similar to the Plan-Do-Study-Act evaluation framework that is common within healthcare as a means of monitoring continuous quality improvement and assuring the delivery of high-quality client services. The success of any systems change requires continuous quality improvement, on-going oversight, monitoring, and routine quality improvement actions and program interventions based on timely, accurate data. [63] In Erie County, evaluation and data reports were central to the agenda at all standing meetings. The partners attended monthly and quarterly 'system of care program reviews,' monthly 'system of care

management team meetings,' and a range of other regular meetings including family roundtables, contract management, and supervision. Although too many meetings can sometimes take away from the practice of service delivery, researchers on systems change emphasize the need to over-communicate. In Erie County, ensuring a wide-reaching range of stakeholders throughout all three departments had access to, and utilized, the same data was a central component to the success of their collaboration.

Empowering Staff and Creating Accountability

Department change is not easy, especially under the conditions of changing leadership. According to the "Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism," long-term staff may feel anxious and resist changes to their familiar routines. Within administrative and fiscal teams, where regulations and rules govern work processes, organizational change is even more difficult to address.

Looking at transnational administration practices within the justice setting, one jurisdiction within the United Kingdom took steps to change financial management practices to bring those that are closest to service delivery closer to financial decision-making for their own teams. The West Mercia Police is the fourth largest territorial police force in England, covering nearly 3,000 square miles that include both densely populated urban areas and sparsely populated rural areas. As a means of addressing the broad range of needs across the territory, the West Mercia Police 'devolved' their budgeting process, de-centralizing financial decision-making. Decisions for fund use are best held by the people who are responsible for implementing the services. "For devolved budgeting to be fully effective, the budget holder should maintain proper control of the costs being charged to him or her and be accountable for performance against budget."[64] This means on-the-ground program managers are involved in budgeting not only direct program costs but also indirect administrative and overhead expenses.

As previously noted, ensuring that financial processes are continuously scrutinized by both programmatic and administrative leaders is essential to success. The West Mercia police leadership achieved consensus through the accounting staff's understanding and integration of external accountabilities into their practices, which happened through ongoing meetings and continuous evaluation of budgeting practices. "The shift in power over resource allocation decisions to budget-holding police managers enabled them to address operational initiatives that were valued by the police ethos." In other words, the move to include operations in budgeting and accounting decision-making enabled the police department to more effectively achieve its priorities.

Summary

Financial management practices such as accounting, procurement, contracting, etc., are not neutral, disconnected, or weak activities that occur in a black box. Rather, when 'loosely coupled' with operational practices, financial management can be a mechanism imbued with the power to bring consensus between the competing drives of operations and administration.[65] As many accounting researchers have argued, financial management must be seen within the setting in which it is deployed.[66] Because the management of administrative functions is woven into the institutional fabric in

which it sits, the research and practices illustrated in the section above demonstrate that, when it comes to managing the finances of a large public agency, it is essential to unify operations and administration under the umbrella of a shared vision and common goal. If implemented, the practices outlined within this section can lead to more effective management of fiscal operations that both supports and enables probation departments to more effectively partner with clients and communities.

Appendix A. Solano County Job Description

COUNTY OF SOLANO
CLASS SPECIFICATION
DEPUTY PROBATION OFFICER
(ENTRY)

Effective Date:

04/12/2006 Effective Date of

Revision: 05/11/2016

CLASS SUMMARY

Under general supervision, performs professional level casework in the investigation, assessment, supervision, enforcement, diagnosis and treatment of adult and juvenile offenders; ensures community safety by monitoring offender accountability and rehabilitation. Incumbents of this class should demonstrate necessary knowledge and abilities to be promoted to Deputy Probation Officer within twelve (12) months of appointment provided they meet the other requirements for the journey level class. Some employees in the class of Deputy Probation Officer (Entry) may be assigned to an armed unit in order to supervise caseloads of high-risk offenders and therefore be, in accordance with department policy, authorized to carry firearms.

DISTINGUISHING CHARACTERISTICS

This is the entry level class in the Deputy Probation Officer series. Incumbents are expected to learn procedures and methods of effective probation casework in preparation for promotion to the journey level. This class is distinguished from the:

- **Deputy Probation Officer** class which works more independently and is expected to handle most work problems without direct supervision.

SUPERVISION RECEIVED AND EXERCISED

- Receives general supervision from a Deputy Probation Officer (Supervising) and may receive lead direction from a Deputy Probation Officer (Senior).

- Exercises no supervision over other County employees; supervises offender case activity and progress.

ESSENTIAL DUTIES: This class specification represents the core area of responsibilities; specific position assignments will vary depending on the needs of the department.

- Learns to conduct pre-sentence investigations of adults and juveniles by interviewing the offender, the family, and others concerned to assess potential for success under

probation supervision, to report progress while under supervision or to recommend sentences; maintains detailed records of visits with offenders; conducts in-depth information analysis and assessment of each case; reviews documents; evaluates violations of court orders; determines appropriate placement; recommends restitution; identifies treatment options; prepares reports.

- Learns to gather information for the court in making a pretrial release decision, including conducting an objective pretrial risk assessment to evaluate risk of flight and re-offense.

- Learns to prepare a social history of the offender for the Court; to interpret findings, to review the Penal Code to determine aggravating and mitigating circumstances of the crime; to recommend a plan of sentencing, placement and rehabilitation; and to compose correspondence and complex reports for Court use.

- Learns to contact victims to establish restitution and provide victims' rights information to offer guidance to assist offenders in their rehabilitation; and to use crisis intervention skills as needed.

- Learns to monitor and evaluate offenders' progress on a follow-up basis; to evaluate the extent to which probationer is making progress; to determine compliance with conditions of probation or pre-trial release; to re-assess the frequency of contact needed during supervision; to reclassify cases no longer requiring personal contact; and to secure remedial action from the Court or other competent authority if necessary;

- Assists in investigations and assessments of criminal behavior and personal circumstances; applies sentencing criteria and makes recommendations to the Court, entering reports into evidence.

- Learns field supervision techniques including conducting searches; works in concert with local law enforcement agencies to assist with investigations and conduct search and arrest operations; performs supervised investigations and assessments of offenders' criminal behavior and circumstances; reviews information from attorneys, police, criminal history reports, motor vehicle reports, probation files, and any other paperwork pertaining to the current offense; interviews the offender, the family, criminal justice persons, and others concerned; applies sentencing criteria and makes sentencing recommendations to the judiciary; enters reports into evidence.

- Learns to inform parents, guardians, minors and offenders about circumstances, terms and conditions of probation supervision; as needed, refers offender, family and/or victims to outside service agencies.

- Learns to coordinate functions between agencies.

- Maintains professional knowledge in applicable areas and keeps abreast of changes in job- related rules, statutes, laws and new trends in the field; makes recommendations for the implementation of changes; reads and interprets professional literature; attends training programs, workshops and seminars as appropriate.

- Performs other duties of a similar nature or level as assigned.

EDUCATION AND EXPERIENCE:

- **Education:** A Bachelor's degree from an accredited college or university.

- **<u>Experience</u>**: No experience is required.

  Note:
    - While a degree in a specific field is not required, the possession of Bachelor's degree or higher in on the one following fields is desired and may be a factor considered during the rating and/or selection process: criminal justice, social work, psychology, sociology or a closely related field.

LICENSING, CERTIFICATION AND REGISTRATION REQUIREMENTS:
- Possession of a valid Class C California driver's license is required.
- Employees assigned to an armed unit must obtain Cardiopulmonary Resuscitation (CPR) and First Aid certification prior to assignment and must maintain the certification while assigned to the unit.

REQUIRED KNOWLEDGE, SKILLS AND ABILITIES:

Knowledge of:

- Principles, practices and techniques of communication, interviewing, counseling, resistant-defensive behavior, personality theory and self-image, stress and change theory.

- Self awareness-objectivity techniques for understanding others; personality types.

Skill and/or Ability to:

- Operate office equipment including a personal computer to input and access data, copy and fax machines and printers.

- Use drug testing devices, physical restraints and radio.

- Learn and understand, interpret and explain laws, rules, regulations, policies and procedures governing specific probation programs and operations.

- Learn assessment techniques as to causes of illegal behavior and personal circumstances.

- Learn to recognize personality types and varying behaviors and to diffuse hostile and aggressive behavior.

- Utilize firearms for self-defense, for the defense of others and/or to reduce the risk of threat in life-threatening situations when assigned to an armed unit.

- Effectively manage a caseload, prioritize a work schedule, and manage time effectively while addressing multiple tasks and deadlines.

- Input, access and evaluate data using a computer case management system.

- Communicate clearly both orally and in writing with offenders, attorneys, judges, health professionals and others

- Maintain objectivity; formulate decisions.

- Properly identify probationer-family interactions and provide necessary intervention.

- Learn and apply departmental assessment standards.

- Counsel and interview offenders and other concerned parties; intervene in crises.

- Determine the appropriate course of action in emergency or stressful situations.

- Learn to deal firmly and fairly with offenders of various socio-economic backgrounds and temperaments.

- Learn to recognize areas of need and make referrals to local and regional providers of social, medical and/or other specialized services.

- Maintain cooperative working relationships with peers, offenders, other agencies and other professionals.

PHYSICAL REQUIREMENTS:

- Mobility and Dexterity: Tasks require the ability to exert moderate, though not constant physical effort, typically involving some combination of climbing and balancing, stooping, kneeling, reaching, grasping, feeling (i.e. sense of touch), repetitive motion, crouching, and crawling. May be required at times to use force to restrain/subdue others. May involve prolonged standing. Lifting, Carrying, Pushing and Pulling – Light Work: Employees in this class will be exerting up to 20 pounds of force occasionally and/or up to 10 pounds of force frequently, and/or a negligible amount of force constantly to move objects.

- Vision: Positions in this class require the employee to have close visual acuity, with or without correction, to prepare and analyze data and figures, view a computer terminal, read, etc. Positions in this class also require employees to have depth perception in order to operate a motor vehicle. Employees in this class must have the visual acuity to make observations of surroundings and must demonstrate color vision sufficient to distinguish colors in order to describe events in an accurate manner.

- Hearing/Talking: Positions in this class require the employee to perceive the nature of sounds at normal speaking levels with or without correction, and have the ability to receive detailed information through oral communication. Positions in this class require the employee to express or exchange ideas by means of the spoken word. Detailed or important instructions must often be conveyed to others accurately, loudly, and/or quickly.

WORKING CONDITIONS:

- Outdoor Work: Employees in this class will often be working outdoors and thus will be subject to exposure to intense noises, fumes, odors, pollens, dust, inadequate lighting, and to unpleasant field conditions including rainy, windy, cold, or hot weather.

- Work in a Jail/Juvenile Detention Facility (JDF): Employees in this class will occasionally be working in a jail/JDF environment and thus will be subject to exposure to communicable diseases, intense noises, odors, blood and other bodily fluids.

- Traffic Hazards: Employees in this class will be required to operate a vehicle and thus will be subject to traffic hazards while driving.

- High Risk Population: Employees in this class may be subject to people with a history of violence and mental health disorders and with disruptive or confrontational people.

OTHER REQUIREMENTS:

- Probation Officer Requirements:

  - Incumbents must complete annual training in accordance with Title 15, Division 1 of the California Administrative Code.

  - Incumbents of this class have limited Peace Officer powers as delineated in the California Penal Code and must therefore meet training requirements with Penal Code Section 832 within twelve (12) months of appointment.

  - Peace Officers must meet minimum standards concerning citizenship, age, character, education and physical/mental condition as set forth in Section 1031 of the California government Code.

  - Must complete the Probation Core Course certified by the California Corrections Standards Authority within twelve (12) months.

  - Must pass a physical exam and psychological exam confirming fitness to be armed as a condition of hire.

  - Firearm Proficiency: Prior to assignment to an armed unit, employees must complete required firearm training which includes: an approved course on firearms pursuant to Penal Code Section 832; a review and acknowledgement of the Department's firearms policy; a Basic Force and Weaponry Course as selected by the Department; quarterly firearms qualification training; and other training required by the Department. Employees hired prior to this revision must pass a psychological examination confirming fitness to be armed prior to assignment to an armed unit.

  - Independent Travel: Incumbents are required to travel independently, for example, to meet with adult and/or juvenile offenders, their families, and other concerned parties.

  - Language Proficiency: Some positions allocated to this class may require the applicant to speak, read and write in a language other than English.

CLASS HISTORY AND CLASS INFORMATION
- Date Approved by the Civil Service Commission:
- Date Adopted by the Board of Supervisors: June 30, 2003
- Dates Revised: April 12, 2006, May 11, 2016
- Dates Retitled and Previous Titles of the Class: N/A
- Class Code: 512020

Appendix B: NYC DOP's Individualized Action Plan

Adult Services
Individual Achievement Plan
Probation Officer/Client Contract

Initial IAP Date: / /
Amended IAP #___Date: / /

Probation Officer's Contact Information		
Probation Officer's Name:	Telephone:	E-mail:

Section I. Demographics (Please provide the most current information)

Client's Information		
Client's Name (Last Name, First Name):	Case #:	Date of Birth: / /
Address:		E-mail:
Phone #: ( ) -	Cell/Alt Phone: ( ) -	Gender:
Parent's/Guardian's Name:		Phone #: ( ) -
Offense(s) for which placed on Probation:	Probation Start Date: / /	Probation End Date (MED): / /
Date of Initial Assessment: / /	Risk Score/Level:	Date of Reassessment: / /	Risk Score/Level:

Section II. Contact Requirements

Based on assessed risk and level of supervision, the Probation Officer and Client agree to the following:

Face-to-Face Monthly Contact Requirements:		
Number of Office Visits:	Number of Home Visits:	Number of Collateral Visits:

Section III. Service Plan

The Probation Officer and Client agree to address the following service categories (select the top three domains client will focus on during supervision, in addition to the fourth – staying crime free):

Check Top Three Categories:
☐ Anti-Social Thinking/Anti-Social Peers ☐ Education ☐ Behavioral Health ☐ Additional Services & Support
☐ Healthy Relationship with Positive Adult ☐ Family Services ☐ Workforce Development

Anti-Social Thinking/Anti-Social Peers (examples: Complete cognitive behavior restructuring classes, attend counseling, etc.)		
Provider Contact Information:	Length of Program	Attendance Days & Times:
	Start Date: / /	End Date: / /	☐ Sun- ☐ Mon- ☐ Tues- ☐ Wed- ☐ Thurs- ☐ Fri- ☐ Sat-
Goals:		Services to Receive:

Education (examples: Earn high school diploma/GED, enroll in college, attend literacy classes, improve school attendance/performance, etc.)		
Provider Contact Information:	Length of Program	Attendance Days & Times:
	Start Date: / /	End Date: / /	☐ Sun- ☐ Mon- ☐ Tues- ☐ Wed- ☐ Thurs- ☐ Fri- ☐ Sat-

Goals:	Services to Receive:

Workforce Development (examples: Complete job training program, obtain employment or volunteer/internship, etc.)

Provider Contact Information:	Length of Program		Attendance Days & Times:		
	Start Date: / /	End Date: / /	☐ Sun- ☐ Wed-	☐ Mon- ☐ Thurs-	☐ Tues- ☐ Fri- ☐ Sat-
Goals:			Services to Receive:		

Healthy Relationship with a Positive Adult (examples: Participate in mentoring program, structured recreational activities, etc.)

Provider Contact Information:	Length of Program		Attendance Days & Times:		
	Start Date: / /	End Date: / /	☐ Sun- ☐ Wed-	☐ Mon- ☐ Thurs-	☐ Tues- ☐ Fri- ☐ Sat-
Goals:			Services to Receive:		

Behavioral Health (examples: Participate in individual counseling, mental health therapy, substance abuse treatment, sex offender services, etc.)

Provider Contact Information:	Length of Program		Attendance Days & Times:		
	Start Date: / /	End Date: / /	☐ Sun- ☐ Wed-	☐ Mon- ☐ Thurs-	☐ Tues- ☐ Fri- ☐ Sat-
Goals:			Services to Receive:		

Housing Services (examples: Referred to temporary housing program)

Provider Contact Information:	Length of Program		Attendance Days & Times:		
	Start Date: / /	End Date: / /	☐ Sun- ☐ Wed-	☐ Mon- ☐ Thurs-	☐ Tues- ☐ Fri- ☐ Sat-
Goals:			Services to Receive:		

Additional Services & Supports

Provider Contact Information:	Length of Program		Attendance Days & Times:		
	Start Date: / /	End Date: / /	☐ Sun- ☐ Wed-	☐ Mon- ☐ Thurs-	☐ Tues- ☐ Fri- ☐ Sat-
Goals:			Services to Receive:		

Section IV. Agreement

Contract Agreement:

The undersigned hereby agrees to abide by this contract. The Probation Officer (PO) and the Client agree that the above three completed domains, in addition to remaining crime free, will be the areas of focus throughout the supervision period.

The Client agrees to enroll, engage, and comply with all services, programs, supports, and opportunities agreed upon in the three focus areas. The Client further agrees to make all mandated contacts with the PO and keep the PO informed of any changes of address and progress or lack thereof toward these goals. The Client also agrees to abide by any and all additional conditions of probation ordered by the court and attached to this Individual Achievement Plan (IAP)/Contract.

The PO agrees to refer the Client to appropriate services and programs as agreed upon in the focus areas. The PO will assist, support and encourage the Client to take full advantage of all supports and opportunities and monitor Client's performance.

The Unit Supervisor agrees to assist and support the PO and the Client in fulfilling this contract and to review the progress of this IAP/Contract at least every 90 days.

This IAP/Contract is to be updated and amended as necessary by all parties.

Client's Name	Signature	Date
Probation Officer's Name	Signature	Date
Supervisor's Name	Signature	Date

Appendix C: Solano County Probation Juvenile Response Matrix

Solano County Probation Department
Juvenile Division

Response Matrix

Response Matrix Overview

To operate a system that is effective, impartial, fair, and consistent, the Solano County Probation Department has implemented this Response Matrix in the Juvenile Supervision Division. Response Matrixes or Grids have been developed by several Probation Departments throughout the country in the past several years to ensure equal and consistent response to youth behavior as well as encourage compliance and success.

A group of 15 Probation Officers from across all units in the Juvenile Supervision Division held a series of meetings to develop the content of the Response Matrix. The Department has also received technical assistance through the Positive Youth Justice Initiative. With the input of our staff, a review of the research and best practices the Solano County Probation Department has developed this Response Matrix, which includes Graduated Sanctions and Incentive/Rewards Grids and guidelines on how to use them. A full training on the use of the Matrix has been provided to all Probation Officers.

There is a growing body of research in criminal justice that reveals that what is effective at changing offender behavior is a mix of swift and certain sanctions and incentive rewards. Even severe sanctions that are administered long after the behavior are not as effective as less punitive sanctions administered immediately following the behavior. And immediate rewards for good behavior, even with small incentives, can have significant impact on promoting continual good behaviors.

In their study, "Developing and Administering Accountability-Based Sanctions for Juveniles," the U.S. Department of Justice reports, "Consequences or sanctions that are applied swiftly, surely, and consistently, and are graduated to provide appropriate and effective responses to varying levels of offense seriousness and offender chronicity, work best in preventing, controlling and reducing further law violations."

A study of the renowned HOPE program in Hawaii, showed that alternative sanctions other than long terms of incarceration in response to non-compliant behavior can be more effective. Community service, increased supervision, earlier curfew, having to report to an Evening Reporting Center – are all examples of alternative sanctions that can be administered quickly and effectively.

Solano County Probation also wants to emphasize and distinguish intermediate responses to non-compliant youth behaviors that are meant to help young people as opposed to those responses that are purely punitive. The majority of the responses on the Sanctions Grid are helping responses, including writing essays, community service, referral to programs, and Interactive Journaling. Some of the responses for the very high and high risk youth are more punitive sanctions, including being placed on electronic monitoring or increased searches, but even those responses are meant to be corrective.

During quarterly Case Audits, Supervisors will review cases to ensure that Incentives/Rewards are distributed consistently and in accord with this Response Matrix.

Sanctions Grid Guidelines

- These grids must be used impartially, fairly, and consistently with all youth on each Probation Officer's case load.

- All POs will be trained in the use of the Response Matrix.

- When a PO gets a report of non-compliant behavior of a youth on their case load, they are to match that behavior with the below grid, identify what level of non-compliance the behavior falls into, and then consult the Sanctions Grid to review the list of possible sanctions. The PO should consider the behavior and the youth's background to determine which sanction within the corresponding level that the youth will receive. That sanction should be administered immediately and be clearly explained to the youth.

- The list of sanctions in each of the levels in the Sanctions Grid, are options within each level, only one of the sanctions are to be administered per non-compliant behavior.

- Most of the Very High Severity sanctions include changing the liberty status of youth and therefore require a filing of a Violation of Probation with the Court. Before filing a VOP, the PO is required to meet with their supervisor to ensure that intermediate sanctions were employed in accordance with the Response Matrix and the Supervisor signs off on the VOP.

- In accord with Best Practice, youth assessed as Low Risk should never be brought into custody or out of home placement due to a sanction or violation. The practice should also be rare for youth assessed as Moderate Risk.

- A youth's failure to comply with an ordered sanction may result in increase in sanction to the next severity level. But such an increase should not simply include "more of the same." For instance, a youth who fails to comply with 20 hours of Community Service should not simply be given more Community Service.

- A failure to drug test is equal to a positive test.

- When referring to a CBO for services as a sanction, ensure that the services provided are connected to the youth's needs or challenges from which the non-compliant behavior was derived.

- For youth in Vallejo City Unified School District schools, for any challenges the youth are having, refer the youth to the Student Success Team (SST) Meeting with the PYJI Liaison.

Solano County Probation - Juvenile Division Sanctions Grid

		Violation Severity		
		High	**Moderate**	**Low**
Risk Level	**Very High**	• Program Commitment (Challenge Academy)* • Escalation of Supervision^ • Increase in searches for youth • DRC^ • Placed on EMP* • Remand into custody^* • Placement staffing^	• Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Home detention with PO • Written Behavior Contract • Interactive Journaling • Escalation of Supervision^ • Increase in searches for youth • DRC^ • Placed on EMP* • Remand into custody^* • Placement staffing^	• Increase in drugtests • Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Probation Mentoring Program • Home detention with PO • Written Behavior Contract • Interactive Journaling
	High	• Increase in drugtests • Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Probation Mentoring Program • Home detention with PO • Written Behavior Contract • Interactive Journaling • Escalation of Supervision^ • Increase in searches for youth • DRC^ • Placed on EMP* • Remand into custody^* • Placement staffing^	• Increase in drugtests • Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Probation Mentoring Program • Home detention with PO • Written Behavior Contract • Interactive Journaling	• New instruction not to Associate with Gang • Write an Essay regarding the infraction • Community Service • Referral to Parent Project • Interactive Journaling • Written Behavior Contract
	Moderate	• Increase in drugtests • Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Probation Mentoring Program • Home detention with PO • Written Behavior Contract • Interactive Journaling	• Increase in drugtests • Increase in Office Visits and/or Contact with PO • Weekend Academy • Referral to CBO/Treatment • Probation Mentoring Program • Home detention with PO • Written Behavior Contract • Interactive Journaling • New instruction not to Associate with Gang • Write an Essay regarding the infraction • Community Service • Referral to Parent Project	• Verbal Admonishment • New instruction not to Associate with Gang • Write an Essay regarding the infraction • Community Service • Verbal Behavior Contract • Referral to Parent Project

* = Court order required
^ = SDPO Approval required

* Use of THC or alcohol will result in a treatment response only and not a response that can lead to custody, unless there is a clear nexus between the THC or alcohol use and criminal/delinquent behavior of the youth.

(Sanctions Grid Key, Behaviors & Levels on reverse side)

Sanctions Grid Key

		Violation Severity		
		High	Moderate	Low
Risk Level	V.	V.H	V.H/H	H
	High	V.H/H	H	M
	Mod	H	H/M	M

Sanctions Grid Behaviors & Levels

Non-Compliant Behaviors	Level
Unexcused absence from school (partial or full day)	L
School Discipline (grades, attendance, moderate behavior/willful deviance)	L
FTA Office Visit without valid excuse	L
Curfew violation	L
AWOL from home (less than 24 hours or not now actively AWOL)	L
Gang Association/paraphernalia (w/ no previous association)	L
Positive drug test for THC or Alcohol (first positive test)*	L
Failure to obey PO	L
Violate no contact order	M
Failure to obey laws – arrest on non-filed charges/new misdemeanor filing	M
Failure to obey parents	M
Cont. unexcused absence(s) from school (full day(s) + failure to comply with lower level sanction)	M
School Discipline (Fighting, Threats of violence toward students/staff)	M
Second positive drug test for THC or Alcohol within 45 days (that show levels increasing and are not based on use that caused previous + test)*	M
2 consecutive FTA Office Visits without valid excuse	M
Gang Association/Hanging out with known gang members (w/ no previous association)	M
Failure to respond to treatment	M
Sex Offender non-web based porn violation (i.e.: magazines)	M
Third or more positive drug tests for THC or Alcohol within 45 days (that show levels increasing and are not based on use that caused previous + test) or positive drug test for serious drugs (i.e.: Cocaine, Meth, Heroin)*	H
Gang association/involvement (of a known gang member)	H
School Expulsion – Gang Related (i.e.: Gang Fight), Assaultive behavior	H
3+ consecutive FTA Office Visits without valid excuse	H
Sex Offender web based porn violation	H
Consistent failure to comply with Treatment or Sanctions	H
Actively (not retrospective) AWOL for more than 48 hours – Whereabouts Unknown	H
New Felony filing	H

* Use of THC or alcohol will result in a treatment response only and not a response that can lead to custody, unless there is a clear nexus between the THC or alcohol use and criminal/delinquent behavior of the youth.

Solano County Probation – Juvenile Division Rewards/Incentives Grid

		Behavior Level		
		High	**Moderate**	**Low**
Risk Level	**Very High**	• Gift Cards – $20 or more^ • Request Early release from EMP (Granted if Court authorized)^* • Eliminate curfew • Recommendation for early termination of probation^*	• Gift Cards -$10, $20 or more^ • Request Early release from EMP (Granted if Court authorized)^* • Eliminate curfew • Recommendation for early termination of probation^* • Decrease Office Visits and PO Visits • Decrease Drug Testing • Reduce Curfew • Waive Sanction	• Decrease Office Visits and PO Visits • Decrease Drug Testing • Gift Cards - $10, $20^ • Reduce Curfew • Waive Sanction
	High	• Gift Cards – $10, $20 or more^ • Request Early release form EMP (Granted if Court authorized)^* • Eliminate curfew • Recommendation for early termination of probation^* • Decrease Office Visits and PO Visits • Decrease Drug Testing • Reduce Curfew • Waive Sanction	• Decrease Office Visits and PO Visits • Decrease Drug Testing • Gift Cards - $10, $20^ • Reduce Curfew • Waive Sanction	• Gift Card –$5^ • Verbal praise • Certificates
	Moderate	• Decrease Office Visits and PO Visits • Decrease Drug Testing • Gift Cards - $10, $20^ • Reduce Curfew • Waive Sanction	• Decrease Office Visits and PO Visits • Decrease Drug Testing • Gift Cards - $5, $10, $20^ • Reduce Curfew • Waive Sanction • Verbal praise • Certificates	• Gift Card –$5^ • Verbal praise • Certificates

* = Court order required

^ = SDPO Approval required

(Reward/Incentive Grid Behaviors & Levels on reverse side)

Reward/Incentives Grid Behaviors & Levels

Meritus Behavior	Level
Case Plan Goal accomplished	L
Clean drug tests when tied to offense/criminogenic needs	L
Good home behavior	L
Consistently Showing up for appointments	L
3 months crime & violation free	L
Improved school attendance	L
Academic Improvement – shown on progress report	M
Additional Case Plan Goals accomplished	M
Clean drug tests when tied to offense/criminogenic needs	M
Consistently Showing up for appointments	M
Improved School Behavior (decrease in suspensions, reports, defiance)	M
Cont. improved school attendance	M
6 months crime & violation free	M
Graduate from DRC Program/Completion of ISU/Specialty program & reduction in supervision	H
Academic improvement – semester report card grade point increase	H
Case Plan Goals accomplished	H
Compliance with Gang Terms	H
Involvement in positive/pro-social activities (church youth group, sports, volunteering, etc.)	H
Completing CBT/Group Counseling Program	H
Significant Increase in school attendance	H
Graduation from School	H
1 year crime & violation free	H

Every 30 days, POs are to review their caseloads to determine which youth are deserving of incentive rewards based on the Meritus Behaviors listed above.

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Attachment E. Site Visit Booklet

LA County Probation Governance

NYC & DC Site Visit Companion

Prepared by:

Resource Development Associates

Greetings,

On behalf of Resource Development Associates (RDA), the Los Angeles County Probation Department, and the Los Angeles County Executive's Office (CEO), we are happy that you are joining us for this tour of best practice and innovation programs, services, and systems for youth and adults under correctional supervision. We believe that having the opportunity to see these programs, talk with the people who run them and the leadership who established them will be useful to all of us as we work to continuously improve our own system.

In this packet you will find information about each of the sites and programs that we will visit. All along the way members of the RDA team will be taking notes, which will be provided to everyone after we return home. In addition, we will provide you with contact information of organizations in case you wish to follow up with anyone. At the end of the day we will have a debriefing to discuss what we saw.

We owe a lot of thanks to the people in New York and in Washington DC who have worked with us to plan these site visits. They are providing us with a significant amount of time to plan for and to share information about what they are doing and what they have learned. We are very grateful to them for helping to make this trip possible.

We all know that one size does not fit all and that Los Angeles County is a very unique place. Please view all of what you are about to see through the lens of how might this be useful, adaptable or replicable in our system.

Thank you for your time and your commitment to this effort,

Terri L. McDonald
Chief Probation Officer
County of Los Angeles

Patricia M. Bennett, Ph.D.
President, Chief Executive Officer
Resource Development Associates

CONTENTS

In Sept. 2016, the LA County Executive's Office (CEO) contracted with Resource Development Associates, Inc. (RDA), to conduct a comprehensive assessment of the structure and operations of the LA County Probation Department in relation to best practices and, based on that assessment, make recommendations for improvements. Partners in this effort include Vincent Schiraldi, Senior Research Fellow and Director of the Program in Criminal Justice Policy and Management at Harvard Kennedy School; David Muhammad, the Executive Director of the National Institute for Criminal Justice Reform; and Dr. Jorja Leap, Adjunct Professor of Social Welfare Director of Health and Social Justice Partnership at UCLA; and Principal of Leap and Associates.

The focus of this effort is to assess the strengths and weaknesses of the Department's current structure, including:

- Organizational Culture, Structure, and Systems
- Fiscal Operations
- Facility Use and Custodial Populations
- Client Service Delivery Models
- Staffing, Training, Hiring

In addition, the project team will:

1) Document best practices in the field of probation supervision and service delivery;
2) Identify local, national, and international model jurisdictions against which to compare the Department's structure and operations; and
3) Make recommendations regarding whether the Department would better serve clients from different age groups if it were divided into separate departments for juveniles and adults and, if so, where transition aged youth (TAY) would be best served.
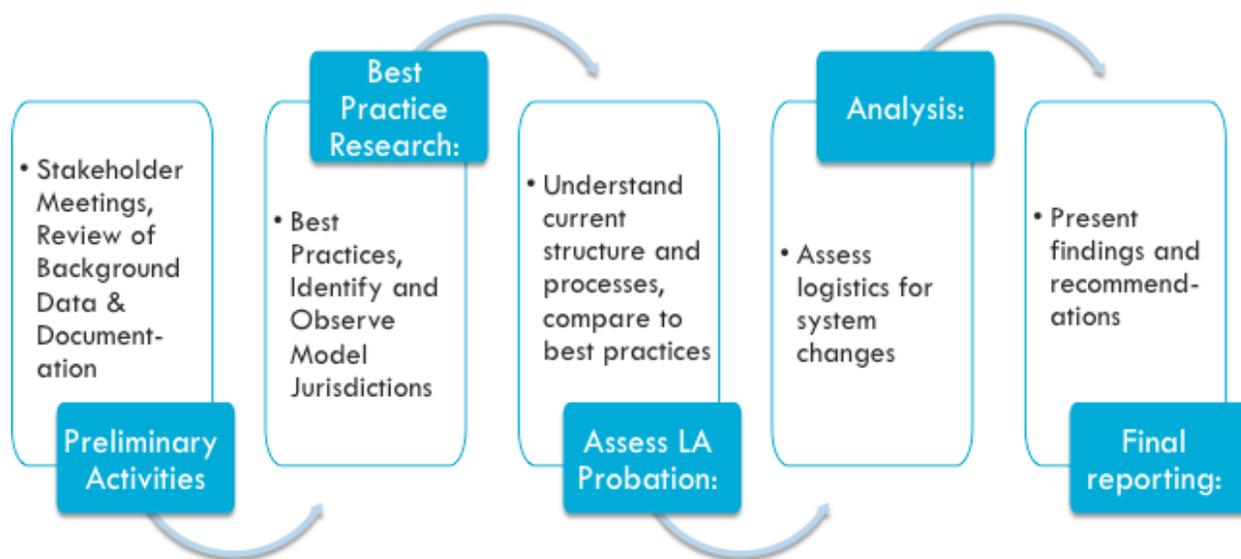
Monday, April 24	**Arrive in New York City**
Check in upon arrival	**Hotel Belleclaire** 250 West 77th Street New York City, NY
7:00 pm Group Dinner	**Scaletta Ristorante** 50 West 77th Street New York City, NY
Tuesday, April 25	**Neighborhood Opportunity Network (NeON)** The group will visit facilities in The Bronx and Harlem

Wednesday, April 26 — **Adult and Juvenile Services site visits**
- Administration of Children Services (ACS) will lead a tour of juvenile facilities and the Belmont School
- Adult Services Group will visit the Mayor's Office of Criminal Justice (MOCJ) and Mayor's Action Plan (MAP), attend a Pretrial Services presentation and a presentation/Q&A with Ryan Dodge, former Director if Press and Internal Communications for NYC's Department of Probation.
- Travel to Washington DC

Thursday, April 27 — **Adult and Juvenile Services site visits**
- Juvenile Services Group will attend an Alternative to Court Experience (ACE) program presentation and observe a ACE weekly meeting
- Adult Services Group will attend presentations on pretrial services and observe relevant courtroom activities

6:00 pm Group Debrief — **Gatehouse Room**

Friday, April 28 — Juvenile and Adult Services Groups
The group will visit New Beginnings and MLK Achievement Center's juvenile facility

There are significant differences between probation and legal system practice in NYC and Los Angeles; these differences are highlighted across the adult and juvenile justice system below. It's noteworthy that the NYC Department of Probation (DOP) is a single department overseen by the Mayor's office, which operates juvenile and adult probation in all five boroughs of NYC. Each borough in NYC is its own county, and New York City has five separate counties within the city. Although DOP is one unified city agency, because there are five separate counties, there are five District Attorney Offices.

Juvenile Justice System

There are key legal differences, as well as differences in the agencies responsible for juvenile justice processes, in Los Angeles and Washington DC respectively. These differences are highlighted below.

Legal Differences

Noteworthy legal differences between Los Angeles and Washington DC:
- ❖ NYC's juvenile court age ends at 16, although that was just raised to 18 legislatively and becomes effective staged in over the next several years.
- ❖ NYC DOP is legally able to divert youth from the system pre-arraignment.
- ❖ NYC DOP is legally able to reject youth from detention.
- ❖ The Administration of Children Services (ACS) sets the length of stay for youth in placement.
- ❖ There is no longer a state placement option for NYC youth in state facilities if they're adjudicated delinquent in family (juvenile) court (i.e. NYC cannot use the NY State version of DJJ).

Agencies Responsible for Juvenile Justice Processes

Below is a list of juvenile justice system processes and the agencies responsible for them in NYC. In Los Angeles County, Probation does most of what ACS, NYC DOP, and the Mayor's Office of Criminal Justice (MOCJ) does, with the exception being that LA County's Executive Office serves the coordinating function that MOCJ does in NYC, as indicated below.

Agencies Responsible for Juvenile Justice Processes in New York City

Probation Department:
- ❖ Diversion (does not forward on 41% of juvenile arrestees for prosecution - 89% successfully complete short, 60 to 120-day diversion period)
- ❖ Detention Screening (can screen out low and medium risk kids from detention and send them home)
- ❖ Conducts detention risk assessment and makes detention recommendation to court
- ❖ Pre-sentence reports
- ❖ Probation supervision
- ❖ Funds/monitors several alternatives to placement

Administration for Children's Services (which is also the Child Welfare agency):
- ❖ Operates detention facilities
- ❖ Contracts for post-adjudication placements
- ❖ Funds/monitors several alternatives to placement

Mayor's Office of Criminal Justice:
- ❖ Funds/monitors several alternatives to detention
- ❖ Coordinating function

Adult Criminal Justice Services

Key Differences in NYC's Criminal Justice System and LA's Criminal Justice System

Adult CJS Component	New York City	Los Angeles
Pre-sentence Investigation (PSI) Reports	PSI's are optional for people who have plea agreements to less than one year in jail. Otherwise, PSI's are required for all felony and misdemeanor cases.	PSI's are conducted by Probation on all defendants who plea or are convicted of felony offenses
Pretrial Services	The non-profit Criminal Justice Agency (CJA) screens all defendants for pretrial recommendations to judges. Several non-profits, including CJA, do pretrial supervision. CJA also does "bail expediting" (i.e. calling family members to get them to post bail). Several defender agencies run bail funds to bail out low level defendants.	There are no analogous services/screenings, although Probation provides some pretrial services.
Probation Terms and Early Discharge	1. Felony probation terms mostly 3, 4, or 5 years, judicial discretion. Sixteen percent (16%) of felony defendants sentenced to probation receive less than 5 years.	1. Customary to give 3 years for felony probation.
	2. Misdemeanants rarely get probation (.4% of dispositions). Terms are 2 or 3 years.	2. Misdemeanants who receive probation are usually placed on court probation overseen by the court without actual supervision.
	3. Approximately 17% of people on probation are discharged early from probation. 3% of those are rearrested for a felony within a year of discharge (compared to 4% of those who serve full probation term)	3. No consistent practice of early discharge

The Hotel Belleclaire

Located in the Upper West Side of Manhattan, and surrounded by an array of cultural offerings, the Hotel Belleclaire combines classic charm with modern conveniences in a landmark building designed by Emery Roth in 1903. The hotel is ideally located near iconic New York attractions including Central Park and Lincoln Center. Additionally the avenues surrounding the hotel contain a diverse selection of restaurants, some of which deliver.

What you should know

Each morning, a chartered bus will arrive to take us to the site visit locations. Please be sure to take everything you need for the day with you as we will not be returning to the hotel until the end of the day. We will have lunch at the Harlem NeOn satellite location on Tuesday, boxed lunches will be provided on Wednesday.

Local Eateries

The Upper West Side is full of eateries and coffee shops from which to choose. Some will deliver to your hotel room, some provide take out services that require that you pick up your order and some offer the typical New York eating experience. We are providing a list of restaurants, cafes and markets - all within a 4-block radius of the hotel. We selected them for their convenience, price range and Yelp reviews.

UPPER WEST SIDE RESTAURANTS

Serafina (Italian)
2178 Broadway
212-595-0566
http://uws.serafinarestaurant.com/food-menu/

Tessa (Mediteranean)
349 Amsterdam Ave
212.390.1974
http://tessanyc.com

Fred's (American/Burger Joint)
2315 Broadway, New York, NY 10024
212-579-3076
http://fredsnyc.com/menu/dinner/

The Cottage (Chinese)
360 Amsterdam Avenue
212-595-7450

Jacob's Pickles (Southern Comfort Food)
2315 Broadway, New York, NY 10024
212-470-5566
http://jacobspickles.com

Bagels & Co
393 Amsterdam Ave, New York, NY 10024
212-496-9400

Westside Market Open 24 hours)
2171 Broadway, New York, NY 10024
212.595.2536
http://www.wmarketnyc.com

Zabar's
2245 Broadway, New York, NY 10024
212-787-2000
info@zabars.com

Schedule- All

Arrive in New York, travel to hotel

3:00pm or later   Check in to hotel
Hotel Belleclaire
250 West 77th Street
New York, NY
212.362.7700

7:00pm   Introductory Group Dinner
Scaletta Ristorante
50 West 77th Street
New York City, NY
212.769.9191

Schedule - All

8:15am	Board bus no later than 8:15am
8:15am – 9:30am	Travel to Bronx NeON 198 East 161st Street Bronx, NY 10451
9:30am – 12:30pm	Bronx NeON site visit (Adult Services): ➢ Welcoming remarks from Commissioner Bermúdez ➢ Welcoming remarks from Deputy Commissioner of Adult Operations, Sharun Goodwin ➢ Bronx NeOn site presentation ➢ Tour of site ➢ Provider talks
12:30pm – 1:30pm	Travel to Harlem NeON 127 West 127th Street New York, NY 10027
1:30pm – 2:30pm	Lunch served at Harlem NeON, provided by DOE Fund
2:30pm – 5:00pm	Harlem NeON site visit (Adult and Juvenile Services): ➢ Deputy Commissioner Gineen Gray and Research Scientist Nancy Andiloro: overview of the juvenile justice process and continuum, and the Structured Decision-Making Grid ➢ Tour of site ➢ NeON Arts and Arches presentations / Q & A
5:00pm – 6:00pm	Debrief at Harlem Satellite
6:00pm – 8:00pm	Small group (9 people) attends Arches session - (walking distance; Robert Eusebio will escort to Commonwealth and guide folks back to hotel)
6:00pm – 7:00pm	Bus travels back to hotel

New York City's Neighborhood Opportunity Network (NeON) Model

New York City's NeON model establishes probation offices and operations in neighborhoods where large numbers of probation clients live in order to promote elevate natural neighborhood supports over temporary government intervention in the lives of probation clients. The NeON approach supports clients in providing restorative works to the communities that they have harmed through their offenses; makes it easier for probation officers to develop relationships with indigenous neighborhood stakeholders and community-based organizations that can provide services, support, and opportunities for clients living in the neighborhood; and ties clients to services, supports, and opportunities that exist in their home communities to facilitate their participation with such opportunities after the term of probation is over.

Probation leadership and staff develop community stakeholder groups or advisory panels to inform community members of their work and learn from neighbors about what challenges and opportunities exist in their home communities. In this way, Probation engages with indigenous supports, business associations, neighborhood organizations, faith leaders, and local service providers, becoming more familiar with the types of services, supports, and opportunities that are available within the community. This enables probation to better link clients to useful opportunities and partner with local stakeholders to advocate for/create missing services and supports.

NeON Arts

One of the most remarkable parts of the NeON story has been the collaboration between the New York Department of Probation (DOP) and various arts organizations. Through Carnegie Hall's Weill Music Institute, NeON clients participate in music writing workshops and perform their compositions with professional musicians. The South Bronx NeON has a poet-in-residence, Dave Johnson, who conducts a workshop that includes clients and staff. He also organizes weekly poetry slams that are open to the public. Their work was recently collected in Free Verse, a new journal published with help from See ChangeNYC, an initiative of the NYC Department of Design and Construction. Additional initiatives include Artistic Noise, which helped young people in the Bronx interpret the Family Court Law through art; the Animation Project, which uses computer animation to teach behavior modification techniques; and the Groundswell Mural Project, which has connected Brownsville NeON clients with professional artists to research, plan, and paint several large murals.

Arches: A Transformative Mentoring Program

Arches Transformative Mentoring is a group mentoring program for probation clients that was launched as part of the NYC Young Men's Initiative (YMI), the nation's most comprehensive effort to tackle the disparities that are slowing the advancement of Black and Latino young men. Arches is a curriculum-based group mentoring intervention that helps probation clients transform the attitudes and behaviors that have led to criminal activity. DOP contracts with nonprofit organizations in targeted neighborhoods to provide a transformative mentoring intervention designed to meet young people where they are in the process of pro-social engagement, focusing on changes in cognition and thinking that often precede the ability to secure concrete attainments in education and employment.

The core components of Arches include:

- ❖ A group process where the participants become an important support system for each other
- ❖ An evidence-based curriculum based on cognitive behavioral principles delivered by culturally appropriate, paid mentors
- ❖ A setting that incorporates positive youth development values, principles and practices
- ❖ Participant stipends

In conjunction with group mentoring, participating young adults work one-on-one with their DOP probation officers, who are trained in the Arches approach and provide case management. Young adults, together with their probation officers, develop Individual Achievement Plans that identify the developmental milestones that will help prepare them to engage productively in education, work and civic life.

Structured Decision Making

In order to enhance transparency and reduce bias in decision-making, the New York DOP implemented a structured decision-making (SDM) matrix to systematically develop dispositional recommendations that probation officers make to the court. The SDM combines offense levels with risk for re-offending in order to guide probation officers' dispositional recommendations to the court, and helps to shift dispositional outcomes for the better by limiting placement recommendations to youth who pose the biggest risk to public safety.

Schedule – Juvenile Services

7:30am	Check out of hotel and have luggage ready to be loaded on the bus
8:15am	Juvenile group boards Administration for Children Services (ACS) vans no later than 8:15am

ACS will have two vans to pick up approx. 12 individuals per van from the hotel

8:30am – 9:00am	Travel to Belmont Academy School 619 Belmont Ave Brooklyn, NY 11207
9:00am – 10:30am	Belmont Academy site visit: • Education Philosophy Presentation by DOE • Behavior Management Collaborative Process • Tour of school • Next Steps – Plans for improvement
10:30am – 11:00am	Travel to model juvenile facility (Ozone Park and/or Leake & Watts Bensonhurst) **Ozone Park** 133-23 127th Street South Ozone Park, NY 11420 **Leake & Watts** 1124 65th St. Brooklyn, NY 11219
11:00am – 12:30pm	Model juvenile facility site visit: • Leake & Watts - non-secure placement implementing Missouri Model • Ozone Park - most secure level of placement implementing Dialectic Behavioral Therapy and Multisystemic Therapy-Family Integrated Transitions (MST-FIT)
12:30pm – 1:00pm	Travel to ACS 150 William Street New York, NY 10038
1:00pm – 2:30pm	Lunch and Q&A with ACS Juvenile Justice and Juvenile Probation
3:00pm – 7:30pm	Travel to DC
7:30pm – 8:00pm	Check-in to hotel 1401 N Adams St. Arlington, VA 22201

Juvenile Group

The Administration of Children Services (ACS)

In New York, ACS provides a wide range of services to improve the lives of children and families involved in the New York City's juvenile justice system, while building stronger and safer communities and advancing public safety. ACS strives to help families and young people by providing supportive services that are responsive to the needs of individual youth and families. Services include preventive programs in the community to help keep young people out of the juvenile justice system; detention services for youth remanded to ACS' custody while their court cases are pending; placement services for youth who have committed delinquent acts as found by the Family Court; and aftercare services to transition youth from residential placement back to the community Alternative programs that make it possible for youth to remain in the community instead of an out-of-home program.

Close to Home Initiative - Passages Academy in Belmont

A goal of NYC's Close to Home Initiative is to keep young people from New York City who are put in placement near their families and home communities. Previously, young people who had been adjudicated as juvenile delinquents were placed in facilities hundreds of miles away, where it was difficult for them to visit with their families, remain connected to their communities, or earn school credits. Under Close to Home, young people are placed in or near the five boroughs, close to an array of resources that can support their rehabilitation and their safe re-integration into our local communities. Youth who are sentenced will remain within New York City facilities operated by the Administration for Children Services (ACS), and attend a New York City Department of Education Program. The Close to Home Legislation allows youth to stay in the New York City Department of Education and continue earning credits towards graduation with little interruption to their education. In order to empower youth entering the juvenile justice system and prevent future risk factors, Passages Academy collaborates closely with partner agencies to align services in a safe and fun learning environment.

Ozone Park Limited Secure Placement (LSP)

Young people who are placed into an LSP setting, such as Ozone Park, by a Family Court judge typically present higher risks compared to those who are placed in a Non Secure Placement (NSP) setting. ACS contracts with non-profit providers to operate LSP group homes in or near the five boroughs. Each LSP group home serves between 6-20 youth. Most of the LSP residences will serve the general youth population, and some will cater to youth with specialized high-level needs. LSP homes have more restrictive security features compared to NSP group homes to ensure the safety of residents, program staff, and local communities.

Young people residing in LSP receive most services directly on-site, including:

❖ Classes taught by Department of Education teachers in schools located within the LSP homes
❖ Medical, mental health, and substance abuse services as needed
❖ Various cultural and recreational activities
❖ Regular visits and contact with families

Leake & Watts Non Secure Placement (NSP)

ACS contracts with non-profit providers, such as Leake & Watts, to operate NSP group homes in or right outside of the five boroughs. The Leake & Watts Non-Secure Placement Program is a residential program supporting adjudicated youth ages 12 to 17. The program is community-oriented and family-focused, using the nationally recognized Missouri Model. This method involves grouping youth into small cohorts of 10 to 12 peers, with whom they live, attend school, participate in recreational activities and receive counseling. Leake & Watts ensures that youth are able to develop their academic, pre-vocational, and communications skills while in their care.

For youth in the NSP Program, the Missouri Model promotes positive peer relationships and provides a supportive community for all participants. All treatment occurs in group meetings with a counselor, where youth act out real situations and help each other develop constructive solutions. Leake & Watts staff helps youth understand the roots of their delinquent behavior and provide them with tools to address their personal challenges. Youth are supported in their efforts to adopt healthy behaviors and learn how to manage their emotions, have a more positive attitude about themselves, and build social skills. Leake & Watts staff also works with family members to maintain and strengthen youths' connection with their families. Overall, the program strives to prepare youth for successful and permanent transition to the community.

All youth in the Leake & Watts NSP program:

- ❖ Attend school taught by the Department of Education's Passages Academy and earn credits toward middle school promotion or a high school diploma
- ❖ Can have regular phone calls, visits with families and attend events alongside family members
- ❖ Receive medical, mental health, and/or substance abuse services as needed
- ❖ Participate in recreational, cultural, and group activities within and outside of the facility, such as playing for local high school sports teams, visiting museums, going on camping trips, producing music, and performing community service.

Schedule – Adult Services

8:00am	Adult Group boards bus no later than 8:00am
8:15am – 9:00am	Travel to Mayor's Office of Criminal Justice (MOCJ), Mayors Action Plan (MAP) site visit 1 Centre St. 10th Floor Conference Room C New York, NY 10007
9:00am – 11:00am	Pretrial Services presentation / Q & A
11:00am -11:30am	Break
11:30am – 1:00pm	Neighborhood MAP presentation / Q & A • Data driven performance management • Collaborative problem solving and decision making
1:00pm – 1:30pm	Break
1:30pm – 2:30pm	Presentation / Q & A with Ryan Dodge, former Director of Press and Internal Communications for NYC's Department of Probation
2:30pm – 3:30pm	Travel to ACS 150 William Street New York, NY 10038
3:00pm – 7:30pm	Travel to DC
7:30pm – 8:00pm	Check-in to hotel 1401 N Adams St. Arlington, VA 22201

Adult Group

New York City's Supervised Pretrial Release Program

Across the United States, criminal justice policymakers, practitioners, and advocates have raised concerns about the large number of people who are detained in local jails while waiting for resolution of their criminal charges because they cannot afford to pay the bail amount set by a judge, even when they pose no significant risk of flight or danger to the community. Incarcerating these relatively low-risk defendants is costly to taxpayers and disrupts the lives of defendants and their families, many of whom have low incomes and face other challenges.

New York City's large-scale Supervised Release program is an example of an approach to handling criminal cases pretrial, that reduces incarceration while maintaining public safety. The program gives judges the option to release some defendants who would otherwise have been detained due to their inability to make bail. These defendants must report regularly to a nonprofit organization in the community, from which they may also get referrals to various services based on their needs. In the first nine months of operation, about 2,400 defendants across the five boroughs enrolled in the program; participants interviewed expressed appreciation for the opportunity to avoid pretrial jail detention and continue with their lives in the community while going through the court processes.

Mayor's Action Plan for Neighborhood Safety (MAP) - NeighborhoodStat

In July 2014 the Mayor's Action Plan for Neighborhood Safety (MAP) was launched in and around 15 New York City Housing Authority (NYCHA) developments that have experienced some of the highest crime rates in the City. The initiative brings together neighborhood residents and government agencies to reduce crime by investing in people, places, and networks. MAP is overseen by the Mayor's Office of Criminal Justice (MOCJ).

MAP laid the groundwork for community engagement aimed at strengthening neighborhood cohesion. Initially, 90-day "Action Labs" brought together residents, agency partners, NYPD and community-based organizations to work collaboratively on a series of projects—for example, creating murals to enhance the lobbies of each building at the St. Nicholas Houses, and producing a showcase to highlight the wealth of talent at that development. Expanding on the work of the Action Labs, NeighborhoodStat meetings bring residents and agencies together to identify key public safety issues within the MAP developments and work to develop solutions based on combined expertise. This includes reviewing data and tracking outcomes to ensure that the City and its residents are able to evaluate progress in real time and deliver results. NeighborhoodStat exemplifies data driven performance management and coordinated collaboration towards targeted problem solving.

Former Director of Press and Public Information for NYC's Department of Probation – Ryan Dodge

Ryan Dodge, Senior Speechwriter for Mayor Bill de Blasio and First Lady Chirlane McCray, brings more than 15 years of training to his communications work. Prior to becoming the senior speech writer at the Office of the Mayor, Ryan served as Director of Press and Public Information for the New York Department of Probation, where he played a key role developing internal messaging mechanisms and winning public support for juvenile justice reform. As Deputy Chief of Staff at the NYC Department of Youth and Community Development, he helped promote the nation's largest municipal summer jobs and after-school initiatives as well. Ryan will present on his experiences working as Director of Press and Public Information for NYC DOP, as he helped to develop many creative and innovative ways to shape internal and external communication for the Department.

There are significant differences between the agencies responsible for adult and juvenile justice system processes in Los Angeles and Washington DC; these differences are highlighted below.

Juvenile Justice System

Table 1 below indicates the responsibilities of Probation in California's juvenile justice system, and compares them to the agencies responsible for the legal equivalent in Washington DC

Table 1. Responsibilities of LA Probation versus DC Agencies

Probation's Responsibilities in LA	Responsible Agency in Washington DC
Detention Decision	Court Social Services[1] (CSS) - aka Probation
Filing Decision	Court Social Services
Operate Detention Facility	Department of Youth Rehabilitation Services[2] (DYRS)
Disposition Report	CSS & DYRS (if CSS recommends commitment)
Operate Camp	There is no County Camp
Community Supervision	CSS
Post DJJ Supervision (juvenile parole)	DYRS
Funding/oversight of detention alternatives	Both DYRS and CSS
Funding/oversight of placement alternatives	DYRS through regionalized lead entities

[1] Court Social Services: a quasi-federal agency that is referred to as Probation and is overseen by the juvenile court. The judges in DC are appointed by the President of the United States

[2] Department of Youth Rehabilitation Services: a city agency overseen by the Mayor's office with the equivalent of county and state functions. DYRS runs the local detention center but also operates all of the "state" system (facility and post release supervision/parole).

Other Notes

❖ Washington, DC Public Defender Services (PDS): The local public defender, which is a non-profit organization whose funding comes from the federal government.

❖ Washington, DC Attorney General: The local Attorney General used to be appointed by the Mayor but as of 2014 the Attorney General is elected by DC voters and the budget is allocated by the DC City Council. The DC Attorney General's Office prosecutes local DC juvenile cases.

❖ New Beginnings Youth Development Center, which we are visiting on Friday the 28th, is the legal equivalent of a CA DJJ facility operated by DYRS, but it more akin to a county camp.

Adult Criminal Justice System

Table 2 below indicates the agencies responsible for different components across the adult criminal justice system in Los Angeles compared to Washington DC.

Table 2. Adult Criminal Justice System Components and Responsible Agency in LA and DC

Adult CJS Component	Responsible Agency in LA	Responsible Agency in DC
County Detention	Sheriff's Department	DC Department of Correcitons[1]
Pre-Trial Services	Varies; Probation provides some pre-trial services but less extensively than DC's PSA	Pre-Trial Services Agency[2]
Sentencing Reports	Probation Department	Court Services Offender Supervision Agency[3] (CSOSA)
Community Supervision	Probation Department	CSOSA
Prison	CA CDCR	Federal Bureau of Prisons
Post Prison Release Supervisions	CA Parole	CSOSA

[1]DC Department of Corrections: City agency overseen by the Mayor's office

[2]Pre-Trial Services (PTS) is a standalone quasi-federal government agency.

[3]Court Services Offender Supervision Agency (CSOSA): Quasi-federal agency overseen by the DC Court but whose Director is appointed by the President of the United State and it operates adult probation and parole services.

Other Notes

❖ US Attorney General Office: The federal Attorney General's office is responsible for prosecuting local adult felony offenses.

❖ Elected DC Attorney General prosecutes adult misdemeanor cases.

Residence Inn by Marriott Arlington Courthouse

1401 North Adams

Arlington, VA

703-312-2000

http://www.marriott.com/hotels/travel/wasca-residence-inn-arlington-courthouse/

Residence Inn by Marriott Arlington Courthouse

The Residence Inn Courthouse is conveniently located just across the Potomac in Arlington, Virginia. They offer a breakfast buffet each morning and are surrounded by a selection of restaurants within walking distance.

What you should know

As in New York, the bus will pick everyone up in time to get the groups to the site visits on time. Boxed lunches will be provided on Thursday and Friday. Those who are returning home Friday night should be checked out of the hotel with your luggage in the hotel lobby before you leave for the site visits. We will make arrangements for the luggage to be held for the day. After the last site visit on Friday, the bus will return to the hotel. From there, everyone is responsible for arranging their transportation to the airport.

Local Eateries

Once again the hotel is located amongst popular eateries. They have provided a list of those recommended by guests and staff alike. Most are within walking distance. Room service is available at the hotel as well.

ARLINGTON, VA RESTAURANTS (WITHIN WALKING DISTANCE)

Steakhouse
Ray's the Steaks
(703) 841-7297

Mexican
Mexicali Blues
(703) 812 9352

Mediterranean/Lebanese
Me Jana
(703) 465-4440

Balkan Cuisine
Ambar
(703) 875-9663

Indian
Zaika
(703) 248-8333

Thai Food
Sawatdee
(703) 243-8181

Chinese
TNR Cafe
(703) 875-0428

Australian
Oz
(703) 664-0693

Sea Food
Quarterdeck
(703) 528-2722

Vietnamese
Minh's
(703) 525-2828

Japanese/Sushi
Asahi
(703)525-3838

Sushi
Sushi Rock
(703)294-6040

Juvenile Group Schedule

11:45am	Juvenile group boards bus no later than 11:45am
11:45am – 12:30pm	Travel to DC Department of Human Services 64 New York Ave., NE, 5th Floor Washington, DC 20002
12:30pm – 1:30pm	Alternative to Court Experience (ACE) program overview presentation • ACE program presentation • Program partner presentations
1:30pm – 3:00pm	Observe weekly ACE program meeting • Discussion of each new diverted youth
3:00pm – 4:00pm	Q & A with ACE program representatives
4:00pm – 5:00pm	Travel to Hotel 1401 N Adams St. Arlington, VA 22201
5:00pm – 6:00pm	Break
6:00pm – 7:00pm	Debrief in the Gatehouse Room of the Residence Inn

Alternative to Court Experience (ACE) Program – Juvenile Diversion

Under the appropriate circumstances, the government elects not to prosecute youth who allegedly commit low-level delinquency offenses. Instead, the government offers youth the opportunity to participate in the Alternatives to the Court Experience (ACE) Diversion Program, a program that connects youth and families to a range of individual support and behavioral health services.

ACE is a collaboration among Court Social Services, the Department of Human Services' Youth Services Division, the Metropolitan Police Department, the Office of the Attorney the Department of Behavioral Health, and community-based service providers. ACE assesses the needs of diverted youth, links youth and their families with appropriate services, and monitors program participation. The ultimate goal of the program is to help youth and their families address the underlying issues causing the negative behaviors, while minimizing the likelihood of reoffending and giving youth the opportunity to avoid acquiring a juvenile record.

Adult Services Group Schedule

8:00am	Adult group boards bus no later than 8:00am
8:00am – 8:45am	Travel to Superior Court Superior Court 500 Indiana Ave. NW Washington, DC 20001
9::00am – 5:00pm	Pretrial Services site visit: • Pretrial system and services overview • Preliminary hearing courtroom observation or presentation from pretrial services agency supervisors • Presentation from judges • Arraignment court observation • Presentation from prosecutors and defense
5:00pm – 6:00pm	Travel to Hotel 1401 N Adams St. Arlington, VA 22201
6:00pm – 7:00pm	Debrief in the Gatehouse Room of the Residence Inn

Pretrial Services Agency for the District of Columbia

Washington, DC, is considered a model for its overall administration of pretrial justice, not just because of its statutory framework, but also due to the agency that supports the courts in this process – the Pretrial Services Agency for the District of Columbia (PSA). PSA has received national recognition for the quality and breadth of its programs and services, and over the last five years an average 88% of DC's pretrial defendants were released pending trial. Of those released pretrial, 89% remained arrest-free (of those re-arrested, less than 1% were charged with a violent crime) and 88% attended all scheduled court hearings.

PSA gathers and presents information about newly arrested defendants and about available release options for use by judicial officers in deciding what, if any, conditions are to be set for released defendants. A judicial officer—a judge or magistrate judge—makes the initial pretrial release decision after taking into account the representations of the prosecutor and defense attorney, as well as PSA's release recommendation. PSA provides verified data about each defendant to assist in judicial decision-making. PSA recommendations are designed to manage the flight and public safety risk associated with releasing defendants.

PSA supervises certain defendants released from custody during the pretrial period by monitoring their compliance with conditions of release. The developing body of research on pretrial risk assessment shows that most defendants present a low to moderate risk of pretrial failure and that it is only the moderate- to high-risk defendants who need supervision that would be resource intensive. All PSA supervision programs give defendants the opportunity to participate in pro-social interventions that decrease the likelihood of future criminal behavior.

Schedule - All

9:00am	Check out of hotel and board bus no later than 9:00am
9:00am – 10:00am	Travel to DYRS for New Beginnings site visit 8400 River Road, Laurel, MD 20742
10:00 – 12:30pm	New Beginnings site visit (juvenile services) • Tour of facility, as well as school within facility • Presentation from DYRS Director Lacy
12:30pm – 1:00pm	Boxed lunch
1:00pm – 2:00pm	Travel to MLK Achievement Center in South East D.C. MLK Achievement Center 2101 Martin Luther King Jr. Ave SE Washington, DC 20020
2:00pm – 3:30pm	MLK Achievement Center site visit (juvenile services) • Tour of center
3:30pm – 4:30pm	Travel to hotel

New Beginnings Youth Development Center

New Beginnings is a secure residential treatment facility for young males who participate in the DC Model program, which provides supervision, rehabilitation, and planning for the youth's return to his community. With the DC Model, youth have highly-structured schedules that focus on developing:

- ❖ Positive relationships;
- ❖ Successful coping and decision-making skills;
- ❖ Self-awareness; and,
- ❖ Behavioral change

New Beginnings' services include:

- ❖ Mental, behavioral, and physical health care;
- ❖ Educational services;
- ❖ Vocational training and workforce development;
- ❖ Substance use treatment;
- ❖ Relationship building;
- ❖ Creativity and community engagement; and,
- ❖ Security.

New Beginnings unit managers contact family members every week to discuss youths' progress, and in order to help youth stay connected with their families, New Beginnings encourages families to be involved with DYRS in their child's treatment planning, education, and rehabilitative services. On Saturdays and Sundays, DYRS offers a free shuttle service to and from the facility to the Minnesota Avenue Metro station to encourage family visits as well. In addition, New Beginnings staff invites families to events such as awards programs and holiday dinners.

Martin Luther King Jr. Achievement Center

The Martin Luther King Jr. (MLK) Achievement Center exemplifies "what love looks like" in juvenile justice, focused on care, compassion, and commitment with an emphasis on identifying and developing young people's strengths. The center partners with vendors to provide an array of programs that are tailored to at-risk youth and their families, intended to stimulate and empower them by fostering education and career development, life skills, and healthy living. These partnerships with community organizations, agencies and educational institutions yield a collaborative effort to reduce high-risk behavior in guiding youth as they develop the self-respect, fortitude, discipline, coping skills, and overall capability to navigate the world around them in positive and productive ways. The process propels young people to take responsibility for their thinking and actions, and calls for overall community engagement and capacity building.

The MLK center contains a larger computer lab (with various classes offered by the University of the District of Columbia), barbershop and cosmetology studio, a culinary kitchen, and two conference rooms dedicated to the most current programming, all envisioned to help young people and their families build educational skills and obtain professional certifications. The MLK Achievement Center hosts events throughout the year for youth and their families, including: career and health fairs; family nights; guest speaker panels, groups that cater

to gender-specific or other issues: substance abuse education classes; movie nights; support groups and more. "Anchored in Strength" - the support group for caregivers - promotes an opportunity for healing through sharing experiences. Resources such as "The Closet" at the Achievement Centers offer disadvantaged youth options ranging from basic clothing to professional attire for job interviews. Beyond programming and services, the Achievement Centers are a safe space where young people are provided food, drinks, and the most basic life essentials.

In addition to the Case Management staff and social workers targeted towards the demographics located at the MLK Achievement Center, the overall Achievement Center employee make-up is comprised of Youth Engagement Specialists, Youth Peer Advocates, Program Managers, and other employees with a background in addressing high-risk youth and engaging their families. These employees, assigned to specific Wards throughout DC, work collaboratively with the agency's Case Management division and Group Homes to facilitate each young person's Achievement Center program enrollment and participation. Youth who continually take advantage of the services offered demonstrate outcomes that include securing gainful employment and identifying temporary and permanent housing options, promoting overall stability after commitment. DYRS strongly supports post-committed youth in continuing to utilize the Achievement Centers on their pathway to success.

NOTES

RDA Site Visit Coordinator
Blake Stewart (661) 319-2726

Belleclaire Hotel
250 West 77 Street
NYC, NY
212.796.4479

The Lucerne (RDA folks)
201 West 79th Street
New York, NY
212.875.1000

Scaletta Ristorante
50 West 77th Street
(Between Central Park West & Columbus Avenue)
NYC, NY
212.769.9191

Washington DC

Residence Inn in Arlington
1401 N Adams St,
Arlington, VA 22201
703.312.2100

Attachment F. Crosswalk Report: Comparing LA Probation Department Practices to Best Practices in the Field

LA Probation Governance Study

Crosswalk Report: Comparing LA Probation Department Practices to Best Practices in the Field

Prepared by:

Resource Development Associates

November 2017

LA Probation Governance Study

Crosswalk Report: Comparing LA Probation Department Practices to Best Practices in the Field

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About Resource Development Associates

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other states. Our mission is to strengthen public and nonprofit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to planning, grant-writing, organizational development, and evaluation.

November 2017

Acknowledgements

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Introduction

As part of the Los Angeles Probation Governance Study, Resource Development Associates (RDA) has been working since September 2016 to document best practices in community corrections, identify jurisdictions that are implementing those practices, and assess the processes and practices underway in the Los Angeles County Probation Department (the Department).[i] The purpose of this crosswalk report is to synthesize findings from these activities and to provide recommendations to guide the Department towards greater implementation of best practices.

This report is organized in five sections: Organizational Assessment; Staffing, Hiring, and Training; Client Service Delivery; Facilities; and Fiscal Operations. In each section, we provide an overview of best practices, followed by a description of those practices in LA County and recommendations for improving the Department in the future. This report is not intended to be exhaustive, but instead highlights practices and processes that we believe are most critical for Department improvement.

1. Organizational Assessment

BEST PRACTICES AND MODEL JURISDICTIONS

Organizational culture: A probation department should frame its mission toward the direct goals of being rooted in the community, effecting positive behavior change, reducing unnecessary incarceration and supervision, and minimizing risk of reoffending.[1] If a probation department expects to reduce recidivism, ensure against the unnecessary deprivation of liberty, provide meaningful support towards rehabilitation, and work as a partner in the community, it must explicitly embrace these concepts in its mission, vision, and values, communicate them widely, and ensure that all staff have the infrastructure, tools, and training to fulfill the mission.[2]

Organizational structure and capacity: There is no data to suggest that juvenile and adult probation functions should be split into two separate departments. However, effective operations require a streamlined organizational structure with clearly defined accountability and oversight for different operations, strong internal communication, and capacity for data-driven decision-making. This includes streamlined structures for juvenile and adult client service functions and for coordinated fiscal operations (see Section 5). To ensure effective service delivery, probation departments should establish structured partnerships with organizations in the communities in which their clients live.

Racial disparities: While there is substantial variation in the total numbers and rates of individuals on probation in counties across the country, clear racial disparities exist with regards to who is under

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[i] Findings from these activities are detailed in three prior reports: Review of Best Practices in Probation, Model Jurisdiction Report, and LA Probation Department Assessment.

supervision. Departments should use data to identify disparities and work regularly with cross-systems stakeholders to identify where these disparities exist and how they can be reduced.[3]

LA COUNTY PROBATION DEPARTMENT

Organizational culture: Turnover at the leadership level, limited succession planning, and shifting organizational and County priorities have resulted in a Department without a shared sense of purpose. The tension between rehabilitation and punishment creates a divide across the Department and leads to confusion about the Department's approach to various functions, including hiring, training, client relationships, and outside partnerships. On top of this, regular criticism of the Department by the County Board of Supervisors, the media, and the community have contributed toward low morale among staff.

Organizational structure and capacity: The Department's current organizational structure does not align with staff roles and responsibilities, information flow, and, in some cases, span of control. The district model, in which the Department is organized into districts that have a combination of geographically specific and countywide responsibilities, is especially inefficient. The move toward an agency model, with one deputy chief overseeing all juvenile operations and one deputy chief overseeing all adult operations, with a shared administrative infrastructure is a clear step in the right direction.

The Department has extremely limited data capacity and infrastructure. IT systems are out of date and the Information Services Bureau (ISB) is understaffed. In addition, the absence of a research and evaluation unit creates a burden on both IT and operations staff, limiting the Department's ability to implement data-driven processes.

Racial disparities: In recent years, there have been few concerted efforts to address racial disparities despite the massive overrepresentation of black youth and adults on probation relative to their proportion of the county population. In interviews, few staff members identified this as an issue and those who did noted that there have not been any recent efforts to address it. The Department does not regularly report on disparities among its client population. However, the Department is currently working with RDA to develop and implement a dispositional matrix, which may help reduce disparities based on officer discretion.

RECOMMENDATIONS

1. Establish a mission and vision that centers on client well-being and rehabilitation.
    a. Incorporate this mission and vision into every job description and performance evaluation, promotional process, request for services, personnel manual, and policies and procedures manual.
2. Hire a communications team to promote the mission internally and externally, including online, on social media, and on the Department intranet, in order to build Department-wide cohesion and commitment.
3. Reorganize operations, from the executive management level down, to align with the agency model and eliminate the current district model.
    a. Continue progressing toward an internal reorganization of fiscal functions to allow for a more service-oriented approach to fiscal operations.
4. Invest in data/IT capacity by updating data/IT systems, increasing staffing for ISB, and establishing a research and evaluation unit that can act as a bridge between ISB and operations staff and can respond to regular requests for data and information from the Board of Supervisors and other stakeholders.
5. Assess racial disparities at different junctures in the probation system in order to develop a plan to reduce these disparities.

2. Hiring, Staffing, and Training

BEST PRACTICES AND MODEL JURISDICTIONS

Recruitment and hiring: Departments must align job descriptions and recruitment practices with the organizational mission of client well-being and community engagement. Job descriptions for sworn staff should emphasize evidence-based practices, principles of social and correctional case and group work, communication, and more.[4] Background check processes must balance protecting client safety and department liability with enough flexibility to hire the best candidates.

Staffing: Departments should focus on workload over caseload[5] and should define and track metrics to measure both. Periodic workload studies can ensure that staffing activities align with organizational priorities and that management and line staff have a common understanding of workload and priorities.

Training: All probation departments must meet state mandated standards for the content and length of both core and ongoing training. In addition to these requirements, training on restorative practices, trauma-informed care, positive youth development, crisis de-escalation, EPICS, and leadership skills is especially important. Booster trainings, observational assessments, and individual coaching are necessary to reinforce and deepen skill development and ensure uniform implementation.[6]

LA PROBATION DEPARTMENT

Recruitment and hiring: The Department's two entry-level positions for sworn staff, Detention Services Officer and Group Supervisor Nights, work in the juvenile facilities. Job descriptions for sworn staff positions convey a tension between a rehabilitation orientation and a correctional orientation. This is especially true for the Detention Services Officer position in juvenile halls. In addition, recruitment functions are understaffed. The Department likely loses many quality candidates due to the extensive and prolonged hiring process, which takes longer than other criminal justice departments in LA County. The Department's hiring process also screens out potentially qualified candidates with unnecessarily stringent criteria, including a credit check and prohibition against any prior criminal record, even if the criminal conduct was relatively minor and long ago.

Staffing: Uneven workload distribution and staffing vacancies create challenges for offices in high-density areas, juvenile institutions, administrative staff, and research and evaluation. The absence of clear metrics for staff workload and performance, and the lack of data capacity to track them, make it difficult to accurately measure workload and staffing needs. However, administrative functions are clearly taxed, creating inefficiencies elsewhere in the Department. Additionally, given the significant declines in the client population, sworn positions are likely overstaffed. The Department has experienced significant reductions in the number of youth and adults under its supervision. Implementing RDA's recommendations for "Right Sizing" the Department would result in further reduction in caseloads and facility populations, therefore minimizing the need for massive hiring.

Training: The majority of staff meet mandated training requirements and engage in a range of elective training opportunities. The Department offers a wide array of trainings and has made an effort to increase access to them. Staff who transfer between positions need additional training. In addition, staff need more training both in technical functions, such as data systems and writing court reports, as well as in topics related to client well-being and supervision, such as mental health, trauma-informed care, and positive youth development.

RECOMMENDATIONS

1. Change hiring processes so that all entry-level staff do not begin in facilities. This will ensure that staff working in facilities are interested in and equipped to work with youth. This will also prevent the most entry-level staff from working with the highest-risk youth.
2. Redesign job descriptions to clearly focus on client well-being and rehabilitation, and highlight important characteristics such as communication and the use of data.
3. Establish a recruitment unit to centralize and coordinate recruitment efforts.
4. Reduce the hiring timeline and keep candidates notified of processes and procedures.
5. Adjust the background check process to create a larger pool of qualified applicants by eliminating the credit check and creating exemptions for individuals with low-level (misdemeanor) criminal justice system involvement.
6. Require staff to receive training for new positions prior to assuming these responsibilities. Ensure that staff have adequate ongoing training in data/IT systems and other technical functions, such as court reports.
7. Increase the availability of trainings in topics related to client supervision and development, such as mental health, trauma-informed care, client and family involved case planning, and positive youth development.
8. Regularly monitor and forecast staff workloads to inform hiring and staffing decisions.

3. Client Service Delivery

BEST PRACTICES AND MODEL JURISDICTIONS

Supervise the right people the right amount: Probation departments should only supervise and recommend conditions for clients that are necessary to fulfill the goals of disposition and sentencing. Toward that end, they should "bank" (not actively supervise) low-risk caseloads and recommend early release for individuals in consistent compliance with their probation terms. Youth should be diverted from formal processing to the greatest extent possible and similarly incentivized to excel on probation through grants of early discharge.[7] These practices are consistent with evidence-based community corrections and help to reduce potential harms that come from supervising low-risk populations. Actively supervising fewer individuals helps conserve resources so that probation departments can implement innovative programs and have greater access to resources dedicated for higher-risk cases.[8] Further, it is well-established in the research that supervising low-risk clients increases their risk of recidivism.[9]

Approach to service delivery: Probation departments should pursue the following approaches to service delivery.

Structured Decision Making (SDM): Probation should implement SDM processes to guide probation officers' recommendations to the court around client dispositions and placements, as well as the provision of rewards/incentives and graduated sanctions. In implementing SDM for client dispositions and placements, probation departments generally use a grid that lists what sorts of recommendations should be made based on risk assessment results and offense severity. Probation departments also utilize graduated response matrices that account for infraction frequency and severity to guide decision-making practices around revoking probation for non-compliant behavior. This helps bring a greater degree of consistency, reliability, and equity to decision-making processes.[10]

To support SDM, probation officers should utilize validated risk and needs assessment tools that identify static and dynamic risk factors in order to determine supervision intensity, develop case plans and goals in consultation with clients, and make necessary referrals to county and community-based services.[11] During the assessment phase, probation officers should identify their clients' strengths in order to help build rapport and promote prosocial behaviors that can connect individuals back to the communities in which they committed crimes.[12] Probation officers should also reassess clients at established intervals (e.g., every six months) and after key life events (e.g., obtaining stable housing or full-time employment) in order to update case plans and adjust supervision intensity as appropriate.[13]

Positive Youth Development (PYD): PYD is a strength-based, asset-based, youth-involved development process. PYD seeks to build on young people's strengths, instead of focusing on their deficits, while providing them with services, supports, and opportunities.[14] Engaging youth and their families in their own case planning process is a significant PYD principle. Family group conferencing is a model that has

been used in the child welfare system to involve youth and their families in a group planning and decision-making process. A few juvenile justice agencies around the country have begun to utilize such models.

Services (availability and linkage) and supervision: In order to provide individuals under community supervision with an opportunity to change course and not further penetrate the justice system, it is imperative to offer an accessible suite of services. Structured partnerships should exist with service providers who help to address the following needs:

- ❖ Physical health
- ❖ Mental health
- ❖ Trauma/PTSD
- ❖ Substance use
- ❖ Housing
- ❖ Education/workforce development
- ❖ Employment

- ❖ Legal aid
- ❖ Family support/reunification
- ❖ Benefits
- ❖ Mentorship
- ❖ Criminal thinking
- ❖ Transportation
- ❖ Positive youth development

Probation departments should collaborate with community members in the planning process in order to best identify the needs of the community and develop a continuum of services that meets the needs of individuals on probation. Above and beyond developing a system of services to support clients on probation, model departments have shifted their approach to maintain a central focus on leveraging indigenous supports and providing meaningful services to justice-involved youth and adults within the communities they live.

Collaboration between probation, community-based organizations (CBOs), and other departments: For individuals under community supervision, probation should focus on community-based services. Probation departments should collaborate with community members to develop community-based continuums of care that leverage stakeholder knowledge and input. Departments should also anticipate that this type of authentic collaboration with community-based partners will require a substantial time investment. These connections are the best way to ensure that probation meets the needs of the community. These efforts also align with research that indicates that cohesive communities and informal controls more effectively reduce crime than government interventions. Research also shows that using capable community partners can save money compared to either incarceration or probation-delivered services.[15 16 17 18 19]

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LA COUNTY PROBATION DEPARTMENT

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Approach to service delivery: Most staff convey a desire to help their clients, but there is not a clear Department-wide approach for how to accomplish this end. The Department is moving toward greater use of SDM based on validated assessments and evidence-based practices. However, full implementation of these processes will require more work. The Department must address challenges with data systems and insufficient training in SDM, assessments, and case management to support a more systematic approach to client services. In addition, the Department currently supervises many low-risk clients,

including youth who are not court-involved but work with probation officers pursuant to Welfare and Institutions Code Section 236.

Probation staff who administer assessments noted concerns about the accuracy and consistency of both the youth and adult assessment tools. Risk assessment scores provided by the Department also indicated a high degree of variability. Staff across the Department noted the need for continuous training about assessment tools to increase quality assurance.

Service availability: Department staff noted gaps in service availability, most notably services for transition-aged youth, clients with mental health needs, and community transition plans for individual clients. Additionally, a lack of effective service linkage results in inconsistent service delivery and presents an increasing challenge to effective monitoring. While the PAUR (Prospective Authorization Utilization Review) system was cited as a useful tool, it is limited in its scope, as it is composed exclusively of agencies with Department contracts or memoranda of understanding (MOUs).

Collaboration between probation, CBOs, and other departments: Providing services to juveniles in facilities, as well as juveniles and adults in the field, requires collaboration with both intersecting agencies and community-based services. The Department's ability to collaborate and effectively communicate with intersecting agencies, such as the Los Angeles County Department of Mental Health (DMH) or the Los Angeles County Office of Education (LACOE), was cited as a major strength that improves service delivery and client treatment plans. Yet, the relationship between CBOs and the Department is strained by a lack of administrative coordination in service delivery and poor communication or information sharing.

RECOMMENDATIONS

1. Implement validated risk and needs assessments to help determine supervision intensity and identify the needs of probation clients so that probation officers can make appropriate connections to service. Clients should be reassessed every six months or after key life events (e.g., attaining full-time employment) to make appropriate adjustments to their case plans and supervision terms.

2. Require probation officers to directly connect their clients with services, supports, and opportunities that address their needs and build on their strengths.

3. Bank all low-risk clients and consider implementing additional practices to continue reducing the County's probation population. These might include implementing credit days for compliance (e.g., 20 days credit for every 30 days in compliance), terminating probation early by coordinating with the court to reassess individuals who are in compliance with the terms of their supervision for long periods of time, and/or placing medium-risk clients on banked caseloads after a sufficient period of compliance with conditions.

4. Enhance the use of SDM, a data-driven, research-based approach intended to create a greater degree of consistency, reliability, and equity to decision-making processes. The Department should implement the Juvenile Disposition Matrix developed by RDA in consultation with key LA County stakeholders.

5. Continue the Department's shift to a rehabilitative-focused and positive development approach by involving probation clients in the development of their case plans and implementing evidence-based supervision practices.

6. Establish processes for program implementation and case plan quality assurance.

7. Share information with and collaborate with community members to develop community-based continuums of care that leverage stakeholder knowledge and input. This will help develop stronger and more trusting relationships with the community and local CBOs.

4. Juvenile Facilities

BEST PRACTICES AND MODEL JURISDICTIONS

Location: Probation departments should locate juvenile detention and placement facilities in or near the communities where the youth live. This allows youth to remain in close proximity to their prosocial supports (e.g., parents, other supportive family members, and mentors) and promotes ongoing connection to positive social influences while limiting interruption to education during confinement. This is ideal because research indicates that frequent family visits are associated with good behavior and improved school performance for youth who are incarcerated.[20] [21]

Physical layout and conditions: Juvenile facilities should not look like jails. Rooms should be open and well lit; walls should be painted vibrant colors; and pictures, motivational quotes, and other developmentally appropriate artwork should be interspersed around the facility. Youth should sleep in open spaces, and if this is not possible, each locked dormitory should be decorated nicely and include furniture such as a desk, bookshelf, bed, colorful bedspread, rug, etc. Facilities should be clean; meet fire and safety codes; and have properly functioning temperature controls, light, and ventilation. Ultimately, every effort should be made to ensure that the physical environments of juvenile facilities are developmentally appropriate and conducive to the rehabilitative goals of the probation department.[22]

Safety in custody: Probation should create a safe institutional environment by providing sufficient staffing and supervision. Departments should ensure that all staff working in detention facilities and camps receive trauma training to reduce the likelihood of triggering a trauma response and inadvertently escalating youth.[23] Staffing ratios should be sufficient for staff to establish meaningful relationships with youth in their care and to mitigate any staff concerns about their own physical safety. Youth should be supervised closely to ensure the resolution of conflicts are resolved safely and that injury is prevented.[24] However, staff should never use room confinement for discipline, punishment, administrative convenience, retaliation, staffing shortages, or reasons other than a temporary response to behavior that threatens immediate harm to a youth or others.

Programming in custody: All facility staff, including mental health and educational staff, custody staff, and even maintenance, administrative, and culinary staff, should have position descriptions that define their jobs in PYD terms. Facility staff should implement a cognitive behavioral model to help address criminogenic thinking among youth who are detained and/or in placement. In addition, probation should ensure that youth receive medical care, mental health treatment, substance abuse treatment, translation services, and access to religious services, as needed and required by law.[25] Probation should also strongly advocate that juvenile detainees receive uninterrupted, high-quality education services while in residential care or detention.[26]

Longer term, post-adjudication facilities should have a focus on education, treatment, and rehabilitation. Such facilities should have small units with no more than 10-15 youth, prioritize quality education, and

provide enrichment programs and services. These facilities should work with outside community organizations to provide some of these programs and services. Youth should be positively engaged in education, treatment, enrichment, or recreational activities from the time they wake until they go to sleep.[27]

LA COUNTY PROBATION DEPARTMENT

Location: The Department operates three juvenile halls, 12 camps, and one residential placement facility. The juvenile halls are located in the county's urban core and in the western part of the county near Sylmar. However, nearly all the camps are on the outlying areas of the county, often cutting youth off from their families and community support networks for the duration of their confinement.

Physical layout and conditions: The County built all three of its juvenile halls at least 50 years ago. Department staff and community partners that provide services agree that Central Juvenile Hall is the most in need of repair and renovation, but all three facilities require work. The physical layout of the halls and camps is not conducive to youth rehabilitation and safety. Youth live and sleep in an "open bay" area, consisting of large rooms with lines of beds, making it difficult to monitor youth or to prevent gang conflicts.

The Department's new Campus Kilpatrick is an excellent example of a youth facility designed to support a therapeutic model instead of a correctional, deficit-focused approach. Campus Kilpatrick is a state-of-the-art youth facility with one of the best physical structures in the county.

Safety in custody: Department staff and youth described the juvenile halls as unsafe environments for everyone inside them. Though the number of youth in the halls and camps has decreased, staff assert that detained youth are now higher-risk and have more severe mental health needs than they did in the past. Insufficient training and inconsistent staffing levels lead staff to feel underprepared to face day-to-day challenges.

Programming in Custody: All halls and camps have on-site, full-time DMH and LACOE staff to provide mental health and education services, respectively. In camps and the residential placement facility, DMH, LACOE, Department line staff, and management regularly meet with each other to discuss treatment plans for youth clients. Across facilities, the Department, DMH, LACOE, and CBOs provide a variety of programs, though these are often offered at a basic level and have varying availability across halls and camps.

RECOMMENDATIONS

1. Close camps furthest from youth's homes and families.
2. Invest in renovations and repairs of halls to improve health and safety conditions.
3. Continue transitioning camps toward the LA model that better supports rehabilitation through small, homelike facilities located close to youth's neighborhoods in alignment with best practices.
4. As referenced in Section 2 above, change hiring processes so that all entry-level staff do not begin in facilities. This will ensure that staff working in facilities are interested in and equipped to work with youth and that the most entry-level staff do not work with the most high-risk youth.
5. Increase training about trauma and alternative disciplinary tools such as de-escalation or positive behavioral approaches.
6. Regularly collect and analyze data to ensure that comprehensive, high quality programming — including custody-to-community transition — is offered across facilities and that it meets youth's needs and is effective.

5. Fiscal Management

BEST PRACTICES AND MODEL JURISDICTIONS

Participatory management: Probation departments should implement participatory management approaches to financial and fiscal operations in order to transform the work culture. Steps toward participatory management include: developing a clear vision; creating a team environment; empowering and communicating with employees; putting clients first; cutting red tape; and creating clear accountability. Change management strategies — such as catalyzing change by developing a shared vision; overcoming conflict by creating a team dynamic; emphasizing quality improvement by prioritizing high-quality client services; finding opportunities to partner with communities; and devolving decision-making authority to empower and communicate with staff — can streamline the delivery of services. The literature has shown that participatory management reduces employee stress, increases job satisfaction, and reduces turnover.[28] [29] [30] Hiring specialized staff for key administrative activities and implementing more inclusive decision-making processes help the agency be more efficient and responsive to community needs.

Community partnerships: In addition to increasing the efficiency of fiscal processes and orienting towards larger departmental goals, probation departments should formalize community partnerships in a structured manner in order to circumnavigate lengthy contracting requirements and other bureaucratic burdens. This also enables departments to more effectively and often, more quickly, partner with the communities they serve. One alternative to traditional financial management practices is agency-to-agency partnership, in which funds are transferred to another public agency that can either obtain contracted services or provide those services directly. Another alternative is public-private partnership, in which public agencies partner with a foundation or community-based nonprofit, through vehicles like master service agreements, to deliver direct services, to provide administrative and fiscal services, or to subcontract services out to other entities. Public agencies should also help the community cut through red tape by providing technical assistance to providers and producing more suitable programs, funding structures, and competitive proposals.[31]

LA COUNTY PROBATION DEPARTMENT

Structure of fiscal and administrative management: The Department's fiscal and administrative functions are siloed from each other and from programmatic operations. This hinders the Department's ability to establish effective collaboration practices and encourages a "head's down" approach, in which fiscal and administrative staff focus on their specific spans of authority rather than on a larger Departmental mission.

Within the Department, each fiscal function operates as a separate team, without established pathways for collaboration and information sharing. Fiscal and Budget do not coordinate financial data, nor do they deliver program-specific reports to Adult or Juvenile operations. However, the Department has realized

the need for additional analytic resources and has requested budget analysts to provide more direct analytical support for specific grant programs.

Neither operations nor administrative and fiscal staff feel empowered to own a problem or its resolution. This disconnect causes bottlenecks in administrative processes, such as contracting. This creates a barrier to effective delivery of services and takes a toll on morale. Program requests to Budget, Procurement, or Contracts filter up through the chain of command rather than through inclusive and transparent conversations with executive decision-makers. There is a wide communication gap between program operations and Contracts, and no effective processes by which fiscal functions collaborate to ensure that operations staff have updated information on their budget to inform service delivery. As a result, significant administrative delays and bottlenecks prevent the Department from getting allocated community funds into service contracts.

Ability to partner with communities: One way the Department has successfully implemented community services is through the use of inter-agency fund transfers. Other public agencies, such as the Office of Diversion and Reentry, can sometimes contract more rapidly with community providers, at least in the near term, until the Department improves its practices in this area. To the extent that the Department has developed MOUs and transferred funds, the Department has created successful agency-to-agency partnerships that are more nimble with providers and contracts. Probation recently established a "Master Services Agreement" process for juvenile services to make the contracting process more streamlined and supportive.

CBOs struggle to "do business" with the Department because of bureaucratic and financial challenges, which limits the ability to partner with the community. The separation of Budget, Procurement, Contracts, Fiscal, and other administrative functions compounds this barrier. The structural disconnect between fiscal functions and the lack of clear direction leads to disengagement from process improvement, and prevents adequate planning to get funding into the community-based system of care.

RECOMMENDATIONS

1. Include middle management in participatory fiscal management processes that include clearly delineating the Department's vision for how fiscal operations support the delivery of client services; creating an environment wherein different fiscal and contracting teams work together to achieve that vision; and creating clear accountability for mission-critical services.

2. Redistribute workload and responsibilities of fiscal and administrative staff to streamline communication and approval processes for program and operations staff. As part of this, increase information sharing across fiscal and administrative functions and establish a single point for program staff. This will allow for a more service-oriented staff that engages with programs and provides line-item budget details, among other business process information.

3. Provide technical assistance to community providers to build their capacity to bid on and deliver community services.

4. Establish public/private partnerships with foundations and/or nonprofits to deliver community services more effectively through vehicles such as master service agreements. While Probation improves its internal procurement capabilities, the Department should temporarily partner with a local philanthropic foundation to more efficiently distribute much needed funds to community service providers as soon as possible.

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